GATE 4 REVIEW GUIDELINE
Tender Evaluation

NSW GOVERNMENT | Customer Service

About this guideline

This guideline assists review teams and delivering agencies working on Gate 4: Tender Evaluation of the ICT Assurance Framework (IAF) Gateway review process. It should be read alongside the 'Gate 4 Review Report' template and 'Guidance to Review Teams', both available from https://www.digital.nsw.gov.au/policy/ict-assurance.
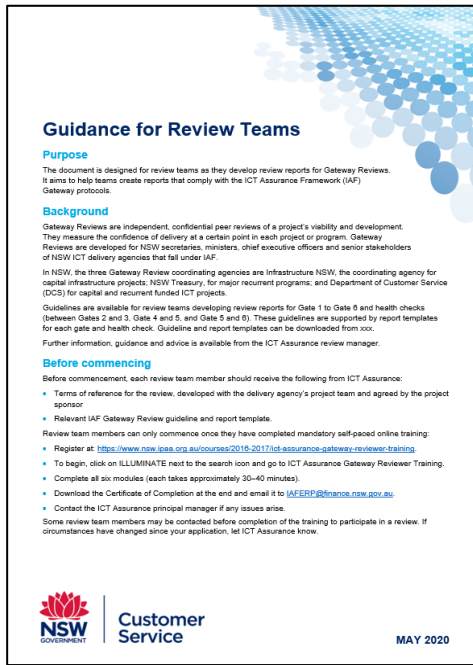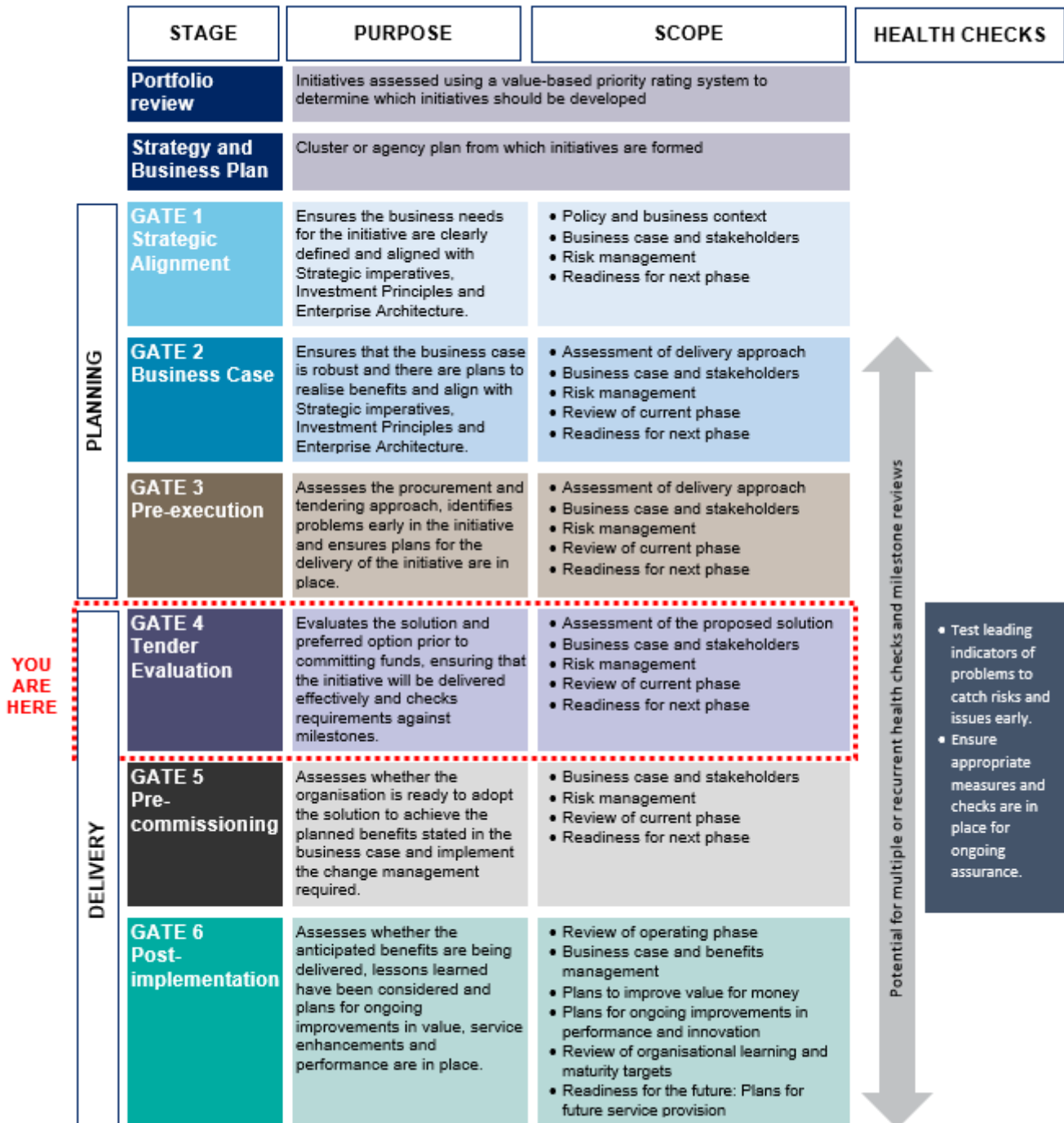
The Gateway Review process examines projects at key decision points (gates) and looks ahead to provide assurance that projects can progress to the next stage (or gate). This can also include health checks between gates.

Gateway reviews are independent peer reviews of a project's viability and development. Independent practitioners from outside the project examine the progress and likelihood of successful delivery at a certain point in each project – this provides a valuable new perspective on the project's issues, while challenging the robustness of plans and processes.

The Gateway Review process

STAGE	PURPOSE	SCOPE	HEALTH CHECKS
Portfolio review	Initiatives assessed using a value-based priority rating system to determine which initiatives should be developed		
Strategy and Business Plan	Cluster or agency plan from which initiatives are formed		
GATE 1 Strategic Alignment	Ensures the business needs for the initiative are clearly defined and aligned with Strategic imperatives, Investment Principles and Enterprise Architecture.	• Policy and business context • Business case and stakeholders • Risk management • Readiness for next phase	
GATE 2 Business Case	Ensures that the business case is robust and there are plans to realise benefits and align with Strategic imperatives, Investment Principles and Enterprise Architecture.	• Assessment of delivery approach • Business case and stakeholders • Risk management • Review of current phase • Readiness for next phase	
GATE 3 Pre-execution	Assesses the procurement and tendering approach, identifies problems early in the initiative and ensures plans for the delivery of the initiative are in place.	• Assessment of delivery approach • Business case and stakeholders • Risk management • Review of current phase • Readiness for next phase	
GATE 4 Tender Evaluation	Evaluates the solution and preferred option prior to committing funds, ensuring that the initiative will be delivered effectively and checks requirements against milestones.	• Assessment of the proposed solution • Business case and stakeholders • Risk management • Review of current phase • Readiness for next phase	• Test leading indicators of problems to catch risks and issues early. • Ensure appropriate measures and checks are in place for ongoing assurance.
GATE 5 Pre-commissioning	Assesses whether the organisation is ready to adopt the solution to achieve the planned benefits stated in the business case and implement the change management required.	• Business case and stakeholders • Risk management • Review of current phase • Readiness for next phase	
GATE 6 Post-implementation	Assesses whether the anticipated benefits are being delivered, lessons learned have been considered and plans for ongoing improvements in value, service enhancements and performance are in place.	• Review of operating phase • Business case and benefits management • Plans to improve value for money • Plans for ongoing improvements in performance and innovation • Review of organisational learning and maturity targets • Readiness for the future: Plans for future service provision	

PLANNING (GATE 1 – GATE 3)

DELIVERY (GATE 4 – GATE 6)

YOU ARE HERE

Potential for multiple or recurrent health checks and milestone reviews

Purpose of the review - Gate 4: Tender Evaluation

Gate 4: Evaluates the solution and preferred option prior to committing funds and checks requirements against milestones. The review also confirms that relevant whole-of-government ICT policies, standards and priorities have been considered.

The Gate 4: Tender evaluation review is designed to:

- Confirm the full Business Case and benefits plan once relevant information is confirmed from potential suppliers and/or delivery partners;
- Confirm the objectives and desired outputs of the project align with the program to which it contributes and/or the delivery agency's business strategy;
- Check that necessary statutory and procedural requirements have been followed in the procurement/evaluation process;
- Confirm the recommended contract decision, if properly executed within a standard lawful agreement (where appropriate), will deliver outputs/outcomes on time, within budget and provide value for money;
- Ensure controls are to manage the project to completion, including contract management;
- Ensure continuing support for the project;
- Confirm the approved delivery strategy has been followed;
- Confirm client and supplier/partner development and implementation plans are sound and achievable;
- Check the delivery agency has prepared for the development where there are new processes, implementation, transition and operation of new services/facilities, and that all relevant staff are being (or will be) prepared for the business change;
- Confirm there are plans for risk management, issue management and change management (technical and business), and that these plans are shared with suppliers and/or delivery partners;
- Confirm the technical implications, such as information assurance and security, and the impact of government frameworks have been addressed;
- Evaluate actions to implement recommendations made in any earlier assessment of deliverability; and
- Confirm relevant whole-of-government ICT policies, standards and priorities have been considered.

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

- Assessment of the proposed solution;
- Business Case and stakeholders;
- Risk Management;
- Review of current phase; and
- Readiness for next phase: Readiness for go-live.

These key review scope areas will help to structure the Gate 4 report.

The guideline provides examples of evidence the review team should seek. This should not be considered prescriptive; each review team should consider if broader topics should be addressed, or different evidence required – this will depend on the context of the project.

Focus Areas

The review team should be mindful of the seven focus areas. The seven focus areas are a set of themes common across the project lifecycle that the NSW Government has determined as requiring assessment. They are referred to in the key review scope areas and are used in the review report.

Focus area	Description
	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.

Review teams should:

- Engage and meet with a Project Sponsor from the delivery agency prior to the review; and

- Where possible, engage early with the relevant agency's project management office (PMO) to understand the project's background and to adequately plan for interviews and required documentation.

The Gateway Review Framework

	Gate 1 – Strategic Alignment	Gate 2 – Business Case	Gate 3 – Pre-execution	Gate 4 – Tender Evaluation	Gate 5 – Pre-commissioning	Gate 6 – Post-implementation
Purpose	Ensures the business needs for the initiative are clearly defined & aligned with strategic Imperatives, Investment Principles & Enterprise Architecture	Ensures that the business case is robust & there are outline plans to realise benefits & align with Strategic Imperatives, Investment Principles & Enterprise Architecture	Assesses the procurement and tendering approach, identifies problems early in the project and ensure plans for the delivery of the project are in place	Evaluates the solution & the preferred option prior to committing funds, ensuring that the project will be delivered effectively and checks requirements against milestones	Assesses whether the organisation is ready to adopt the solution to achieve the planned benefits stated in the business case and implement the change management required	Assesses whether the anticipated benefits are being delivered, lessons learned have been considered and plans for ongoing improvements in value, service enhancements and performance are in place
Review Scope	• Policy and business context • Business case and stakeholders • Risk management • Readiness for next phase	• Assessment of delivery approach • Business case and stakeholders • Risk management • Review of current phase • Readiness for next phase	• Assessment of delivery approach • Business case and stakeholders • Risk management • Review of current phase • Readiness for next phase	• Assessment of the proposed solution • Business case and stakeholders • Risk management • Review of current phase • Readiness for next phase	• Business case and stakeholders • Risk management • Review of current phase • Readiness for next phase	• Review of operating phase • Business case and benefits management • Plans to improve value for money • Plans for ongoing improvements in performance and innovation • Review of organisational learning and maturity targets • Readiness for the future: Plans for future service provision
7 focus areas emphasis						

Reviews will assess the focus areas through various lenses including:

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

HEALTH CHECKS / DEEP DIVES

Conducting a Gateway Review

	Step 1 – Initiate	Step 2 – Prepare	Step 3 – Conduct	Step 4 – Report
WHAT	• Register project • Confirm risk tier and assurance plan • Agree review dates • Draft and approve terms of reference	• Nominate and agree review team • Draft review team agreements • Project documents uploaded to SharePoint by agency Coordinator • Interview logistics completed by agency • Review team briefed by assurance team	• Planning meeting • Interviews held • Daily Sponsor feedback sessions • End-of-review Sponsor debrief	• Review team draft and issue report to ICT Assurance/Sponsor • Sponsor reviews report and completes close-out plan and Sponsor comments • Review team and ICT Assurance validate Sponsor input • Issue final report • Issue clearance letter • Survey completed by Sponsor and review team • Invoicing and charge-back
WHO	• ISSI Working Group • Sponsor, Project Director / Manager (agency) • Assurance Director, Principal Manager, Case Officer (DCS)	• Sponsor, Project Director / Manager, Coordinator (agency) • Assurance Director, Principal Manager, Case Officer (DCS) • Review team	• Sponsor, Project Director / Manager, Coordinator (agency) • Interviewees including project stakeholders, Treasury, end-users, third parties • Assurance Director, Principal Manager, Case Officer (DCS) • Review team	• Sponsor, Project Director / Manager, Coordinator (agency) • GCIDO • Assurance Executive Director, Director, Principal Manager, Case Officer, Finance (DCS) • Review team
WHEN	Varied	Up to 4 weeks	1–3 weeks	1–3 weeks

Assessing risk in ICT Assurance

Each gate in the Gateway Review Process requires the review team to assess a project's level of risk. Before the Gateway Review 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.

As project risks or complexities can change, each gate or health check should reassess project risk and complexity by reviewing risk and issue logs, specifically that:

- Inherent and residual ratings are provided for all risks and issues;

- All risks and issues have action plans, with owners and dates against each action;

- Each action plan and seniority of owner reflects the significance of the risk or issue; and

- All dates must be in the future (if an action is late then a revised action plan should be documented).

If the risk tier needs to be changed or the assurance plan updated, this must be discussed with the Project Sponsor, with any change in tier requiring Government Chief Information and Digital Officer (GCIDO) endorsement under the terms of the IAF.

Tier classification and assessment

Risk score	ETC ($m)					
	200+	>100-200	>50-100	>20-50	10-20	5-10<
4.0 - 5.0	Tier 1	Tier 1	Tier 1	Tier 1	Tier 1	Tier 2
3.0 - 3.9	Tier 1	Tier 2	Tier 2	Tier 2	Tier 2	Tier 3
2.5 - 2.9	Tier 1	Tier 2	Tier 2	Tier 2	Tier 3	Tier 4
2.3 -2.4	Tier 2	Tier 2	Tier 2	Tier 3	Tier 4	Tier 5
2.1 - 2.2	Tier 2	Tier 2	Tier 3	Tier 3	Tier 4	Tier 5
0.0 - 2.0	Tier 2	Tier 3	Tier 3	Tier 3	Tier 4	Tier 5

Developing the report

A review report is the key output of each gate. Each report must follow the report template and be written in a concise way that a third party could understand. Commentary should be included for each section, to support recommendations by the Review Team. Where possible, examples should be provided especially for items that require further work and action.

The review report lists recommendations, defined as either critical, essential or recommended. These should:

- Link to project milestones;

- Follow the SMART approach (S – Specific; M – Measurable; A – Attainable; R – Realistic; T – Timely); and

- Align to the seven focus areas.

Reports will remain in Microsoft Word and named as per the following file naming protocol:

Project Name – Gateway Review Name – (DRAFT / FINAL) Report_Ver 1-1

The review team leader emails all reports to the ICT Assurance Director.

1. Assessment of delivery approach

Each numbered item below is an area to be probed.

1.1   Does the proposed solution meet the business need?

Evidence expected	Status/Ref
• Delivery solution fully complies with business, technical and security requirements; and • Consultation with appropriate stakeholders and advisors during evaluation and their acceptance of the proposed delivery solution.	

1.2   Have suppliers or partners proposed alternatives or other options in addition to a fully compliant bid?

Evidence expected	Status/Ref
• Options assessed for how they will benefit the project and still remain within the scope of the advertisement.	

1.3   Will the proposed delivery solution deliver the business need described in the full Business Case?

Evidence expected	Status/Ref
• Analysis shows the proposed delivery is defined in business outcome terms, while meeting necessary organisational and business process changes. Proposed services and service levels as defined in the contract or agreement will meet the agreed business requirements.	

1.4   Does the proposed delivery solution affect the strategy for business change?

Evidence expected	Status/Ref
• Updated plan for managing the business change based on the proposed solution, agreed by project board and agreed with users and stakeholders; and • Analysis of differences from original plan.	

1.5   Does the proposed delivery solution affect expectations of business benefits or changes to budgets?

Evidence expected	Status/Ref
• Updated benefit realisation plan describes benefits and their owners; and • Analysis of differences from original plan documented and agreed with users and stakeholders.	

1.6   Are the delivery agency (as client) and supplier prepared for the development (if there are new systems and processes), implementation, transition and operation of new services?

Evidence expected	Status/Ref
• Proposed development and implementation plans included in delivery solution and recommended to project board; and • Delivery agency's implementation plan agreed with users or their representatives, if the end-user is the citizen and stakeholders, e.g. staff training, changes in business processes.	

1.7 Are there plans and processes to address business and technical issues?

Evidence expected	Status/Ref
• Strategy for managing change agreed by all parties, including supplier.	

1.8 Are responsibilities between all parties allocated and understood, and any contractual liabilities understood?

Evidence expected	Status/Ref
• Defined client and supplier organisation, personnel and responsibilities; • On the client's side, identified internal relationships and interfaces with the supplier; • On the supplier's side, reciprocal arrangements including senior management roles; • Where applicable, partnering arrangements defined, where a single supplier describes how they will manage their supply chain; if multiple suppliers, how the delivery agency, as client, manages these interfaces; • Evidence the client and supplier will work as an integrated project team; and • If there are several client organisations, evidence of governance arrangements to align the business objectives of all organisations involved.	

1.9 Does the supplier have the resources to meet contractual obligations?

Evidence expected	Status/Ref
• Plan for implementing the contract, identifying the quantity, type and quality of resources required; • Formal management acceptance of resource requirements, with roles and personnel identified and in place; and • Adequate plans and procedures for contract management, including availability of requisite skills and experience.	

1.10 Have technical implications been assessed, such as information assurance and security, the impact of e-business and management of legacy systems?

Evidence expected	Status/Ref
• Delivery solution is technically acceptable; • Information management, privacy of data and cyber security considered; • Full information lifecycle considered, e.g. retention of data, archiving requirements, transition of data requirements and exit strategy; and • Technology used now and in future is up-to-date with appropriate warranty arrangements agreed and in place.	

1.11 Does the project team have appropriate skills and experience to achieve intended outcomes?

Evidence expected	Status/Ref
• Required intelligent customer capability planned for and roles allocated; • Internal and external commitment to provide required resources; • Job descriptions for key project staff; • Skills appraisal undertaken and shortfalls addressed; • Access to external sources of expertise, if required; • Appropriate allocation of key project roles between internal staff and consultants or contractors; and • Standards, manuals and training (where required) for staff implementing and servicing the project.	

1.12 Does the project and proposed delivery solution meet whole-of-government ICT policies, standards and priorities?

Evidence expected	Status/Ref
• Assessment against whole-of-government ICT policies, standards and priorities in completed self-assessment template (available from ICT Assurance).	

2. Business Case and stakeholders

Each numbered item below is an area to be probed.

2.1   Is the project still required?

Evidence expected	Status/Ref
• Confirmation the project still fits with strategic objectives; and • Confirmation that external factors have not affected priorities.	

2.2   Is the Business Case complete?

Evidence expected	Status/Ref
• Re-assessment of updated Business Case, including strategic, economic, financial, commercial and project management factors.	

2.3   Does the preferred option meet the business need?

Evidence expected	Status/Ref
• Key objectives revisited against final bid and proposed solution.	

2.4   Has the most appropriate option been selected?

Evidence expected	Status/Ref
• Cost/benefit/risk analysis and results, including sensitivity analysis, against final bid information.	

2.5   Does the commercial arrangement represent value for money, with an appropriate level of quality over the whole life of the project??

Evidence expected	Status/Ref
• Market assessment, other organisational benchmarks and previous experience; • Results of evaluation address existing commercial arrangements; and • Supplier's funding arrangements assessed, if appropriate.	

2.6   Is the delivery agency realistic about their ability to manage the change?

Evidence expected	Status/Ref
• Account of cultural implications, where appropriate, and organisational culture; and • Organisation culture compared to that of other suppliers.	

2.7   Does the Business Case, when incorporating the delivery solution, still demonstrate affordability?

Evidence expected	Status/Ref

• Business Case incorporating:
  – Changes from budgetary figures;
  – Returns and value re-calculated with new benefits plan;
  – Costs compared with budget; and
  – Pre-tender estimates.	

2.8   Is there an agreed benefits realisation plan?

Evidence expected	Status/Ref
- Benefits management strategy and plans, including: - Critical success factors; - Responsibilities for delivering and achieving benefits; - Agreed process for measuring and assessing benefits; - Data to measure baselines for benefits assessment; and - Post-implementation review plan.	

2.9   Have suitable stakeholders, business and user representatives been involved and have they approved the tender evaluation report and draft contract?

Evidence expected	Status/Ref
- Involvement of stakeholders and business or user representatives in quality and proposal reviews; - Views of all stakeholders, including users, considered; - Stakeholders represented on the evaluation team; - Approval by project board or steering committee; and - Information security team member involved in meetings with potential vendors.	

2.10   Are affected business units involved as the change management plan is developed?

Evidence expected	Status/Ref
- Evidence of a change management plan, developed with stakeholders; - Plan demonstrates how the change management strategy incorporates stakeholders' views, organisational and business process implications and communication requirements; and - Change management planning considers cyber security operational and support documentation.	

2.11   What is the framework to identify, assess, communicate and manage changes across affected business areas?

Evidence expected	Status/Ref
Evidence of a stakeholder and communications management plan, developed with stakeholders.	

2.12   Are roles and responsibilities and authority delegations appropriately and clearly defined?

Evidence expected	Status/Ref
- Organisational model shows roles and responsibilities; and - Interview and/or observation of the team interrogates organisational roles.	

2.13   Has the training of operations teams (e.g. service delivery teams, case workers, administrative staff and front-line staff) been considered and planned?

Evidence expected	Status/Ref
- Demand profile or similar outlines the skills and experience to ensure delivery; - Suitably qualified/experience external resources will address short-term skills shortage; and - Skills and knowledge transfer considered.	

2.14 Are appropriate business change management processes in place?

Evidence expected	Status/Ref
● Product backlog is monitored and where tolerances exceeded, an appropriate escalation path in place.	

2.15 Are business users sufficiently empowered to effect change if required?

Evidence expected	Status/Ref
● Product managers can delivery change in the business; and ● Product managers have the right information to discuss change broadly.	

2.16 Is there an effective system to track, report and, if required, correct, progress?

Evidence expected	Status/Ref
● Backlogs monitored and realigned if required; ● Earned value is measured; and ● Reports/dashboard available.	

2.17 Have benefits in the Business Case changed in a way that could affect the value of the project?

Evidence expected	Status/Ref
● Benefits realisation strategy and register updated.	

2.18 Is there still a strategy to plan and manage benefits?

Evidence expected	Status/Ref
● Benefits realisation strategy and register updated identifying benefits and the realisation of these benefits; and ● Practices in place to update the benefits plan as required.	

2.19 Has the supplier's ability to meet project delivery schedules and outcomes been verified?

Evidence expected	Status/Ref
● Evidence the supplier's delivery schedule aligns to project delivery schedule.	

2.20 Will the supplier meet the project timeline and have impacts of variations been assessed?

Evidence expected	Status/Ref
● Evidence the supplier's delivery schedule aligns to project delivery schedule; and ● Impact and risk assessment of identified variations.	

2.21 Have resource capability and capacity requirements been assessed for production development and business readiness?

Evidence expected	Status/Ref
● Capability and capacity assessment completed, and resources identified and secured.	

2.22 Are the resources available to maintain momentum or address gaps in the multidisciplinary teams?

Evidence expected	Status/Ref
• Resourcing strategy and plan aligns with demand profile; • Witnessing stand-ups, etc. demonstrate whether everyone who needs to be there attends; • Relevant resources costed into project budget; and • Need to refresh/replace resources considered.	

3. Risk Management

Each numbered item below is an area to be probed.

3.1 Are risk and issue management plans up-to-date?

Evidence expected	Status/Ref
• Risk register and issue log regularly reviewed, updated and acted on.	

3.2 Have all major risks been resolved?

Evidence expected	Status/Ref
• Updated risk and issue management plans and risk register, including risks associated with project resourcing and funding; team competencies; legislation; technical dependencies; users and stakeholders; • Owners of risks/issues assigned; and • Client-side risk transfer plans, where applicable.	

3.3 Will business contingency and continuity arrangements and plans minimise the impact of issues during implementation and rollout?

Evidence expected	Status/Ref
• Business continuity and contingency approach agreed with stakeholders and suppliers; • Business or client continuity and contingency plans being developed; • Supplier's continuity and contingency plans assessed; • Information assurance including risk assessment and management undertaken; and • Information security and cyber security practices and processes considered.	

3.4 Does the contract reflect standard terms and conditions and (where applicable) allocate risks between contracting parties?

Evidence expected	Status/Ref
• Contracts comply with standard terms and conditions; • Changes to standard terms and conditions assessed for their impact, legality and acceptability; and • Risk allocation proposed by supplier or partner analysed against expectations or the original project rationale.	

3.5 For longer-term service or partnering contracts, have re-competition issues been considered?

Evidence expected	Status/Ref
• Plans for exit strategy, with review points over the life of the contract to update exit arrangements.	

3.6 Does the resource management plan address the risk of staff burn out?

Evidence expected	Status/Ref
• Measures in place to support staff wellbeing	

3.7   Have cyber security risks been identified and evaluated?

Evidence expected	Status/Ref
• Potential dangers to information and system (threats) assessed against potential system vulnerabilities that may generate the threat/vulnerability pair; • Controls in place to reduce the risk of the threat exploiting the vulnerability; • Likelihood of threat exploiting a related vulnerability considered; and • Severity of impact on the system by an exploited vulnerability assessed.	

4. Review of current phase

Each numbered item below is an area to be probed.

4.1   Is the project under control?

Evidence expected	Status/Ref
• Project running to schedule and cost within budget; and • Recommendations from earlier gates actioned.	

4.2   What caused any over or under runs?

Evidence expected	Status/Ref
• Reconciliations set against budget and time plan.	

4.3   What actions will prevent future deviations?

Evidence expected	Status/Ref
• Analysis and plans documented and continually updated and reviewed.	

4.4   Have all assumptions from previous gates been validated?

Evidence expected	Status/Ref
• All assumptions validated or examined, registered in risk register/issue management log and assessed with suppliers and partners; and • New assumptions documented.	

4.5   Have procurement and technical checks been carried out?

Evidence expected	Status/Ref
• Clear bid management review and approval processes; • Compliance with the NSW procurement framework; • Evaluation strategy followed; • Delivery agency (or government) approval for technical attributes if appropriate, e.g. CIO or enterprise and application architecture review; and for information security and cyber security if appropriate, e.g. Chief Information Security Officer (CISO) and internal audit; and • Involvement of cyber security stakeholders included where required.	

4.6   Did the project team follow the delivery strategy?

Evidence expected	Status/Ref
• Confirmation that the delivery strategy and plan have been followed.	

4.7   Were the documents subject to quality review?

Evidence expected	Status/Ref
• Quality review documentation.	

4.8   Has the procurement process managed probity?

Evidence expected	Status/Ref
● Probity advisor or equivalent sign-off.	

4.9   Does the project align with the NSW Government Sustainability Plan?

Evidence expected	Status/Ref
● Consideration of how the project aligns with sustainability plans or policies where applicable.	

4.10   If the project is replacing an existing system or infrastructure does it address NSW e-Waste policies?

Evidence expected	Status/Ref
● Consideration of how the project aligns with sustainability plans or policies where applicable.	

4.11   Has time been allowed to fix faults and how will slippage be monitored and managed?

Evidence expected	Status/Ref
● Resourcing allowed for defect remediation and refactoring; ● Monitoring and controls in place to prioritise defect resolution alongside the development of new functionality; and ● Sprint planning covers time to fix defects.	

4.12   Is the budget under control? Is there a risk that a higher spend burn rate is required, e.g. for developers/coders to maintain pace?

Evidence expected	Status/Ref
● Financial based management data examined; ● Regular financial data ideally links to each Sprint cycle; and ● Reports considered at program board/steering committees.	

4.13   How has governance and methodology performed? Can they be improved?

Evidence expected	Status/Ref
● Governance structure effectiveness reviewed; and ● Chosen methodology performing well.	

5. Readiness for next phase: Readiness for go-live

Each numbered item below is an area to be probed.

5.1 Is the working relationship likely to succeed?

Evidence expected	Status/Ref
• Realistic assessment of management style/behaviour and reporting arrangements on both sides; • Procedures and responsibilities for contract management defined and agreed; • Where applicable, plans for partnering workshops in place; and • Personnel will be retained from contract award phase into implementation phase.	

5.2 Are all resources and internal funds in place?

Evidence expected	Status/Ref
• Budget provided; • Staff resourced provided; • Future expenditure included in project budgets; • Authorisation/approval process in place for payments to suppliers; • Clear process for expenditure reporting and reconciliation; and • Insurances established by supplier where required.	

5.3 Are the supplier's project, risk and management plans adequate and realistic?

Evidence expected	Status/Ref
• Supplier or partner project plan meets timescales; • Implementation and risk management plans realistic; and • Relevant accreditations or certifications have (or will) be met, e.g. penetration tests for data security, information and cyber security self or independent assessments.	

5.4 Does the client-side plan reflect the supplier's plans, and vice versa?

Evidence expected	Status/Ref
• Updated project management plan reflects tender proposals; • Defined organisation, personnel and responsibilities for delivery agency (as client); • Supplier personnel cleared to meet project requirements; • Issues resolution process agreed with supplier/partner; and • All plans have been reviewed, agreed and included in the contract.	

5.5 Are the long-term contract administration plan and benefit measurement process complete?

Evidence expected	Status/Ref
• Long-term plan with contract management strategy and a detailed service delivery plan; • Resources, with identified sources; • Benefit measures agreed with supplier/partner (if supplier payments related to benefits delivery); • Analysis of project plan shows that resources are identified, planned and budgeted for and available when required; and • Roles and responsibilities defined.	

5.6 Are mechanisms and processes in place for the next phase?

Evidence expected	Status/Ref
• Project plan confirms arrangements for management, monitoring, transition and implementation; and • Any external consultants accountable and committed to successful delivery.	

5.7 Are the service management plan, administration and service level arrangements complete?

Evidence expected	Status/Ref
• Documented service management strategy and plan; • Defined and agreed service level management, service levels, service quality and measurement; • Responsibilities defined for each party; • Defined and agreed standards for services; and • Defined and agreed monitoring, reporting and review mechanisms.	

5.8 Is the management process for service change complete?

Evidence expected	Status/Ref
• Change control procedures (technical and business) defined, agreed and contracted; and • Defined and agreed management process and responsibilities.	

5.9 Is there an acceptance strategy or commissioning strategy, as applicable?

Evidence expected	Status/Ref
• Acceptance/commissioning strategy and plan, with fully documented and timetabled decision paths (e.g. for preferred supplier choices); • Decision makers identified and clear on their role and what information will inform their decisions; • Acceptance criteria agreed with supplier; and • Validated acceptance testing plan, including technical and business components.	

5.10 Is there an implementation strategy?

Evidence expected	Status/Ref
• Implementation strategy and plan, developed with users, stakeholders and client business management; • Where applicable, plans for transition to new ways of working; and • Monitoring and controlling handover roles defined for client and supplier.	

5.11 Are end users adequately prepared for transition?

Evidence expected	Status/Ref
• User research and engagement; and • Communication strategy defines customers and end-users, and how they will be engaged.	

5.12 If there are legacy systems, are there plans to transfer data, integrate with them and exit them?

Evidence expected	Status/Ref
• Review of plans to establish viability of approach.	

5.13 Will changes to external dependencies effectively feed into development work?

Evidence expected	Status/Ref
• Coordinated approach to dealing with external dependencies.	

Gate 4 Review: Typical project documentation

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

Governance, requirements, policy and resourcing

- Service management arrangements defining how services will be managed, how performance is measured, and service management responsibilities for the client and supplier;

- Full Business Case and benefits plans for each of the bids that are acceptable in principle to confirm the delivery strategy and that the negotiated and agreed solution(s) meet the original criteria;

- Active management of the product backlog and sprint backlog (Agile);

- Conducting sprint planning, review and retrospective meetings (Agile); and

- The agency self-assessment template showing compliance with whole-of-government ICT policies, standards and priorities.

Stakeholder engagement and change management

- Plan for implementing business change and plans for handling future change;

- An updated communications plan; and

- Change management plan.

Quality Management

- Information assurance documentation.

Financial Management

- Financial assessment of the proposed respondent; and

- Confirmation of the funds and authority to proceed.

Procurement and commercials

- Tender documents;

- Contract documents;

- Proposal from the preferred respondent;

- Evaluation report that recommends the selected supplier or partner; justifies the selected supplier; details close contenders; and plans for debrief of unsuccessful suppliers; and

- The operational requirement and draft contract.

Risk Management

- Strategies to manage risks and issues, and a risk register showing risks were identified and managed.

Planning and control

- Project management plan;

- Active management of the scrum board/holding stand-ups (Agile);

- Tracking of the sprint burndown chart (Agile);

- Delivery strategy, including a procurement strategy if appropriate;

- Realistic plans from the supplier for development and implementation;
- Outline project plans through to completion and plans for the next phase; and
- An updated project time plan developed with the selected suppliers.

Benefits Management

- The benefit management strategy, benefit management plans and responsibilities for delivery;
- Updated benefits management plan; and
- Updated benefits realisation register.