

GATE 5 REVIEW GUIDELINE

Pre-Commissioning

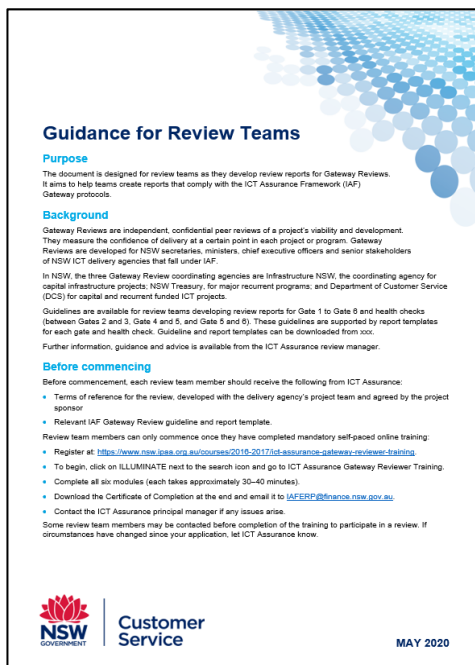


Customer
Service

JUNE 2020

About this guideline

This guideline assists review teams and delivering agencies working on Gate 5: Pre-commissioning of the ICT Assurance Framework (IAF) Gateway review process. It should be read alongside the 'Gate 5 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.

PAGE 3	The Gateway Review process Purpose of the review Focus areas	PAGE 10	Topics to probe within each of the four key review scope areas: 1. Business Case and stakeholders 2. Risk Management 3. Review of current phase 4. Readiness for next phase: Post-implementation
PAGE 7	The Gateway Review Framework Conducting a Gateway Review Assessing risk in ICT Assurance Developing the report	PAGE 20	Typical project documentation for Gate 5 review

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		
PLANNING	GATE 1 Strategic Alignment	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"> • 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.	<ul style="list-style-type: none"> • 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.	<ul style="list-style-type: none"> • Assessment of delivery approach • Business case and stakeholders • Risk management • Review of current phase • Readiness for next phase 	
DELIVERY	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.	<ul style="list-style-type: none"> • Assessment of the proposed solution • Business case and stakeholders • Risk management • Review of current phase • Readiness for next phase 	
	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.	<ul style="list-style-type: none"> • Business case and stakeholders • Risk management • Review of current phase • Readiness for next phase 	<ul style="list-style-type: none"> • Test leading indicators of problems to catch risks and issues early. • Ensure appropriate measures and checks are in place for ongoing assurance.
	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.	<ul style="list-style-type: none"> • 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 	

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Potential for multiple or recurrent health checks and milestone reviews

Purpose of the review - Gate 5: Pre-commissioning

Gate 5: Pre-commissioning investigates whether the delivery agency is ready to adopt the solution to achieve the benefits stated in the Business Case and manage the change required. The review also confirm that relevant whole-of-government ICT policies, standards and priorities have been considered.

The Gate 5: Pre-commissioning review is designed to:

- Check the current phase of the contract is properly completed and documentation completed;
- Ensure contractual arrangements are up-to-date;
- Assess if the Business Case is still valid and unaffected by internal and external events or changes;
- Assess if the original projected business benefit is likely to be achieved;
- Ensure processes and procedures will achieve long-term success of the project;
- Confirm that all necessary testing is done (e.g. Commissioning, business integration and user acceptance testing) to the delivery agency's satisfaction and that the delivery agency is ready to approve implementation;
- Check that there are feasible and tested business contingency, continuity and/or reversion arrangements;
- Ensure all risks and issues are being managed effectively and do not threaten implementation;
- Evaluate the risk of proceeding with implementation if there are unresolved issues;
- Confirm the delivery agency is resourced and ready to implement the services and the business change;
- Confirm that the delivery agency and supplier implementation plans are achievable;
- Confirm there are controls to manage the project through implementation and operation;
- Confirm contract arrangements are in place to manage the operational phase of the contract;
- Confirm arrangements for handover from Project Sponsor to the operational business owner;
- Confirm all parties have agreed plans for training, communication, rollout, production release and support;
- Confirm all parties have agreed plans for managing risk;
- Confirm there are client-side (delivery agency) plans for managing the working relationship, with appropriate reporting arrangements, reciprocated on the supplier side;
- Confirm information assurance accreditation/certification;
- Confirm defects or incomplete works are identified and recorded;
- Check that lessons for future projects are identified and recorded;
- 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 four key review scope areas:

- Business Case and stakeholders;
- Risk Management;
- Review of current phase; and
- Readiness for next phase: Post-implementation.

These key review scope areas will help to structure the Gate 5 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
	<p>Affordability and value for money</p> <p>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.</p>
	<p>Risk Management</p> <p>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.</p>
	<p>Governance</p> <p>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</p>
	<p>Stakeholder Management</p> <p>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.</p>
	<p>Change Management</p> <p>Consideration of how the change will affect stakeholders, expected acceptance or resistance and actions required to move to new ways of working.</p>
	<p>Service Delivery</p> <p>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.</p>
	<p>Sustainability</p> <p>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.</p>

The Gateway Review Framework

	Gate 1 – Strategic Alignment	Gate 2 – Business Case	Gate 3 – Pre-execution	Gate 4 – Tender Evaluation	Gate 5 – Pre-commissioning
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
Review Scope	<ul style="list-style-type: none"> Policy and business context Business case and stakeholders Risk management Readiness for next phase 	<ul style="list-style-type: none"> Assessment of delivery approach Business case and stakeholders Risk management Review of current phase Readiness for next phase 	<ul style="list-style-type: none"> Assessment of delivery approach Business case and stakeholders Risk management Review of current phase Readiness for next phase 	<ul style="list-style-type: none"> Assessment of the proposed solution Business case and stakeholders Risk management Review of current phase Readiness for next phase 	<ul style="list-style-type: none"> Business case and stakeholders Risk management Review of current phase Readiness for next phase
7 focus areas emphasis					
Reviews will assess the focus areas through various lenses including:					
Risk Management	<ul style="list-style-type: none"> Early identification of key risks, including risk for potential solutions/options and strategic risk Outline risk management plans 	<ul style="list-style-type: none"> Early identification of key risks, including risk for potential solutions/options and strategic risk Updated risk management plans 	<ul style="list-style-type: none"> Assessment of key risks Key procurement and supplier risk Stakeholder risks Updated risk management plans 	<ul style="list-style-type: none"> Assessment of key risks Key procurement and supplier risk Updated risk management plans Stakeholder & change risks 	<ul style="list-style-type: none"> Assessment of key risks Key delivery and implementation risks Updated risk management plans Stakeholder & change management risks
Change & end users	<ul style="list-style-type: none"> Stakeholder identification and end user input to service needs 	<ul style="list-style-type: none"> Assessment of the change impact to all stakeholders 	<ul style="list-style-type: none"> External (market) engagement and analysis 	<ul style="list-style-type: none"> Change preparation and planning 	<ul style="list-style-type: none"> Change, training and transition support
Benefits Management	<ul style="list-style-type: none"> High level benefits identified and agreed Benefits strategy, plan and register 	<ul style="list-style-type: none"> Benefits aligned to business case and agreed Governance and plans for realising and delivering benefits Updated Benefits management plan 	<ul style="list-style-type: none"> Benefits aligned to business case and agreed Governance and plans for realising and delivering benefits Deviations to agreed and planned benefits 	<ul style="list-style-type: none"> Updated benefits strategy, realisation plan and register Deviations to agreed and planned benefits Benefits aligned to business case and agreed 	<ul style="list-style-type: none"> Achievability of planned benefits Updated benefits strategy, realisation plan and register Handover and measurement of benefits
Scope Management	<ul style="list-style-type: none"> Requirements and scope are clear Alignment to business needs Options analysis 	<ul style="list-style-type: none"> Feasibility and options analysis to meet organisations needs and address government strategy 	<ul style="list-style-type: none"> Updated project scope including business change Delivery plan defined and agreed 	<ul style="list-style-type: none"> Assessment of options to ensure they are still within scope 	<ul style="list-style-type: none"> Confirmation project scope still meets business needs and acceptance criteria
HEALTH CHECKS / DEEP DIVES					

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
- 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
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7 focus areas emphasis						

Reviews will assess the focus areas through various lenses including:

Risk Management	<ul style="list-style-type: none"> Early identification of key risks, including risk for potential solutions/options and strategic risk Outline risk management plans 	<ul style="list-style-type: none"> Early identification of key risks, including risk for potential solutions/options and strategic risk Updated risk management plans 	<ul style="list-style-type: none"> Assessment of key risks Key procurement and supplier risk Stakeholder risks Updated risk management plans 	<ul style="list-style-type: none"> Assessment of key risks Key procurement and supplier risk Updated risk management plans Stakeholder & change risks 	<ul style="list-style-type: none"> Assessment of key risks Key delivery and implementation risks Updated risk management plans Stakeholder & change management risks 	<ul style="list-style-type: none"> 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	<ul style="list-style-type: none"> Stakeholder identification and end user input to service needs 	<ul style="list-style-type: none"> Assessment of the change impact to all stakeholders 	<ul style="list-style-type: none"> External (market) engagement and analysis 	<ul style="list-style-type: none"> Change preparation and planning 	<ul style="list-style-type: none"> Change, training and transition support 	<ul style="list-style-type: none"> Continuous improvement End user support
Benefits Management	<ul style="list-style-type: none"> High level benefits identified and agreed Benefits strategy, plan and register 	<ul style="list-style-type: none"> Benefits aligned to business case and agreed Governance and plans for realising and delivering benefits Updated Benefits management plan 	<ul style="list-style-type: none"> Benefits aligned to business case and agreed Governance and plans for realising and delivering benefits Deviations to agreed and planned benefits 	<ul style="list-style-type: none"> Updated benefits strategy, realisation plan and register Deviations to agreed and planned benefits Benefits aligned to business case and agreed 	<ul style="list-style-type: none"> Achievability of planned benefits Updated benefits strategy, realisation plan and register Handover and measurement of benefits 	<ul style="list-style-type: none"> Assessment and measurement of the realisation of planned benefits Planned future benefits Measurement of benefits against the business case
Scope Management	<ul style="list-style-type: none"> Requirements and scope are clear Alignment to business needs Options analysis 	<ul style="list-style-type: none"> Feasibility and options analysis to meet organisations needs and address government strategy 	<ul style="list-style-type: none"> Updated project scope including business change Delivery plan defined and agreed 	<ul style="list-style-type: none"> Assessment of options to ensure they are still within scope 	<ul style="list-style-type: none"> Confirmation project scope still meets business needs and acceptance criteria 	<ul style="list-style-type: none"> Scope for improved value for money Future needs and scope



Conducting a Gateway Review

	Step 1 – Initiate	Step 2 – Prepare	Step 3 – Conduct	Step 4 – Report
WHAT	<ul style="list-style-type: none"> • Register project • Confirm risk tier and assurance plan • Agree review dates • Draft and approve terms of reference 	<ul style="list-style-type: none"> • 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 	<ul style="list-style-type: none"> • Planning meeting • Interviews held • Daily Sponsor feedback sessions • End-of-review Sponsor debrief 	<ul style="list-style-type: none"> • 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	<ul style="list-style-type: none"> • ISSI Working Group • Sponsor, Project Director / Manager (agency) • Assurance Director, Principal Manager, Case Officer (DCS) 	<ul style="list-style-type: none"> • Sponsor, Project Director / Manager, Coordinator (agency) • Assurance Director, Principal Manager, Case Officer (DCS) • Review team 	<ul style="list-style-type: none"> • Sponsor, Project Director / Manager, Coordinator (agency) • Interviewees including project stakeholders, Treasury, end users, third parties • Assurance Director, Principal Manager, Case Officer (DCS) • Review team 	<ul style="list-style-type: none"> • Sponsor, Project Director / Manager, Coordinator (agency) • GCIDO • Assurance Executive Director, Director, Principal Manager, Case Officer, Finance (DCS) • Review team
WHEN	 <p>Varied</p>	 <p>Up to 4 weeks</p>	 <p>1–3 weeks</p>	 <p>1–3 weeks</p>

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.

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. Business Case and stakeholders

Each numbered item below is an area to be probed.



1.1 Is the project still required?

Evidence expected	Status/Ref
<ul style="list-style-type: none"> • Where relevant, approval of changes to requirement defined at Gate 4; • Communication with stakeholders; • Project board endorsement of: <ul style="list-style-type: none"> – Updated Business Case and benefits plans; – Reviews of the solution against the requirement; – Reconciliation of government and organisation objectives with those defined at Gate 4; and • Plans for modular/incremental implementation, where required. 	



1.2 Does the project meet the business need?

Evidence expected	Status/Ref
<ul style="list-style-type: none"> • Confirmation the operational service or facility (or partnering contract, where applicable) is approved by stakeholders. 	



1.3 Is the Business Case valid?

Evidence expected	Status/Ref
<ul style="list-style-type: none"> • Updated project (or program, if appropriate) plan and Business Case that justify how the implementation will meet business need; deliver value for money; be affordable and achievable, with implementation broken down into modules/increments where appropriate. 	



1.4 Do changes between award of contract and completion of transition/testing affect plans for business change?

Evidence expected	Status/Ref
<ul style="list-style-type: none"> • Change management documentation for impact analysis; products, design or operational changes; and justified and approved changes; • Updated Business Case and benefit plan; and • Updated processes, procedures and activities. 	



1.5 Is the delivery agency ready for business change?

Evidence expected	Status/Ref
<ul style="list-style-type: none"> • Agreed plans for business preparation, transition and operational phases and, where appropriate, readiness of ICT and/or new facilities; • Change management plan developed with stakeholders; • Change management strategy builds understanding of stakeholders' views, organisational and business process implications and communication requirements; • Communications plan; • Informed and trained staff; and • Defined service management function/organisation. 	



1.6 Can the delivery agency implement the new services and maintain existing services?

Evidence expected	Status/Ref
<ul style="list-style-type: none"> Resource plan, showing capacity and capability, and that resources are available to meet commitments. 	



1.7 Are resources available with, where required, appropriate skills and experience?

Evidence expected	Status/Ref
<ul style="list-style-type: none"> Internal and external commitment to provide required resources; Job descriptions for key project staff; Skills appraisal and plans to address shortfalls; and Allocation of project roles between internal staff and consultants or contractors. 	



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

Evidence expected	Status/Ref
<ul style="list-style-type: none"> Updated benefits realisation strategy and benefits realisation register. 	



1.9 Is there a strategy to plan and manage benefits?

Evidence expected	Status/Ref
<ul style="list-style-type: none"> Updated benefits realisation strategy and benefits realisation register document the identified benefits and the realisation of these benefits. 	



1.10 Is any remaining development focused on the minimum viable product (MVP)?

Evidence expected	Status/Ref
<ul style="list-style-type: none"> Control of product backlogs. 	



1.11 Are delegations (decisions and budget) defined?

Evidence expected	Status/Ref
<ul style="list-style-type: none"> Business Case or program structure document details individual and group delegations. 	



1.12 Does the live service operating model provide the resources to deliver the MVP?

Evidence expected	Status/Ref
<ul style="list-style-type: none"> Resource plan mapped against operating model, required resourcing or the MVP. 	



1.13 Are business users empowered to effect change if required?

Evidence expected	Status/Ref
<ul style="list-style-type: none"> Effectiveness of product managers to deliver change in the business. 	

1.14 What is the strategy for continued development of the service or growing a portfolio of Digital by Default services?



Evidence expected	Status/Ref
<ul style="list-style-type: none"> • Department and program policy/strategy; and • Business Case. 	

1.15 Are user and business needs reviewed and benefits tracked?



Evidence expected	Status/Ref
<ul style="list-style-type: none"> • Feedback from business stakeholders; and • Benefits management arrangements reflect the changing environment. 	

2. Risk Management

Each numbered item below is an area to be probed.

2.1 Are risks and issues identified at contract award resolved?

Evidence expected	Status/Ref
<ul style="list-style-type: none"> Risks satisfactorily resolved – no outstanding issues. 	

2.2 Are risks and issues at implementation phase being identified and managed?

Evidence expected	Status/Ref
<ul style="list-style-type: none"> Risks satisfactorily resolved – with remaining risks only associated with commissioning and service delivery; Risks fully quantified with appropriate risk management plans in place; and Mitigation of risks identified during vulnerability and penetration testing. 	

2.3 If there are unresolved issues, what are the risks of implementing versus delay?












Evidence expected	Status/Ref
<ul style="list-style-type: none"> Project risk management strategy developed in line with best practice; Remaining issues and risks assessed with responsibility for management defined; Evaluation report on the risk and impact of cancelling, delaying or proceeding with implementation considers project outcome and wider program of change; benefits realisation; consequences for supplier, client, business, stakeholders, users; other factors such as financial outcome, political issues, information security and delivery; Options and management plans for all scenarios and a recommendation based on sensitivity analysis; and Project board ratifies any recommendation to delay or proceed with implementation. 	

2.4 Is the budget under control? Is a higher spend burn rate required, e.g. for developers or coders to maintain pace?

Evidence expected	Status/Ref
<ul style="list-style-type: none"> Examination of financial management data; Evidence of regular financial data linked to each Sprint cycle; and Reports considered by program board/steering committee. 	

3. Review of current phase

Each numbered item below is an area to be probed.

<p>3.1 Does the total service or facility meet the acceptance criteria?</p>	 				
<table border="1"> <thead> <tr> <th data-bbox="114 414 1295 470">Evidence expected</th> <th data-bbox="1295 414 1468 470">Status/Ref</th> </tr> </thead> <tbody> <tr> <td data-bbox="114 470 1295 560"> <ul style="list-style-type: none"> Justification and authorisation of changes to original specification; and Analysis of as-built/products show the solution complies with acceptance criteria. </td> <td data-bbox="1295 470 1468 560"></td> </tr> </tbody> </table>	Evidence expected	Status/Ref	<ul style="list-style-type: none"> Justification and authorisation of changes to original specification; and Analysis of as-built/products show the solution complies with acceptance criteria. 		
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<p>3.2 Is the project under control? Is it running according to plan and budget?</p>	   				
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<p>3.3 Have all the stakeholder issues been addressed?</p>					
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<ul style="list-style-type: none"> Progress reports completed and circulated as part of the communication plan for stakeholders. 					
<p>3.4 Have all process testing and commissioning/acceptance (or transition) procedures and activities been completed?</p>	 				
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<p>3.5 Have all parties accepted relevant commissioning/test results and any action plans required?</p>	 				
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3.6 Are there workable and tested business contingency, continuity and/or reversion plans for rollout, implementation and operation?



Evidence expected	Status/Ref
<ul style="list-style-type: none"> • Documented and timetabled decision paths for key aspects (e.g. go/no go decisions on rollout) with decision makers identified and informed; • Where appropriate, plans cover IT components and business processes; • Endorsement by project board and supplier; • Roles and responsibilities listed, resources allocated and staff trained; • Commissioning/testing represents expected scenario(s); • Plans for transition to new ways of working, where applicable; • Plans for handover to facilities management, where applicable; • Training plans and relevant supporting material, if required; and • Plans for a user support helpdesk, where applicable. 	

3.7 Have internal/external parties agreed change management plans; plans for migration and data transfer; client and supplier implementation; or rollout?



Evidence expected	Status/Ref
<ul style="list-style-type: none"> • All required plans in the contract; • All parties or their representatives aware of and agreed to their responsibilities; • Where relevant, partnering agreement in place or planned; and • Shared understanding of the change control process. 	

3.8 Have changes to the contract been previously forecast, accurately recorded and approved?



Evidence expected	Status/Ref
<ul style="list-style-type: none"> • Contractual basis for 'manage and operate contract' reviewed and agreed; and • Contract documentation with appropriate authority for all changes since award, including rationale for the change. 	

3.9 Is the delivery agency operationally ready to manage the contract?



Evidence expected	Status/Ref
<ul style="list-style-type: none"> • Appropriate involvement of future operational contract management team; • Handover arrangements regarding knowledge and learning between provision of assets (where required) and contract management teams; • Project team who will be available to the contract management team over the first year of operation identified; and • Expected issues related to defects in the finished product identified and addressed. 	

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



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



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

Evidence expected	Status/Ref
<ul style="list-style-type: none"> Project aligns to sustainability plans/policies where applicable. 	



3.12 If the project is replacing an existing system or infrastructure, are NSW e-Waste policies considered?

Evidence expected	Status/Ref
<ul style="list-style-type: none"> Project aligns to sustainability plans/policies where applicable. 	



3.13 Can non-functional requirements (NFRs) be tested and is testing of NFRs provided for?

Evidence expected	Status/Ref
<ul style="list-style-type: none"> Origin and validity of NFRs readily assessable; and Performance, volume and stress testing being planned. 	



3.14 Is there a system to track, report and, if required, correct progress?

Evidence expected	Status/Ref
<ul style="list-style-type: none"> Backlogs monitored with evidence of realignment if required; Earned value properly measured; and Timely reports/dashboard to the program board/steering committee. 	



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

Evidence expected	Status/Ref
<ul style="list-style-type: none"> Review of plans to establish viability of approach. 	



3.16 Is the incremental planning approach overloading resources or the schedule?

Evidence expected	Status/Ref
<ul style="list-style-type: none"> Monitoring of progress and backlog. 	



3.17 What are the contingency plans and estimates for non-digital services?

Evidence expected	Status/Ref
<ul style="list-style-type: none"> Evidence of a suitable non-digital solution where required. 	



3.18 Is change managed/controlled effectively?

Evidence expected	Status/Ref
<ul style="list-style-type: none"> Change management strategy and log details when, what, why and who. 	



3.19 Has change management for cyber security been successful?

Evidence expected	Status/Ref
<ul style="list-style-type: none"> Evidence through the change register and interviews. 	



3.20 What lessons are captured and considered from past or public releases?

Evidence expected	Status/Ref
<ul style="list-style-type: none"> Evidence of the systematic and sound identification, capture, retention and dissemination/use of lessons learned information; and Learnings from cyber security implementations considered. 	

4. Readiness for next phase: Post-implementation

Each numbered item below is an area to be probed.



4.1 Are all project elements ready for service?

Evidence expected	Status/Ref
<ul style="list-style-type: none"> • Updated schedules; • Health and safety file; • Handover certificates; • Test and commissioning data; • Plans for transition are in place; • Plans for 'operate contract'/service phase; • Contingency plan in place, if required; and • Technical documentation, including delivered drawings, operating manuals and instructions, and information assurance documentation. 	



4.2 Is ownership after handover clearly understood?

Evidence expected	Status/Ref
<ul style="list-style-type: none"> • Project Sponsor has identified business owner for the operational service, where applicable; • Project Sponsor has identified and agreed the critical success factors with the business owner; and • Handover responsibilities and arrangements documented and agreed. 	



4.3 Is the delivery agency ready to adopt new ways of working, where applicable?

Evidence expected	Status/Ref
<ul style="list-style-type: none"> • New business processes identified, tested and ready to go-live; • Information and support available (e.g. customer information at call centres); and • Where applicable, members of the public as end-users aware of the new service and can find out more. 	



4.4 Is the long-term contract management process in place?

Evidence expected	Status/Ref
<ul style="list-style-type: none"> • Performance management plans in place; • Performance enhancement process agreed with service provider and documented in contract; and • Means of measuring performance agreed with supplier or partners. 	



4.5 Is there a process to manage and measure benefits?

Evidence expected	Status/Ref
<ul style="list-style-type: none"> • Benefits management plans linked to program outcomes where applicable; • Means of measuring benefits agreed with supplier/partners; and • For collaborative projects, all parties understand and agree responsibilities and arrangements for benefits realisation. 	



4.6 Has ongoing operation and maintenance been considered?

Evidence expected	Status/Ref
<ul style="list-style-type: none"> Issues and ongoing costs for maintenance of ICT infrastructure and applications monitored against expectations and addressed. 	



4.7 Is there a process for post-implementation reviews?

Evidence expected	Status/Ref
<ul style="list-style-type: none"> Plan for post-implementation reviews endorsed by supplier and internal and external parties. 	



4.8 What communications are planned for releases or for live transition?

Evidence expected	Status/Ref
<ul style="list-style-type: none"> NFRs scaled to likely consumer demand; and Communication products address this, and potential mismatch of surge demand identified. 	



4.9 Are time and resources allowed for product integration and operational readiness testing over and above testing as part of development iterations?

Evidence expected	Status/Ref
<ul style="list-style-type: none"> Testing plan details the nature and rationale for planned testing; The need for full system and end-to-end process testing recognised, especially in multi-vendor environments; and Test schedules do not assume success at first pass and allow for faults identification and rectification. 	



4.10 Are end users adequately prepared for the transition?

Evidence expected	Status/Ref
<ul style="list-style-type: none"> User research and engagement; and Communication strategy defines customers and end users, and how they will be engaged. 	



4.11 Has the transition from project to business as usual been effective?

Evidence expected	Status/Ref
<ul style="list-style-type: none"> Support service handover arrangements defined and, if externally supplied, timing and handover arrangements defined in contracts. 	

Gate 5 Review: Typical project documentation

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

Governance, requirements, policy and resourcing

- An updated requirements definition with any changes agreed during the period up to Gate 5;
- Updated Business Case and plans for benefits realisation that reflect the effect of any requirements changes, and the plans for service delivery;
- Governance arrangements for the management of the operational contract;
- Active management of the product backlog and sprint backlog (Agile);
- Conducting sprint planning, review and retrospective meetings (Agile);
- Close-out (if the project ends at implementation) and status reports and reconciliations for adherence to statutory requirements;
- Lessons learned during the project (if the project ends at implementation); and
- The agency self-assessment template showing compliance with whole-of-government ICT policies, standards and priorities.

Stakeholder engagement and change management

- Training plan;
- Close-out (if the project ends at implementation) and status reports and reconciliations for communication and external relations; and
- Plan for management of change, including expected changes to requirements over time.

Quality Management

- Test plan and test reports;
- Close-out (if the project ends at implementation) and status reports and reconciliations for environmental performance;
- A plan for performance measurement; and
- Information assurance documentation (accreditation) and operational and maintenance instructions and warranties.

Financial Management

- Close-out (if the project ends at implementation) and status reports and reconciliations for cost versus budget, and actual versus planned schedule.

Procurement and commercials

- The updated contract; and
- An assessment of contractual issues during the project to date.

Risk Management

- Close-out (if the project ends at implementation) and status reports and reconciliations for risk management;

and

- Updated risk registers and issues log, including residual risks.

Planning and control

- Outline project plans through to completion and detailed plans for the next stage;
- Updated contingency and reversion plans;
- Active management of the Scrum Board/holding stand-ups (Agile); and
- Tracking of the Sprint Burndown Chart (Agile).

Benefits Management

- Benefits management plan.