GATE 3 REVIEW GUIDELINE

Pre-execution
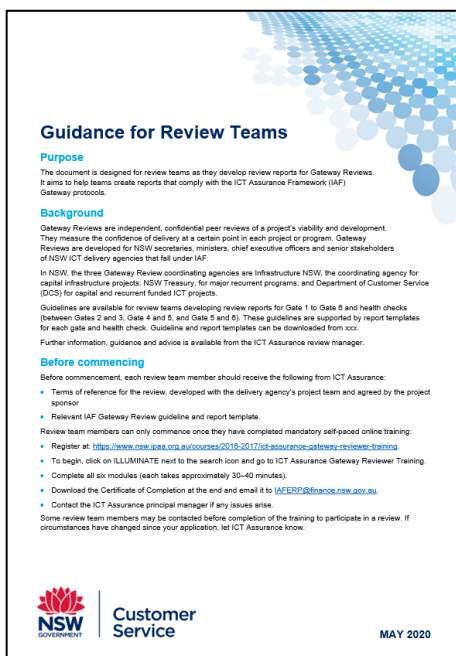
NSW GOVERNMENT | Customer Service

About this guideline

This guideline assists review teams and delivering agencies working on Gate 3: Pre-execution of the ICT Assurance Framework (IAF) Gateway review process. It should be read alongside the 'Gate 3 Review Report' template and 'Guidance to Review Teams', both available from https://www.digital.nsw.gov.au/policy/ict-assurance.

GATE 3 REVIEW REPORT
Pre-execution

[PROJECT NAME]

NSW Customer Service

MAY 2020

Guidance for Review Teams

Purpose
The document is designed for review teams as they develop review reports for Gateway Reviews. It aims to help teams create reports that comply with the ICT Assurance Framework (IAF) Gateway protocols.

Background
Gateway Reviews are independent, confidential peer reviews of a project's viability and development. They measure the confidence of delivery at a certain point in each project or program. Gateway Reviews are developed for NSW secretaries, ministers, chief executive officers and senior stakeholders of NSW ICT delivery agencies that fall under IAF.

In NSW, the three Gateway Review coordinating agencies are Infrastructure NSW, the coordinating agency for capital infrastructure projects; NSW Treasury, for major recurrent programs; and Department of Customer Service (DCS) for capital and recurrent funded ICT projects.

Guidelines are available for review teams developing review reports for Gate 1 to Gate 6 and health checks (between Gates 2 and 3, Gate 4 and 5, and Gate 5 and 6). These guidelines are supported by report templates for each gate and health check. Guideline and report templates can be downloaded from xxx.

Further information, guidance and advice is available from the ICT Assurance review manager.

Before commencing
Before commencement, each review team member should receive the following from ICT Assurance:

• Terms of reference for the review, developed with the delivery agency's project team and agreed by the project sponsor
• Relevant IAF Gateway Review guideline and report template.

Review team members can only commence once they have completed mandatory self-paced online training:

• Register at: https://www.nsw.ipaa.org.au/courses/2016-2017/ict-assurance-gateway-reviewer-training.
• To begin, click on ILLUMINATE next to the search icon and go to ICT Assurance Gateway Reviewer Training.
• Complete all six modules (each takes approximately 30–40 minutes).
• Download the Certificate of Completion at the end and email it to IAFERP@finance.nsw.gov.au.
• Contact the ICT Assurance principal manager if any issues arise.

Some review team members may be contacted before completion of the training to participate in a review. If circumstances have changed since your application, let ICT Assurance know.
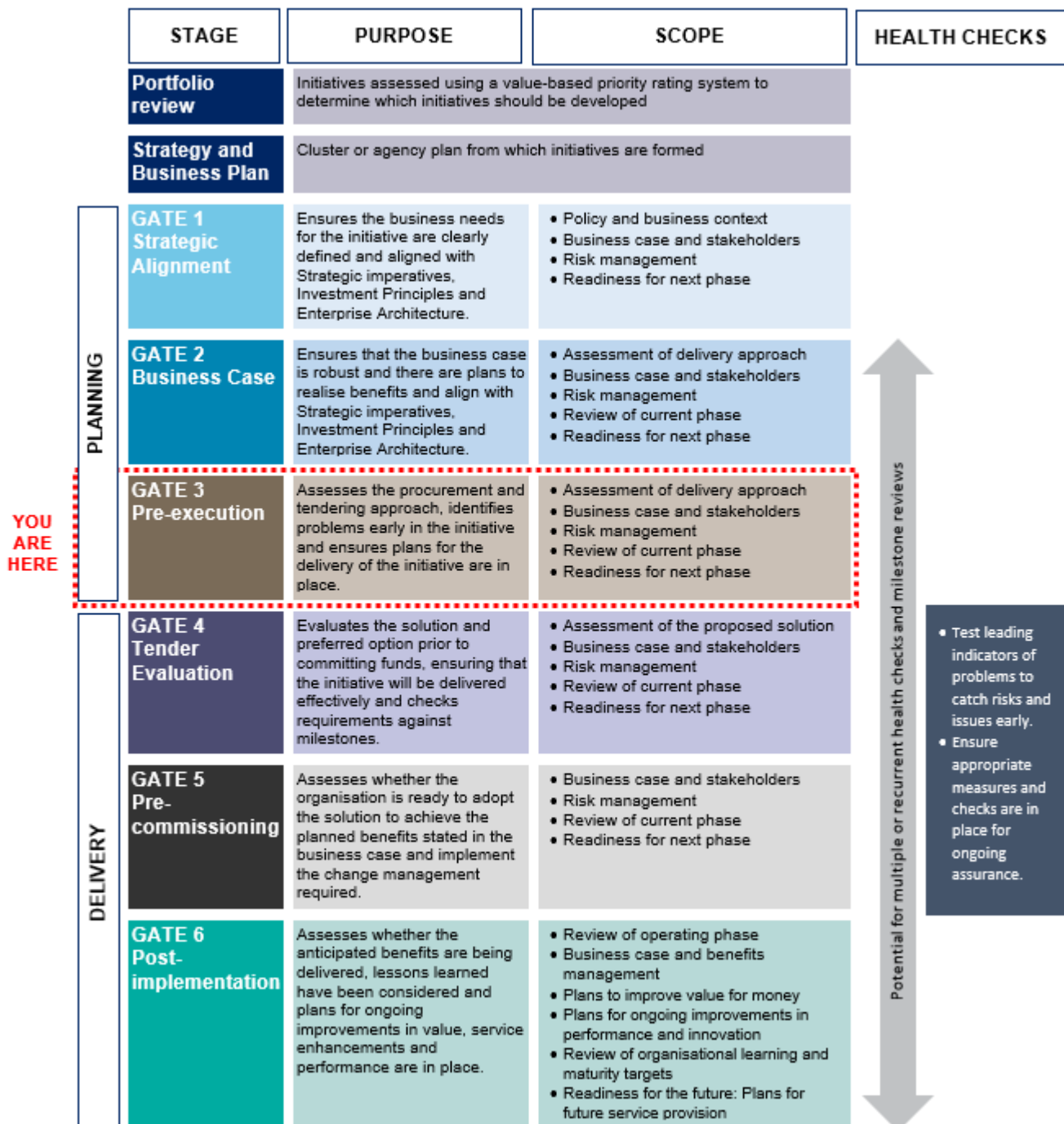
NSW Customer Service

MAY 2020

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	
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 (GATE 3)

Potential for multiple or recurrent health checks and milestone reviews

• Test leading indicators of problems to catch risks and issues early.
• Ensure appropriate measures and checks are in place for ongoing assurance.

Purpose of the review - Gate 3: Pre-execution

Gate 3: Pre-execution assesses the procurement and tendering approach, identifying any problems early and confirming delivery plans are in place. The review also confirms that relevant whole-of-government ICT policies, standards and priorities have been considered.

This Gate 3: Pre-execution review is designed to:

- Confirm the Business Case now the project is fully defined;
- Confirm the project's objectives and desired outputs still align with the program to which it contributes;
- Ensure a robust and appropriate outline delivery strategy;
- Confirm the procurement strategy and final pricing aligns to the Business Case financial forecasts for capital and operating expenditure;
- Ensure the project's plan to completion is detailed, realistic and includes a contract management strategy;
- Ensure project controls and organisation are defined, financial controls in place and the resources available;
- Confirm funding availability for the whole project;
- Confirm the outline development and delivery approach and mechanisms are appropriate and manageable;
- If appropriate, check market capability and track record (or existing supplier's capability and performance) are understood and the competitive response from the market meets requirements;
- Confirm the project will facilitate good client/supplier relationships;
- For a procurement project, confirm the procurement plan will comply with NSW Government procurement and legal requirements;
- Confirm project performance measures and tools are appropriate;
- Confirm there are plans for risk and issues management (business and technical) that will be shared with suppliers and/or delivery partners;
- Confirm quality procedures have been applied consistently since the previous review;
- Confirm compliance with ICT and information security requirements, and IT standards;
- Confirm delivery agency resources and capabilities will be available for future phases;
- Confirm stakeholders support the project and are committed to its success;
- Evaluate actions to address recommendations from earlier reviews; and
- Confirm all 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 delivery approach;
- Business Case and stakeholders;
- Risk Management;
- Review of current phase; and
- Readiness for next phase: Tender Evaluation.

These key review scope areas will help to structure the Gate 3 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
- 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 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   Do all relevant options for delivery consider delivery agency business needs and relevant government priorities?

Evidence expected	Status/Ref
● Examination and assessment of options, including internal resources.	

1.2   Are the delivery approach and mechanisms appropriate and agreed to by stakeholders? Have Agile methodologies (if appropriate) been considered?

Evidence expected	Status/Ref

● Clarify of which delivery methodology used – Waterfall, Agile, or Hybrid;
● If Agile, use of Agile values, principles, tools and techniques including:
    − Processes to review and respond to feedback, continue to improve and adapt to change;
    − Research that informs the evolution of the service;
    − Methods to prioritise requirements and features to ensure the service meets users' needs;
    − Decision-making and approval processes;
    − Engagement plans for each stakeholder;
    − Plans to share information, collaborate and troubleshoot issues;
    − Increased communication, collaboration and transparency; and
    − Whether the organisation has the maturity to use an Agile methodology, and what change is required to maximise the use of Agile methodology.	

1.3   Are business needs understood by the delivery agency and understood by those involved in delivery?

Evidence expected	Status/Ref
● Detailed output/outcome-based definition of requirements; ● Specification includes key success factors to show how outputs/outcomes will be assessed; and ● Appropriate quality criteria applied to information for the delivery agency (internal or external).	

1.4   Are project outputs/outcomes reflected in the requirement specification?

Evidence expected	Status/Ref
● Depending on the nature of the delivery, requirement specification reviewed and endorsed by stakeholders; and ● Requirement articulated to potential suppliers, internal or external, quality assured so that suppliers will understand what is wanted.	

1.5 Where appropriate, have options for procurement been evaluated, including sources of supply?

Evidence expected	Status/Ref
• All appropriate sourcing options examined (e.g. use of internal resources, single or multiple suppliers; opportunities for collaboration; shared services, use of existing frameworks, etc.); • Decision to contract for an output or for constituent building blocks or activities is soundly based; • Comparison with similar projects supported by intelligence on market capability; • Reasons for selecting sourcing options documented and justified; and • Supplier risks adequately considered.	

1.6 Will the project be attractive to the market?

Evidence expected	Status/Ref
• Market sounding, including recent similar procurements and indication of suitable suppliers; • Initial assessment of likely suppliers, market capacity to deliver and competitive interest; • If appropriate, assurance that the organisation has adequate expertise and capacity to undertake internal delivery of the requirement; and • Analysis of potential variations or innovations.	

1.7 Has the proposed procurement procedure been evaluated?

Evidence expected	Status/Ref
• Related risks such as impact on timescales and bid costs for suppliers evaluated, with decision justified and documented; • Legal advice sought on procurement approach; • Follows NSW procurement framework policy and processes and ISO standards; • Probity advisors considered or used; • Information security and cyber security implications of specific potential suppliers considered; • Data loss prevention products included; • Procurement strategy and final pricing aligns to the Business Case financial forecasts for both capital and operating costs; and • Evaluation of Agile methods in the procurement process, if applicable.	

1.8 Is the selected outline delivery strategy defined?

Evidence expected	Status/Ref
• Delivery strategy defined, showing reasons for selection and agreed with stakeholders;	

- Delivery strategy defined, showing reasons for selection and agreed with stakeholders;
- Business continuity and future exit, handover and transition strategies considered at high level;
- Appropriate people involved in development of the delivery strategy;
- Strategy includes as appropriate:
  - Objectives, constraints (e.g. Timescale), funding mechanism and risk allocation;
  - The delivery route, including sourcing options and contract strategy;
  - Procurement procedure; time needed for pre-procurement, implementation and contingency in the event of unavoidable slippage, with milestones;
  - Assessment of market and suppliers; roles, resources and skills required; alignment with implementation plans;
  - Relevant steps to manage information security and cyber security requirements, e.g. Independent testing where appropriate; and
- Procurement innovation and sustainability issues have been considered.

1.9 Have factors that influence the delivery strategy been addressed?

Evidence expected	Status/Ref
• Factors influencing the delivery strategy have been considered; and • Efficiency and predictability of process considered, including how deviation from plan and timetable will be addressed and stakeholder and supplier communication.	

1.10 Will the outline delivery strategy facilitate communication and cooperation between all parties involved?

Evidence expected	Status/Ref
• Communication strategy and support mechanisms; • Delivery strategy includes early involvement of suppliers so design is informed by delivery; and • Defined performance criteria with performance indicators and a system for measuring performance.	

1.11 Is there knowledge of existing and potential suppliers that are most likely to succeed?

Evidence expected	Status/Ref
• Knowledge of existing and potential suppliers considered; • Commercial market intelligence, market sources and potential suppliers; • Assessment of similar size and complexity projects from public and private sector, including public sector's ability to work in this way; private sector track record in meeting similar or equivalent business need; and • Indications of the types of suppliers most likely to succeed.	

1.12 Is the contract management strategy robust?

Evidence expected	Status/Ref
• Contract management strategy considers required intelligent customer skills, proposed relationship, management of single or multiple suppliers; and • Evidence of continuity of key project personnel.	

1.13   Do the contracts comply with NSW procurement rules?

Evidence expected	Status/Ref
• Evidence of compliance to the NSW procurement framework: − Procurement policy; − Value for money; − Promotion of competition; − Sustainable procurement; and − Corruption prevention, fairness and probity.	

1.14   Is the evaluation strategy (including how to demonstrate value for money) accepted by stakeholders and compliant with NSW procurement rules?

Evidence expected	Status/Ref
• Evaluation criteria and model(s) approved by stakeholders; • Key evaluation criteria linked to business objectives and given appropriate weighting; • Financial and non-financial aspects of the evaluation separated; • Evaluation criteria included in information to potential tenderers and prioritised, where applicable (e.g. quality of service, innovation); • Where appropriate, evaluation benchmarks the value for money benefits of partnering, internal supplier or framework/call-off arrangements; • Consideration of contract duration, in relation to value for money and whole-life costs; and • Consideration of whether to act as a central purchasing body.	

1.15   Does the project and proposed solution meets the whole-of-government ICT policies, standards and priorities?

Evidence expected	Status/Ref
• The agency self-assessment template showing compliance with whole-of-government ICT policies, standards and priorities.	

1.16   Is the culture of the delivery agency ready to deliver the project?

Evidence expected	Status/Ref
• Staff from project teams to board level aware of the implications of chosen methodology (e.g. though training and regular communications); • Reporting and governance structures are ready within the team and for stakeholders; and • If using Agile, delivery agency has the capability and discipline.	

1.17   Do all the stakeholders fully understand the delivery methodology including resource commitments, delegations and governance arrangements?

Evidence expected	Status/Ref
• High level of understanding with key participants trained to start development; • Ramifications (e.g. empowered staff and evolving/changing requirements) have been considered; and • If relevant, decision making framework for Agile in place and stakeholders aware.	

1.18   Have time, cost and resource implications been considered?

Evidence expected	Status/Ref
• Outline costs of approach considered against delivery requirements; • Understanding of business as usual activities assigned resources are working on; and • Recognition that plans are developed iteratively.	

1.19   Is it clear that some development may be discarded or approaches change as the development progresses?

Evidence expected	Status/Ref
• Recognition that disposal of early iterations is accepted and longer-term planning is not always possible.	

1.20   Does the delivery agency have the capability and capacity to manage simultaneous developments?

Evidence expected	Status/Ref
• Resourcing plans clarify what staff resources are available and their role; • Capacity and capability can be interrogated in interviews; and • Enough trained resources to work on multiple developments.	

2. Business Case and stakeholders

Each numbered item below is an area to be probed.

2.1   Does the Business Case demonstrate business need and contribute to delivery agency's business strategy?

Evidence expected	Status/Ref
• The project will meet business need, including priorities remaining where external factors might have an effect; and • Objectives and desired outputs remain aligned with the program to which it contributes, if appropriate.	

2.2   Does the project align with the wider change portfolio?

Evidence expected	Status/Ref
• Comparison of the change management plans with a wider change portfolio/strategy.	

2.3   Is the preferred option still appropriate?

Evidence expected	Status/Ref
• Preferred option supported by assessment based on assumptions about interdependencies with other programs and projects, reliance on partners to deliver, availability of internal resources, etc.	

2.4   Are ICT security requirements identified?

Evidence expected	Status/Ref
• Security/information security teams engaged; and • Delivery agency's Cyber Security Standards, NSW Cyber Security Policy and NSW Cyber Security Incident Emergency Sub-Plan considered.	

2.5   Is the proposed arrangement likely to achieve whole-life value for money?

Evidence expected	Status/Ref
• Bases for calculating costs (value of requirements) and comparison of delivery approaches (e.g. tenders) agreed with key stakeholders; • Updated Business Case based on full project definition, market assessment and initial benefits plan; • Delivery strategy reflected in Business Case; • Examination of sensitivities and financial implications of handling major risks; assessment of their effect on project return; and • If the project is not designed to achieve a financial return, comparisons with similar projects used to assess the potential to achieve value for money and to set targets.	

2.6   Are costs within budget? Is whole-life funding affordable and supported by stakeholders?

Evidence expected	Status/Ref
• Reconciliation of projected whole-life costs with available budget, reviewed and accepted or approved by stakeholders; and • Project costs within organisation's forecasted spending plans.	

2.7 Are costs for appropriate cyber security protection identified?

Evidence expected	Status/Ref
• Costing for cyber security has been considered (if relevant).	

2.8 Is the delivery agency realistic about its ability to achieve success?

Evidence expected	Status/Ref
• Comparison with similar projects and organisations; assessment of track record in achieving change; plans to manage known weaknesses; where applicable, plans for incremental/modular approaches; contingency plans; and • If the project traverses organisational boundaries, governance arrangements to align with business objectives of all organisations.	

2.9 Is there a clear definition of the total project scope?

Evidence expected	Status/Ref
• Updated document showing total project scope including business change, where applicable.	

2.10 Are the risks and issues relating to business change understood? Is there an initial plan to address these issues?

Evidence expected	Status/Ref
• Risks and issues relating to business change logged, with a management plan and owner for each; and • Account taken of relevant impact assessment and appraisal issues such as regulatory impact, sustainable development and environmental appraisal.	

2.11 Do stakeholders support the project? Is the delivery agency still fully committed?

Evidence expected	Status/Ref
• Involvement of and endorsement by stakeholders, including agreed roles and responsibilities.	

2.12 Are benefits understood and agreed with stakeholders? How will these be realised and evaluated?

Evidence expected	Status/Ref
• Benefits clearly stated; • Initial plan for realising and evaluating delivery of benefits shows costs offset by improved quality of service and/or savings over the project's expected life; and • Critical success factors remain valid and agreed with stakeholders.	

2.13 Have affected business units been involved in the change management plan?

Evidence expected	Status/Ref
• A change management plan developed with stakeholders included, demonstrating how the plan helps to understand stakeholders' views, organisational and business process implications and communication requirements.	

2.14 **How will changes across affected business areas within and external to the delivery agency be identified, assessed, communicated and managed?**

Evidence expected	Status/Ref
• Stakeholder and communications management plan developed with stakeholders.	

2.15 **Are roles and responsibilities and authority delegations defined?**

Evidence expected	Status/Ref
• Organisational model shows roles and responsibilities; • Review team able to assess how the structure works in reality through interviews or observation of the team; and • Stakeholders are aware of their delegations including security deliverables.	

2.16 **Has the training of. service delivery teams, case workers, administrative staff and front-line staff been considered and planned?**

Evidence expected	Status/Ref
• Demand profile or similar that outlines the skills and experience required; • Suitable external resources available to address short-term skills shortage; and • Skills and knowledge transfer considered.	

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

Evidence expected	Status/Ref
• An updated benefits realisation strategy and benefits realisation register.	

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

Evidence expected	Status/Ref
• Updated benefits realisation strategy and benefits realisation register; and • Evidence of identified benefits and the realisation of these benefits.	

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

Evidence expected	Status/Ref
• Resourcing strategy and plan appropriately aligned to demand profile; • Witnessing stand-ups, etc. demonstrate whether everyone who needs to be there attends; • All relevant resources included in budget; and • Need to refresh/replace resources considered.	

2.20 **Can business as usual activities be maintained if staff required?**

Evidence expected	Status/Ref
• Resourcing plan clarifies where the resources are coming from, including whether additional or existing resources.	

2.21 **Is there a governance process to monitor and manage progress, and align with corporate strategy and ICT strategy, and intended benefits realisation?**

Evidence expected	Status/Ref
• Terms of reference and governance processes considered; • Needs include escalations; and • Involvement of cyber security stakeholders included where required.	

2.22 **Are appropriate business change management processes in place?**

Evidence expected	Status/Ref
• Product backlog regularly monitored and where tolerances exceeded, appropriate escalation path in place.	

2.23 **How will progress be tracked, reported and, if required, corrected?**

Evidence expected	Status/Ref
• Backlogs monitored with realignment if required; • Earned value is measured; and • Reports/dashboard made available.	

3. Risk Management

Each numbered item below is an area to be probed.

3.1   Are major risks and issues identified, understood, financially evaluated and considered in the delivery strategy?

Evidence expected	Status/Ref

• Major issues and risks regularly logged, including strategic, political, commercial and legislative. In addition:
  − Interdependencies identified, if applicable, with other projects within the program, or within and outside the organisation;
  − Risks relating to cyber security and information management security (where applicable) identified and related risk assessments completed;
• Risks relating to system uptake/adoption identified;
• Each risk assessed financially and included in Business Case either as sensitivity or a separate risk allocation; and
• Assessment of all technical risks documented, such as build ability and risks associated with innovation.	

3.2   Are there Risk Management plans?

Evidence expected	Status/Ref
• Project risk management strategy in place, developed in line with best practice; • Risk management plans for each risk and responsibilities for managing each risk identified and allocated; approved by stakeholders; • Risk reporting process in place for upward referral of risks; and • Contingency and/or business continuity plans developed if required.	

3.3   Have all issues identified been resolved?

Evidence expected	Status/Ref
• Issue and risk logs regularly reviewed by project team and evidence of appropriate action taken.	

3.4   Are external issues such as statutory process, communications and environmental issues being addressed?

Evidence expected	Status/Ref
• List of external issues and related stakeholders, with plans for each; and • External relations plan developed and implemented as part of communications strategy.	

3.5   Have cyber security risks been identified and evaluated?

Evidence expected	Status/Ref
• Potential dangers to information and system (threats); system weakness that could be exploited (vulnerabilities) identified; • Existing controls to reduce the risk of the threat exploiting the vulnerability identified; and • Likelihood and severity of threat determined.	

3.6   Will staff be protected from burn out and what mitigation processes are proposed?

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

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 costs within budget, as shown in project budget and timetable reports.	

4.2   What caused any deviations such as over or under-runs?

Evidence expected	Status/Ref
• Reconciliations set against budget and time plan and in accordance with risk allowances.	

4.3   What actions will prevent deviations recurring in other phases?

Evidence expected	Status/Ref
• Analysis and plans in project management documentation that is continually reviewed and updated.	

4.4   Are any assumptions documented at Gate 2 not verified?

Evidence expected	Status/Ref
• Log of outstanding assumptions and plans to verify them; where applicable, classed and managed as issues.	

4.5   Has time been allowed to fix faults and are there arrangements for proactive monitoring and management of any slippage?

Evidence expected	Status/Ref
• Tolerances given to teams to undertake defect remediation and refactoring; • Monitoring in place to assess progress; • Controls in place to prioritise defect resolution alongside the development of new functionality; and • Sprint planning adequately covers time to fix defects.	

4.6   Is the incremental planning approach overloading staff or schedule?

Evidence expected	Status/Ref
• Monitoring of progress and backlog.	

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

Evidence expected	Status/Ref
• Examination of financial management data; • Evidence of regular financial data, ideally linked to each Sprint cycle; and • Reports considered at program board/steering committees.	

5. Readiness for next phase: Tender Evaluation

Each numbered item below is an area to be probed.

5.1   Is the project plan for remaining stages realistic?

Evidence expected	Status/Ref
• Objectives, deliverables and milestones for next stage defined and approved by stakeholders; • Recommendations from last review actioned; and • Cyber security activities, resources and availability, including testing and remediation, considered.	

5.2   Are the project's timescales reasonable?

Evidence expected	Status/Ref
• Timescales are likely to meet business and legislative needs and have been verified with internal stakeholders and suppliers and compared to similar projects; • Where appropriate, written record of compliance with NSW procurement rules; and • Identified effects of any slippage (e.g. procurement costs) and suppliers (e.g. bid costs), supported by sensitivity analysis.	

5.3   Are arrangements for the next stage defined and resourced?

Evidence expected	Status/Ref
• Plan showing roles, responsibilities, training requirements, internal and external resources, skills requirements and project management mentoring resources available; • Involvement from a business, user and technical perspective; • Key review and decision points, including preliminary reviews, identified; and • Appropriate standard form of contract identified as baseline for later adaptations as required.	

5.4   Does the team have resources with appropriate skills and experience?

Evidence expected	Status/Ref
• Requisite skills available and access to external expertise available as appropriate; • Requirements for intelligent customer capabilities, where appropriate, identified and planned for; • Project relationships such as team working and partnering considered, with a plan to implement them where appropriate; • Internal and external commitment to provide the resources required; • Job descriptions for key project staff; • Skills audit undertaken and shortfalls addressed; • Contract management staff identified to join procurement team early, to familiarise themselves with the procurement's intent and processes; and • Appropriate allocation of key project roles between internal staff and consultants or contractors.	

5.5   Are end-users adequately prepared for the transition to the new/redesigned digital service?

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

5.6   If there are legacy systems, what are the plans to transfer data, integrate with them and exit them adequately?

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

Gate 3 Review:
Typical project documentation

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

Governance, requirements, policy and resourcing

- Approved Business Case and any updates;

- Current governance structure, if not included in the updated Business Case;

- Specification of the project's expected outputs and outcomes;

- Reporting mechanisms;

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

- Sprint planning, review and retrospective meetings (Agile);

- Relevant approvals, e.g. Under the EP&A Act; Budget Committee of Cabinet, etc.; and

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

Stakeholder engagement and change management

- Change management plan;

- Updated communications strategy and plan;

- Assessment of opportunities for local industry participation; and

- Community consultation report.

Quality Management

- Current and planned business/technical policies, strategies and constraints (e.g. health and safety standards; information assurance requirements such as security schedule);

- Results of any business, commercial or technical benchmarking Project quality documentation; and

- Strategy for measuring project performance.

Financial Management

- The project's costs to date set against budget; and

- Funding approval.

Procurement and commercials

- The delivery/acquisition approach (including the procurement strategy if appropriate) and documented justification for the approach;

- Request for tender documents;

- Evaluation strategy and model for evaluating proposals (e.g. tenders), if required;

- Draft conditions of contract based on suitable standard contract model (for procurements);

- Expressions of Interest (EOI) documents including EOI evaluation report (if applicable); and

- Probity plan.

Risk Management

- Updated risk register, issue log and risk management plans; and

- Updated market intelligence and supplier assessment (for procurement projects).

Planning and control

- Well-developed requirements documentation, preferably as draft output-based specification or statement of requirements (for procurements);

- Active management of the Scrum Board/holding stand-ups (Agile);

- Tracking of the Sprint Burndown Chart (Agile);

- Proposed implementation strategy for implementing the new service/works contract; and

- Outline project plans to completion and detailed plans for the next phase.

Benefits Management

- Updated benefits management plan and benefits realisation register.