Digital NSW | DSIA

Gate 0: Terms of Reference

Project Name

September 2024

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# DAF Gateway Review

|  |  |
| --- | --- |
| **Program** | [Program name] |
| **Review type** | Gate 0 |
| **Phase** | [Insert Phase] |
| **Next Gate** | [Gate/HC etc] |
| **Tier** | [Insert Tier] |
| **Portal Project ID** | [Project ID from NSW Assurance Portal] |
| **Senior Responsible Officer** | [Name of sponsor agency’s nominated SRO] |
| **Agency Head** | [Name of sponsor agency’s Secretary or CEO] |
| **Sponsor Agency** | [Insert Agency] |
| **Email** | [Insert Sponsor email] |

# Program background

Highlight relevant background context behind the project, and briefly explain the purpose and overall design of the project. This section should be up to 3-4 brief paragraphs.

**Objectives**

List the objectives of the project in a short, single line, bullet point form:

* Example
* Example
* Example

**Expected strategic benefits**

List the strategic benefits in a short, bullet point list:

* Example
* Example
* Example

**Estimated Total Cost**

$ xx.xx (including contingency)

**Schedule**

Project start date: XX/XX/20XX

Project end date: XX/XX/20XX

**Previous Assurance Activities**

[Explain when the project was listed under the DAF, at what tier, and if it has been endorsed by ISSI. State if the project has previously undergone an DAF review.]

**Current Project Status as of: XX/XX/20XX**

[Context of recent major updates and developments from project team to be inserted here based on recent reports and any change request.]

# Timing of DAF Gate 0 Review

|  |  |
| --- | --- |
| Activity | Dates |
| Documents uploaded to SharePoint | [Enter Day XX/XX/202X] |
| Interview schedule to be uploaded to SharePoint | [Enter Day XX/XX/202X] |
| Planning Meeting (1.5 hours)  Note: Sponsor attendance is mandatory | [Enter Day XX/XX/202X] |
| Interviews (3 days)  NOTE: 1st interview is with the Sponsor, and end of day debriefs (15-30min) with Sponsor on each interview day | [Enter Day XX/XX/202X] |
| Report Writing by Gate 0 Review Committee including the Go or No-Go recommendation. (2 days) | [Enter Day XX/XX/202X] |
| Sponsor Debrief on Review Recommendations (1 hour)  Note: Sponsor attendance is mandatory | [Enter Day XX/XX/202X] |
| Draft Report to Sponsor/Project Team for fact check | [Enter Day XX/XX/202X] |
| Fact Check Response & Close Out Plan received from Sponsor/Project Team | [Enter Day XX/XX/202X] |
| Review of Fact Check Response & Close Out Plan by Review Team | [Enter Day XX/XX/202X] |
| Final Report issued | [Enter Day XX/XX/202X] |
| The GCA Review Manager informs the Delivery (or Accountable) Agency of the Go/No-Go decision of Cabinet. | [Enter Day XX/XX/202X] |

The above schedule is subject to agency confirmation. May be extended if the Review Team determines during the review that additional time is required.

For detail steps and timeframes of Gate 0 review, refer to Appendix A.

# Terms of reference

## Purpose and objectives

**Purpose**

At Gate 0, the review is to consider the alignment of the project with Government and agency priorities, the merit of the identified service need, and the governance and resources available to develop a Strategic Business Case. This review provides an early "Go/No-Go" decision, helping agencies determine whether to proceed, refine, or halt the project before significant resources are committed.

The purpose is to assist projects start with clear objectives and service need, encourages agencies to consider alternative options or MVP first as an option. Encourages agencies to undertake proper planning from which projects are generated (including prioritisation and consideration of options like better using state digital assets). Provides agencies with guidance on issues that should be dealt with in the Strategic Business Case.

**Objective**

This Gate 0: Go /No-Go review is designed to:

* Be appropriate to the earliest development stage of a project.
* Projects at Gate 0 are not expected to have detailed documentation, scoping, options analysis or economic appraisal.
* Projects are expected to have some level of feasibility assessment and preliminary justification for why an infrastructure asset intervention is required.
* The Gate 0 Committee is to assess the Go/No-Go decision through the lens of four focus areas and some additional areas for consideration.
* Three areas are scored by the Gate 0 Committee, and this scoring is a key consideration in arriving at a Go/No-Go recommendation.
* The Committee will score the three Focus Questions by assigning a score between 0 and 2. No weighting is to be applied. A total score of 3 or above would suggest to the Committee a ‘Go’ Overall Review Rating, however, the Committee may consider other information in reaching the final Go/No-Go recommendation to the GCA.

Detail checklist of Gate 0 review objectives can be found in can be found in [Resources for agencies and expert reviewers | Digital NSW](https://www.digital.nsw.gov.au/policy/digital-assurance/resources-for-agencies-and-expert-reviewers) - Gate 0 Guideline (Section 4.7).

By this stage, you will have developed a preliminary justification for the project that may include indicative costings and a range of projected business benefits. A detailed list of typical project documentation for Gate 0 review can be found in [Resources for agencies and expert reviewers | Digital NSW](https://www.digital.nsw.gov.au/policy/digital-assurance/resources-for-agencies-and-expert-reviewers) - Gate 0 Guideline (Section 7.3).

Mandatory documents:

* Registration Record of the project from the Reporting and Assurance Portal
* Completed Gate 0 Project Justification template (included in the Gate 0 suite of documents) or equivalent Delivery Agency document

Details scope for considerations can be found in the [Resources for agencies and expert reviewers | Digital NSW](https://www.digital.nsw.gov.au/policy/digital-assurance/resources-for-agencies-and-expert-reviewers) - Gate 0 Guideline (Section 7.2).

Once complete the review should clearly answer these questions:

* How critical is the service need, or how urgently does the community need it? Should this proposal proceed to the next stage and develop a Strategic Business Case?

## Scope

The scope of a Gate 0 review will cover areas such as:

1. Options and Alternatives
2. Feasibility and Viability
3. Risk Management
4. Governance and Accountability
5. Next Steps and Readiness to Proceed to Strategic Business case

The review may report and extend into areas not explicitly stated within the Terms of Reference, where this will increase the likelihood of program success, upon agreement with the agency.

## Areas of Sponsor Concern

List any comments made by the sponsor they wish to investigate in the review.

## Out of Scope

List any areas that may be out of scope for the project.

# Gate 0 Committee

## Gate 0 Committee

|  |  |
| --- | --- |
| Committee | Role |
| [Enter Reviewer name] | Review Team Lead |
| [Enter Reviewer name – remove row if not used] | Review Team Member |
| [Enter Reviewer name – remove row if not used] | Review Team Member |

## Documentation

The Gate 0 Review Committee will need to review all relevant project documentation. The information is likely to be found in the documents indicated in the Gate 0 Guideline document (refer link below) under section 7.7 “Gate 0 Review: Typical project documentation”, but may also be located in other project documents.

Link: [Resources for agencies and expert reviewers | Digital NSW](https://www.digital.nsw.gov.au/policy/digital-assurance/resources-for-agencies-and-expert-reviewers) - Gate 0 Guideline

## Interviewees

The following interviews are proposed to be requested by the Review Team as required:

|  |  |  |
| --- | --- | --- |
| Interviewee | Agency | Position |
| [Enter Title/Name] | [Enter Agency] | Sponsor |
| [Enter Title/Name] | [Enter Agency] | Project Director |
| [Enter Title/Name] | [Enter Agency] | CIO/Program Technical Director |
| [Enter Title/Name] | [Enter Agency] | Program Finance Lead |
| [Enter Title/Name] | [Enter Agency] | Director Change Management |
| [Enter Title/Name] | [Enter Agency] | Director EPMO |
| [Enter Title/Name] | [Enter Agency] | Strategy Lead |
| [Enter Title/Name] | [Enter Agency] | [Enter Role/Position] |
| [Enter Title/Name] | [Enter Agency] | [Enter Role/Position] |

|  |  |  |  |
| --- | --- | --- | --- |
| Approver | Name | Signature | Date |
| [Enter Title/Role] | [Enter Name] |  |  |

# Appendix A

Gateway Reviews for Gate 0: Follow the steps and timeframes shown in the table below:

|  |  |  |
| --- | --- | --- |
| Step | Activity | |
| **1** | Delivery Agency registers the Project or Program in the NSW Assurance Portal. | **Project Initiation and Registration**  **A group of blue people  Description automatically generated** |
| **2** | The GCA’s Digital Assurance and Risk Advisory Group (DARAG) assigns the project a risk tier for the purposes of Investor Assurance. |
| **3** | For eligible projects, the GCA Review Manager informs the Delivery (or Accountable) Agency that the project is subject to a Gate 0 and provides the Project Justification template to facilitate the Gate 0 process. [Generally projects over $10 million] |
| **4** | The Delivery Agency prepares the Project Justification template and documents related to the Gate 0 and submits them to the GCA Review Manager. | **Week 1**  **A blue and black file  Description automatically generated** |
| **5** | The GCA Review Manager seeks any necessary clarification on the documents submitted, collates all applicable information and schedules the project for consideration on the agenda of the next appropriate Gate 0 Committee meeting. | **Week 2-4**  **A blue folder with black background  Description automatically generated** |
| **6** | The Gate 0 Committee meets and undertakes the Review of the project with the information provided. The Committee prepares a Gate 0 Review Report, including the Go or No-Go recommendation. | **Week 5**  **A blue and black logo  Description automatically generated** |
| **7** | The GCA provides a copy of the draft Report to the Delivery Agency for fact checking and response to the recommendations made by the Gate 0 Committee. | **Week 6**  **A blue and black folder  Description automatically generated** |
| **8** | The Delivery Agency completes the responses to recommendations in the Gate 0 Report template and returns to the GCA Review Manager. Noting any appeals of a No-Go decision will need to be raised by the Delivery Agency’s representative at an Assurance Governance Committee meeting. The report is provided the GCIDO for consideration and approval for submission to Cabinet. | **Week 7**  **A blue square with three dots  Description automatically generated** |
| **9** | The GCA Review Manager ensures the Go/No-Go recommendation is included in the next appropriate Assurance Cabinet Submission for review by the Assurance Governance Committee. | **Post Review**  **A blue check mark in a star shape  Description automatically generated** |
| **10** | Close-out Plan issued to the Delivery agency and managed by the GCA. |
| **11** | The GCA Review Manager informs the Delivery Agency of the Go/No-Go decision of Cabinet. |

This table can also be found in DigitalNSW-Assurance-Gate0-Guideline [Resources for agencies and expert reviewers | Digital NSW](https://www.digital.nsw.gov.au/policy/digital-assurance/resources-for-agencies-and-expert-reviewers) - Gate 1 Guideline (Section 1.8).

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