Digital NSW | DSIA

Gate 5: Terms of Reference

Project Name

September 2024

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# DAF Gateway Review

|  |  |
| --- | --- |
| **Program** | [Program name] |
| **Review type** | Gate 5 |
| **Phase** | [Insert Phase] |
| **Next Gate** | [Gate/HC etc] |
| **Tier** | [Insert Tier] |
| **Agency** | [Insert Agency] |
| **Sponsor** | [Insert Sponsor Name and title] |
| **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 5 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 Review team (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 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 5 review, refer to Appendix A.

# Terms of reference

## Purpose and objectives

**Purpose**

The purpose is to 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. Clearly defined sustainability of funding to deliver the system into the future in BAU including AI Monitoring, Cyber and Privacy checks.

**Objective**

This Gate 5: Strategic Alignment 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.

Detail checklist of Gate 5 review objectives 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 5 Guideline (Section 4.7)

Details scope for considerations 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 5 Guideline (Section 7.2)

Once complete the review should clearly answer these questions:

* Are the deliverables ready for service?

## Scope

The scope of a Gate 5 review will cover areas such as:

1. Business case and stakeholders
2. Risk management
3. Review of current phase
4. Readiness for next phase
5. Cyber, privacy and AI compliance sign offs should be completed and the ongoing plan into operations clearly specified

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.

# Review team

## Review Panel

|  |  |
| --- | --- |
| Review Panel | 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 Review Panel Team will need to review all relevant project documentation. The information is likely to be found in the documents indicated in the Gate 5 Guideline document (refer link below) under the section “Gate 5 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 5 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 5: Follow the steps and timeframes shown in the table below:

|  |  |  |
| --- | --- | --- |
| Step | Activity | |
| **1** | **Entry Criteria**  The project has cleared al previous critical issues raised through Gateway and the project considers itself in a position to go live in the near future and is able to provide evidence of core project deliverables.  6 weeks prior to the Gateway commencement date, the Delivery (or Accountable) Agency checks readiness of the project for the Gate 5 Review and contacts the Gateway Coordination Agency (GCA).  *(Note the DCS Assurance team will also monitor the likely timeframe through the regular assurance catch ups each month.)* | **6 weeks  + prior**  **A group of blue people  Description automatically generated** |
| **2** | GCA Review Manager (Digital Assurance) and Delivery (or Accountable) Agency confirm the Review Dates.  (Dates must consider key stakeholder availability including the Sponsor) |
| **3** | GCA Review Manager appoints an independent Reviewer Team to the review. (As per the expert reviewer panel appointment process.) |
| **4** | GCA Review Manager conducts a briefing with the Delivery (or Accountable) Agency to gain a common understanding of the project’s status, identify any supporting documentation required and provide guidance on how to complete the Gate 5 readiness checklist template. | **1 Month prior**  **Preparation / Planning**  **TOR**  **A blue and black file  Description automatically generated** |
| **5** | The Delivery (or Accountable) Agency complete the Gate 5 *readiness checklist template* with input from key Agency stakeholders. (New document to assist the Agency and DCS Assurance team to prepare for the Gateway.)  A draft Terms of Reference (ToR) is also completed at this time by the GCA Review Manager (Digital Assurance), this is shared with the Agency to refine.  *The project sponsor to agree/sign off.* |
| **6** | The Delivery (or Accountable) Agency provide the Reviewer Team with the readiness checklist and provide supporting documentation to the allocated secure shared drive location. | **Finalise Plan  and Conduct**  **A blue square with three dots  Description automatically generated** |
| **7** | **Pre-Planning**  GCA Review Manager meets with the Independent Review Team to jointly review the Terms of Reference for the Gate 5 and if additional documentation is considered then the request can be made for this as well the key interviewees. |
| **8** | **Planning formal Kick off**  This starts with the kick-off meeting where the sponsor and delegates outline the project to be assessed and any key background needed to provide context.  High level run through of the Gateway process, roles and responsibilities  Documentation requirements are confirmed, and interview are scheduled and confirmed. |
| **9** | **Review Week**  **Entry criteria**   * TOR Approved, * All documentation is loaded and available to the team, * All interviews are scheduled and confirmed, MS Teams Channel for Review teams set up and tested.   Interview week commences and the scheduled interviews are undertaken by the Gateways reviewers.  Up to 18 interviews could be held over this time with the Independent Review team  The Review team complete the interviews and maintain feedback to the sponsor daily or as deemed appropriate. | **Review week**  **A blue and black logo  Description automatically generated** |
| **10** | The draft findings are prepared using the Gate 5 reporting Template. *Noting the Scope items need to all be addressed including core areas of focus.*  The draft report is shared with Digital Assurance for initial QA  Sponsors debrief is undertaken to outline the findings – this is a confidential meeting directly with sponsor.  Report circulated to the Agency for fact check post Sponsor Debrief.  Attention is to be given to Cyber, Privacy and now AI impact on the plan. | **Reporting**  **A blue and black folder  Description automatically generated** |
| **11** | Post Review survey sent out to Delivery (or Accountable) Agency, Reviewer Team and GCA Review Manager. |
| **12** | Close-out Plan issued and managed by DCS ICT Digital Investment and Assurance (IDIA) Unit | **Post Review**  **Within 4 weeks of report issue**  **Post Review Activities**  **A blue check mark in a star shape  Description automatically generated** |
| **13** | **Post Review Activities**  Record Critical and Essential issues for ongoing assurance follow up – note the Delivery (or Accountable) Agency will need to provide adequate evidence of item closure.  Critical rated items need to be closed before the clearance letter can be issued.  *This clearance can impact approval of funding.*  Charge back to be completed and reviewer invoice payment completed. |

This table can also be found in 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 4 Guideline (Section 1.8)

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