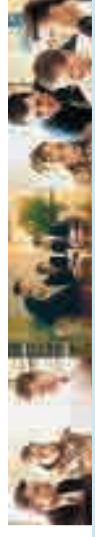


GATEWAY REVIEWS AND KEY SUCCESS FACTORS



GATEWAY REVIEWS

0 INITIATION/JUSTIFICATION GATE

Asks – Has a legitimate service need been identified which is aligned with Government & Agency priorities? Does the project warrant proceeding to development of a preliminary business case? Is there a resource plan in place to achieve this? Does this plan have Sponsor approval?

1 STRATEGIC REVIEW

Asks – Does the project suit the service needs identified?

The Strategic Review assesses whether the proposal is aligned with Government and the Agency's strategic plans. It demonstrates the best value means of servicing community needs.

The Strategic Review occurs after a service need has been identified (but prior to developing a detailed project definition in a business case) and preliminary justification for procurement has been developed.

2 BUSINESS CASE REVIEW

Asks – Is the project ready for funding?

The Business Case Review assesses whether project options have been fully explored and assessed. Before proceeding, it helps ensure that the recommended option provides the best value. The Business Case Review is undertaken after a project has been defined and its benefits and costs quantified. The Review will not be conducted unless accompanied by a financial/ economic appraisal. The review occurs before the Business Case for a project is submitted to the relevant funding authority to allow the project team to incorporate any recommendations from a review into the submission.

3 PRE-TENDER REVIEW

Asks – Is the estimate robust? Has scope been managed? Is supplier market understood?

The Pre-Tender Review is undertaken after a project has been defined and approved, yet before a commitment is made to a procurement methodology and contracting system.

The Pre-Tender Review confirms that the best procurement strategy is selected to deliver the project within budget, time and supplier or market constraints and assesses whether the project is ready to proceed to the tender stage.

4 TENDER EVALUATION REVIEW

Asks – Has the evaluation plan been followed? Has the best offer been identified?

The Tender Evaluation Review confirms that the recommended decision appears appropriate before a contract is entered into. The Review aims to provide the agency with confidence that the process used to select the proposed service provider is adequate.

The Tender Evaluation Review is undertaken after tenders have been called and responses evaluated, but prior to the award of a contract.

5 PRE-COMMISSIONING REVIEW

Asks – Is the project ready for work?

The Pre-Commissioning Review assesses the state of readiness to commission the project and to implement the change management required for service delivery to achieve its objectives.

6 POST IMPLEMENTATION REVIEW

Asks – Has the project provided the services needed?

The Post Implementation Review assesses whether the deliverables defined in the Business Case have been achieved. It ensures that the learnings from the project have been identified and communicated to improve procurement processes.

The Review is held when the outputs and outcomes of a project can be assessed. The timing will vary depending on the scope of the project.

KEY SUCCESS FACTORS

Service Delivery	Affordability (Value for Money)	Sustainability	Governance	Risk Management	Stakeholder Management	Change Management
<ul style="list-style-type: none"> What service need will the project address? Would addressing the service need align with Government priorities and Agency plans? 	<ul style="list-style-type: none"> Does the project appear to offer value for money? Can the estimated cost be justified by the anticipated improvement in services? 	<ul style="list-style-type: none"> Is the project expected to have social, economic and environmental impacts? Are these understood, aligned with sustainability policies and manageable? 	<ul style="list-style-type: none"> Has an appropriate sponsor for the project been identified? Does the Agency have the capacity and capability to deliver the project? Have appropriate governance processes been established? 	<ul style="list-style-type: none"> Has the NSW Treasury Risk Assessment Tool been applied? Have the major risks been identified? Has a framework for dealing with risks been developed? 	<ul style="list-style-type: none"> Have stakeholders affected by the proposed project been identified? Have engagement processes been considered within the preliminary business case development plan? 	<ul style="list-style-type: none"> Is the likely extent of change understood? Have the people who will be impacted by the change been identified? Have sufficient resources been allocated to investigate the scale and scope of the change as part of preliminary business case development?
<ul style="list-style-type: none"> What service need will the project address? Do the proposed outcomes align with Government priorities and agency plans? 	<ul style="list-style-type: none"> Is the project affordable? Can the cost be justified by the anticipated improvement in services? 	<ul style="list-style-type: none"> Is the project expected to have social, economic and environmental benefits? 	<ul style="list-style-type: none"> Has a project team with the appropriate skills and experience been established? Has a realistic budget and program been agreed? 	<ul style="list-style-type: none"> Have the major risks been identified? Has a framework for dealing with the risks been developed? 	<ul style="list-style-type: none"> Have stakeholders affected by the proposed project been identified? Are they in favour of the project? 	<ul style="list-style-type: none"> Has consideration been given to the implications of the proposed project on existing infrastructure, processes and people that will be affected?
<ul style="list-style-type: none"> Will the proposed project, on completion, achieve the service objectives and fulfill the identified need(s), which are consistent with Government policy and the agency's strategic services plan? 	<ul style="list-style-type: none"> Are there sufficient resources (financial, physical and human) to deliver the project and will the expenditure of these resources provide value for money over the project's life? 	<ul style="list-style-type: none"> Have the social, economic and environmental impacts of the project been identified and dealt with? 	<ul style="list-style-type: none"> Have the activities required to ensure a successful project, including resource allocation, time management and process management been addressed? 	<ul style="list-style-type: none"> Have major project or procurement risks been identified and an outline risk management plan been developed? Does it include the risk of the project not being funded (either in part or in full)? 	<ul style="list-style-type: none"> Have the stakeholders been identified and their views considered in the development of the project? 	<ul style="list-style-type: none"> Have the changes that are necessary to achieve the project's service outcomes been identified and a plan outlined to assure their realisation?
<ul style="list-style-type: none"> Does the identified service need still exist? Are the project requirements clear and unambiguous? Is the proposed Procurement Strategy appropriate? 	<ul style="list-style-type: none"> Is funding available to complete the project? Is the proposed Procurement Strategy cost-effective? 	<ul style="list-style-type: none"> Does the proposed Procurement Strategy maximise the benefits of the project and minimise its negative impacts? 	<ul style="list-style-type: none"> Does the project team have sufficient expertise for the procurement system selected? Is the project program achievable? 	<ul style="list-style-type: none"> Has the risk management plan been updated? Does the risk assessment favour proceeding with the project in view of market factors? 	<ul style="list-style-type: none"> Do stakeholders support the Procurement Strategy? Is there a plan for future stakeholder communication? 	<ul style="list-style-type: none"> Are the impacts of the project on infrastructure, resources and processes understood? Does the managing agency accept the need for change management?
<ul style="list-style-type: none"> Has the service need changed as a result of events or circumstances external to the project? Will the recommended proposal meet the present service need? 	<ul style="list-style-type: none"> Is funding available for the life of the project? Does the recommended proposal offer best value for money? 	<ul style="list-style-type: none"> Does the recommended proposal offer the social, economic and environmental benefits identified in the project planning stages? 	<ul style="list-style-type: none"> Have the agreed tender processes been followed? Are adequate resources with the required expertise available to manage the project? 	<ul style="list-style-type: none"> Has the risk management plan been updated to include the recommended proposal? 	<ul style="list-style-type: none"> Have stakeholder concerns been addressed? Is a plan for communication in place? 	<ul style="list-style-type: none"> Do affected organisations accept that change will occur and understand its extent? Are there draft plans for managing change?
<ul style="list-style-type: none"> Does the identified service need still exist? Will the project, if successfully commissioned, meet that need? 	<ul style="list-style-type: none"> Is funding available for project realisation, including commissioning and anticipated operating and maintenance costs and the cost of necessary change? 	<ul style="list-style-type: none"> Will the anticipated social, economic and environmental benefits be achieved? Are plans in place to manage any negative impacts? 	<ul style="list-style-type: none"> Are there enough people with the necessary expertise available to manage commissioning and operation? Are there plans in place to manage the on-going relationship with the provider? 	<ul style="list-style-type: none"> Are there shared plans for managing risk and contingency plans if things should go wrong? 	<ul style="list-style-type: none"> Are stakeholders up to date with developments and do they support project realisation? 	<ul style="list-style-type: none"> Is the affected organisation(s) ready for the new service and the associated change? Are agreed change management plans in place?
<ul style="list-style-type: none"> Is the project delivering the anticipated benefits and level of service? Have strategies been developed for renewal or discontinuation of the service in the future? 	<ul style="list-style-type: none"> Did the procurement project meet the approved budget? Is funding available to complete project realisation? 	<ul style="list-style-type: none"> Did the procurement project meet its social, economic and environmental objectives? Are negative impacts being managed? 	<ul style="list-style-type: none"> Were the issues raised at Gateway reviews addressed? Is feedback being provided to assist in improving future procurement processes? 	<ul style="list-style-type: none"> Was the risk management process effective? 	<ul style="list-style-type: none"> Are stakeholders satisfied with the outcomes of the project and the level of consultation? 	<ul style="list-style-type: none"> Has the change management process been effective? Are there issues that should be considered more carefully in the future?



MAPPING A GATEWAY REVIEW



STAGE	Timing	Agency Responsibility	Gateway Team Responsibility	Review Leader and Review Team Responsibility	Critical Actions and Information	References and Resources
IDENTIFY THE RIGHT GATE		Determine if project needs a Gateway Review. Ensure the right gate is selected for the stage of the project			Important that each Gateway review is undertaken at the most appropriate stage in the life of the project – too early or late and the review may not be as beneficial	<ul style="list-style-type: none"> NSW Treasury Policy Gateway Toolkit Gateway Review Sponsor's Checklist
	REVIEW INITIATION	Consult the Gateway Team on the project and plan for a Gateway review	Advise Agency on the review process			
Identify who will be the Review Coordinator to liaise with the Gateway Team - should be someone with decision making responsibility for the project						
Complete and submit A Risk Assessment Profile that includes the Review notification.		Appoint a Gateway Manager - responsible for co-ordinating the Review		<ul style="list-style-type: none"> Risk assessment tool 		
REVIEW PREPARATION	Review Meeting usually occurs within 4-6 weeks from Initiation	Determine Review timetable including dates for planning, interview and debriefing meetings.	Liaise with Agency to plan the Review. Appoint Review Leader - responsible for facilitating the Review		Liaise with Gateway Manager	<ul style="list-style-type: none"> Gateway Toolkit
		Advise Gateway Team about the desired characteristics and skill base for a Review Team	Identify potential reviewers Submit proposed Review Team to agency for confirmation			
		Confirm appropriateness of Review Team	Liaise with Review Team to establish their availability	Review Team established Consult with each other prior to Planning Meeting		
		Identify documents to be reviewed and provide list to	Assist Agency identify appropriate documents			
		Coordinate logistics for review in liaison with Gateway Manager <ul style="list-style-type: none"> Venue / catering Interviews schedule / planning meeting Issue planning meeting / interview agenda 	Assist Agency identify interviewees Assist in planning meeting agenda and schedule review agenda		Appropriate logistical arrangements are important to the smooth running of the review	
		Submit project documents to Review Leader and Gateway Team	Confirm review documents Review Team submitted to Review Leader and Review Team	Read review documents, become familiar with the project	<ul style="list-style-type: none"> Gateway Toolkit 	
		Documents submitted 1 week before the Planning Meeting				
PLANNING MEETING	Planning meeting 1 week prior to Review	Provide a presentation about the project to the Review Team and Gateway Manager			<ul style="list-style-type: none"> Delays in submitting project documentation may reduce the effectiveness of the review and could lead to the review being deferred until documents received 	
		Confirm that the review agenda is acceptable to all parties	Confirm that Agency has met all responsibilities	Confirm that documents / interviewees and logistics are acceptable		
		Ensure interviewees are aware of their roles and responsibilities				
REVIEW INTERVIEWS	Interviews, document review and report drafting period is usually 2-3 days	Provide additional information if required	Ensure scheduled interviewees arrive on time		<ul style="list-style-type: none"> Presentation template provided to Agency at the initiation of the review Toolkit 	
		Provide secretarial support required				
			Consider documents and interviewee responses and form an opinion on the project against the key success factors			
			Guide and advise the Review Team	Draft report following the last interview, provide feedback to Gateway Manager Complete report and provide final draft to the Gateway Manager		
			Provide final draft report to Agency			
Reporting	Debriefing usually held 1 week after report provided to project sponsor	Confirm debrief meeting arrangements	Debrief Agency – recommendations and conclusions are discussed		<ul style="list-style-type: none"> Relevant Gateway Workbook 	
POST REVIEW		Consider review findings and determine what action should be taken. This may range from fine-tuning to a change in direction	Extract from the report key factor rating for aggregated reporting		<ul style="list-style-type: none"> Report format set out in Gateway Workbook 	
		Undertake other Gateway reviews of the project as appropriate				Agency includes response to Gateway report with submission to relevant funding authority