



GATEWAY REVIEWS AND KEY SUCCESS FACTORS



KEY SUCCESS FACTORS

GATEWAY REVIEWS

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.

Service Delivery

- What service need will the project address?
- Do the proposed outcomes align with Government priorities and agency plans?

Affordability (Value for Money)

- Is the project affordable?
- Can the cost be justified by the anticipated improvement in services?

Sustainability

- Is the project expected to have social, economic and environmental benefits?

Governance

- Has a project team with the appropriate skills and experience been established?
- Has a realistic budget and program been agreed?

Risk Management

- Have the major risks been identified?
- Has a framework for dealing with the risks been developed?

Stakeholder Management

- Have stakeholders affected by the proposed project been identified?
- Are they in favour of the project?

Change Management

- Has consideration been given to the implications of the proposed project on existing infrastructure, processes and people that will be affected?

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.

- Will the proposed project, on completion, achieve the service objectives and fulfil the identified need(s), which are consistent with Government policy and the agency's strategic services plan?

- 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?

- Have the social, economic and environmental impacts of the project been identified and dealt with?

- Have the activities required to ensure a successful project, including resource allocation, time management and process management been addressed?

- 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)?

- Have the stakeholders been identified and their views considered in the development of the project?

- Have the changes that are necessary to achieve the project's service outcomes been identified and a plan outlined to assure their realisation?

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.

- Does the identified service need still exist?
- Are the project requirements clear and unambiguous?
- Is the proposed Procurement Strategy appropriate?

- Is funding available to complete the project?
- Is the proposed Procurement Strategy cost-effective?

- Does the proposed Procurement Strategy maximise the benefits of the project and minimise its negative impacts?

- Does the project team have sufficient expertise for the procurement system selected?
- Is the project program achievable?

- Has the risk management plan been updated?
- Does the risk assessment favour proceeding with the project in view of market factors?

- Do stakeholders support the Procurement Strategy?
- Is there a plan for future stakeholder communication?

- Are the impacts of the project on infrastructure, resources and processes understood?
- Does the managing agency accept the need for change management?

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.

- 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?

- Is funding available for the life of the project?
- Does the recommended proposal offer best value for money?

- Does the recommended proposal offer the social, economic and environmental benefits identified in the project planning stages?

- Have the agreed tender processes been followed?
- Are adequate resources available to manage the project?

- Has the risk management plan been updated to include the recommended proposal?

- Have stakeholder concerns been addressed?
- Is a plan for communication in place?

- Do affected organisations accept that change will occur and understand its extent? Are there draft plans for managing change?

5 PRE-COMMISSIONING REVIEW

Asks – Is the project ready for work?

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

- Does the identified service need still exist?
- Will the project, if successfully commissioned, meet that need?

- Is funding available for project realisation, including commissioning, anticipated operating and maintenance costs and the cost of necessary change?

- Will the anticipated social, economic and environmental benefits be achieved?
- Are plans in place to manage any negative impacts?

- 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?

- Are there shared plans for managing risk and contingency plans if things should go wrong?

- Are stakeholders up to date with developments and do they support project realisation?

- Is the affected organisation(s) ready for the new service and the associated change?
- Are agreed change management plans in place?

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.

- 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?

- Did the procurement project meet the approved budget?
- Is funding available to complete project realisation?

- Did the procurement project meet its social, economic and environmental objectives?
- Are negative impacts being managed?

- Were the issues raised at Gateway reviews addressed?
- Is feedback being provided to assist in improving future procurement processes?

- Was the risk management process effective?

- Are stakeholders satisfied with the outcomes of the project and the level of consultation?

- 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 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 Procurement Policy Gateway Toolkit Gateway Review Manager'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 first point of contact with the Gateway Team – should be someone with decision making responsibilities for the project | | | | <ul style="list-style-type: none"> Toolkit Section 3 – Roles and Responsibilities | |
| | | Complete and submit Project Profile Assessment (PPA) and the Review Notification form | Appoint a Review Manager – responsible for facilitating the Review | | Only when Notification Form and PPA has been received will the Gateway Team initiate the Review. | <ul style="list-style-type: none"> Toolkit Section 5: PPA PPA and Notification: www.asset.gov.com.au/ppa | |
| REVIEW PREPARATION | Review Meeting usually occurs within 4 weeks from Initiation | Determine Review timetable including dates for planning, interview and debriefing meetings. | Liaise with Agency to plan the Review | | <ul style="list-style-type: none"> Appropriate logistical arrangements are important to the smooth running of the review Delays in submitting project documentation may reduce the effectiveness of the review and could lead to the review being deferred until documents received | <ul style="list-style-type: none"> Toolkit Section 3 – Roles and Responsibilities Toolkit Section 10 Appendix B – documents typically viewed in review | |
| | | 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 Review Manager | Assist Agency identify appropriate documents | | | | |
| | Documents submitted 1 week before the Planning Meeting | Coordinate logistics for review in liaison with Review Manager. <ul style="list-style-type: none"> Venue / catering Interviews schedule Secretarial support | Assist Agency identify interviewees Issue planning meeting agenda and draft review agenda | | | | |
| | | Submit project documents to Review Manager | Distribute review documents to Review Team | Read review documents, become familiar with the project | | | |
| | Planning meeting usually 1 week prior to Review Meeting | Provide a presentation about the project to the Review Team and Gateway Review Manager | | | | | |
| PLANNING MEETING | | Confirm that the review agenda is acceptable to all parties | Confirm that Agency has met all responsibilities | Select Review Team Leader. Request further information if required | <ul style="list-style-type: none"> Presentation template provided to Agency at the initiation of the review Toolkit Section 9 – 'What the Interviewee Should Know' | | |
| | | Ensure interviewees are aware of their roles and responsibilities | | Discuss strategy for conducting interviews | | | |
| | | Confirm all other logistics for Review meeting | | | | | |
| REVIEW MEETING | Interviews, document review and report drafting period is usually 2-3 days | Provide additional information if required | Review Manager facilitates review and provides guidance and direction to Review Team where appropriate | Review Team Leader chairs the Review Team and leads the interview questions | <ul style="list-style-type: none"> Relevant Gateway Workbooks Report format set out in Gateway Workbook | | |
| | | Ensure scheduled interviewees arrive on time | | Consider documents and interviewee responses and form an opinion on the project against the key success factors | | | |
| | Provide secretarial support required | Guide and advise the Review Team | Draft report following the last interview | | | | |
| | | Edit draft report for grammar, formatting and plain English | Complete report and provide final draft to the Review Manager | | | | |
| | | Provide final draft report to Agency | | | | | |
| Reporting | Debriefing usually held 1 week after report provided to project sponsor | Confirm debrief meeting arrangements | Provide final report to Agency | Debrief Agency – recommendations and conclusions are discussed | <ul style="list-style-type: none"> (For business case reviews) Agency would include response to Gateway report with submission to relevant funding authority. | | |
| | | Provide feedback and evaluation on review process to Review Manager | Issue letters of appreciation to Reviewers | | | | |
| | | 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 to Treasury | | | | |
| POST REVIEW | | Undertake other Gateway reviews of the project as appropriate | | | | | |