

Post Implementation Gate Review Workbook

Gate Six

Gateway is part of NSW Government Procurement Policy

FURTHER INFORMATION AND ASSISTANCE

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GATEWAY REVIEW SYSTEM

The NSW Government applies Gateway Reviews to the procurement of infrastructure, information technology, property, and goods and services. Through this, it aims to improve procurement discipline and outcomes by encouraging better performance in project planning, development and execution.

Gateway Reviews are essentially 'peer reviews' that assess whether the processes used in developing and implementing a project is sound.

Reviews can consider an individual project or a program containing several projects.

Projects have a defined beginning and objectives that identify completion.

Programs consist of a group of projects that are considered together because they have factors in common or interrelated developments, operations or service deliveries.

As programs develop, subsequent Reviews may focus on individual projects or continue to be reviewed as a program. It is important that individual projects contribute to overall program goals.

Projects could be grouped because of:

- their similar or supporting service deliveries
- similar governance requirements
- common stakeholder or change management or similar risk profiles
- similar planning, procurement or implementation timelines

Note that use of the term *project* in this workbook also covers a grouping of projects into a program.

In practice, Gateway is the application of high level, structured reviews at critical points (or gates) in the procurement process.

A small team of experienced procurement practitioners who are independent of the project undertake each review. They consider the:

- alignment of the project with agreed objectives
- benefits and value for money offered
- management processes adopted to attain the current stage.

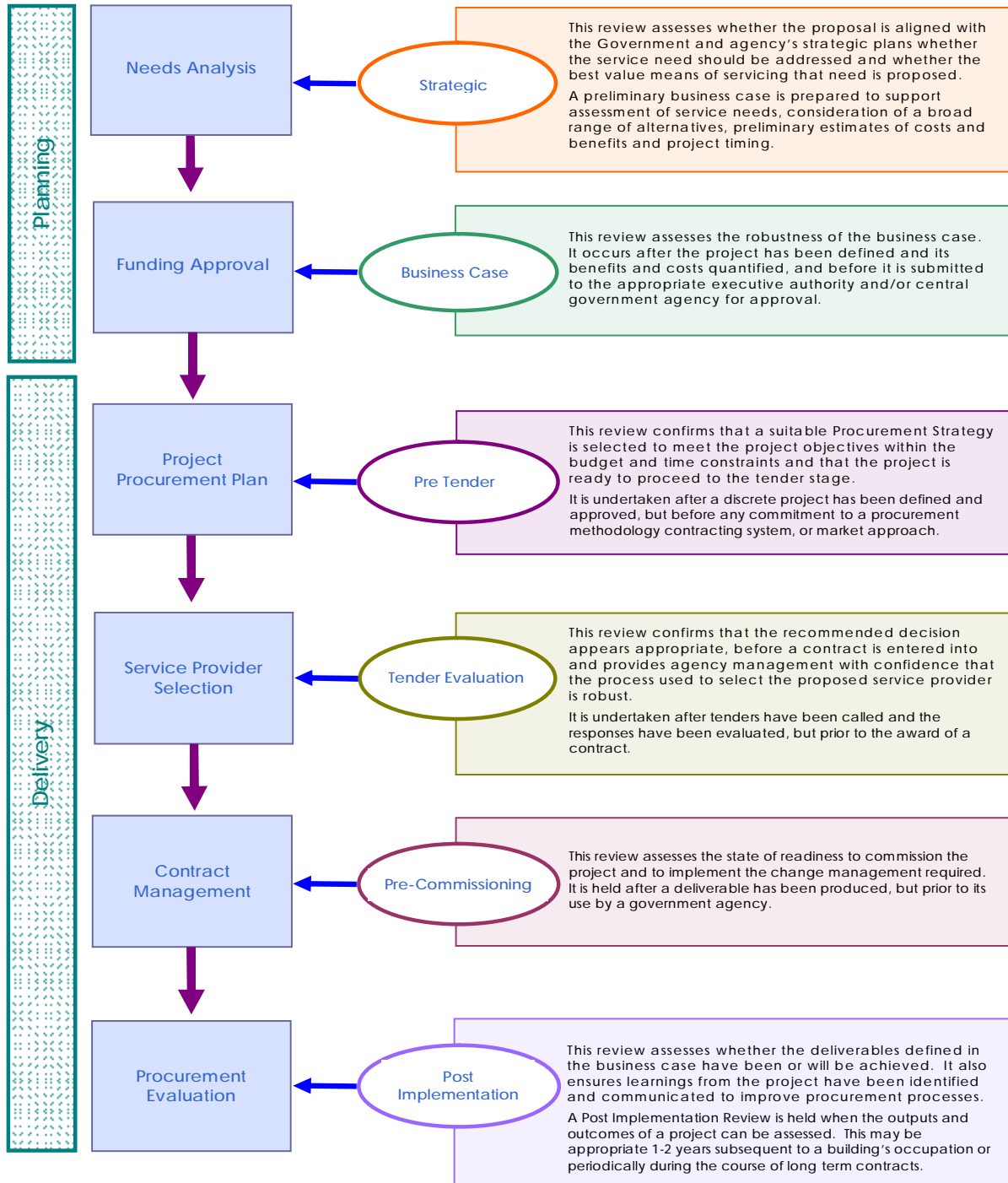
At the conclusion of the review, a report is issued to the Project Sponsor. It indicates the Gateway Review Team's assessment on the state of the project. The report provides recommendations on where further work may be required to improve aspects of the project.

Ultimately, Gateway Reviews help provide Government and agencies with the confidence that an appropriate level of discipline is being applied to the procurement process.

PROCUREMENT PROCESS AND GATEWAY

NSW Procurement Steps

Gateway Reviews



GATEWAY FRAMEWORK

Gateway Reviews are essentially an assessment of whether the processes used in developing and implementing a project are sound. They do not consider technical minutiae or investigate other options for developing and implementing a project.

This workbook provides a framework to conduct the Post Implementation Review. It is based on considering the project against seven success factors, which are constants throughout the procurement process.

1. Service Delivery
2. Affordability and Value for Money
3. Sustainability
4. Governance
5. Risk Management
6. Stakeholder Management
7. Change Management

Indicators have been developed for each success factor to assist the review team in evaluating a project. The Review Team is encouraged to expand or modify this list of indicators to reflect the specific characteristics of the project.

It is intended that the Gateway Review Team use existing project documentation and interview project stakeholders to gather information for the indicators. When this is completed, each of the factors is rated to provide the project team with a snapshot of the project.

RED It is the Gateway Review Team's opinion that this aspect poses a significant risk to the project and must be clarified or addressed before further consideration of the project is made.

AMBER It is the Gateway Review Team's opinion that this aspect indicates a minor risk to the project and must be clarified or addressed as part of proceeding to the next stage of the project.

GREEN It is the Gateway Review Team's opinion that this aspect has been given adequate consideration as not to jeopardise the success of progressing to the next stage of the project.

These ratings, as well as any findings or recommendations a review team may have, are then compiled in a report. A report template is provided on page 16.

POST IMPLEMENTATION GATE PURPOSE

A Post Implementation Review is held when the outputs and outcomes of a project can be assessed. The timing will vary depending on the nature of the project. For example on a building project, this may be appropriate 1-2 years subsequent to the building being occupied, after post completion and post occupancy reviews have been conducted. For longer term service contracts, it may be appropriate to schedule a series of Post Implementation Reviews throughout the contract, which complement any other review activities.

The purpose of the Post Implementation Review is to assess whether the deliverables defined in the business case have been or will be achieved. The review is to also ensure that the learnings from the project have been identified and communicated to improve procurement processes.

The main question the review seeks to answer is:

“Has the project provided the services needed?”

Specific questions the Post Implementation Review will address in relation to the seven success factors include:

- | | |
|--------------------------------------|--|
| 1. Service Delivery | 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? |
| 2. Affordability and Value for Money | Did the procurement project meet the approved budget? Is funding available to complete project realisation? |
| 3. Sustainability | Did the procurement project meet its social, economic and environmental objectives? Are negative impacts being managed? |
| 4. Governance | Were the issues raised at Gateway reviews addressed? Is feedback being provided to assist in improving future procurement processes? |
| 5. Risk Management | Was the risk management process effective? |
| 6. Stakeholder Management | Are stakeholders satisfied with the outcomes of the project and the level of consultation? |
| 7. Change Management | Has the change management process been effective? Are there issues that should be considered more carefully in the future? |

DOCUMENTATION

The Review Team will need access to all relevant project documents. This includes documentation that provides for the context, planning and delivery priorities of the project.

The information is commonly found in documents such as:

Post implementation Gate Documents

- Business Case
- Economic Appraisal
- Benefits Realisation Register
- Previous Gateway Review Reports and records of action
- Post Construction Review
- Post Occupancy Evaluation
- Feedback for new procurements
- Contract Evaluation Report

POST IMPLEMENTATION REVIEW INDICATORS

1. SERVICE DELIVERY

The Review needs to consider whether the acquisition of the good and/or service will achieve the desired outcome(s) and/or fulfil identified need(s).

Points to consider in evaluating this include:

- Post completion review(s) has verified that the project delivers the level of service described in the business case (or approved later through proper processes).
- Post completion review(s) has verified that the service delivered meets Government priorities.
- The expected benefits have been delivered and documented.
- The approved scope of the project has not been exceeded.
- Post completion review(s) has verified that the quality of the project meets expectations.
- The project was completed within the agreed time.
- The project has been evaluated in terms of the criteria defined in the business case.
- Reports on non-conformances of the project with agreed service objectives have been prepared.
- Where circumstances have changed, action is being taken to ensure that service needs are met.
- Strategies have been developed for renewal / discontinuation of the service in the future.

Comments:

RATING	RED	AMBER	GREEN
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3. SUSTAINABILITY

In considering sustainability, the Review Team needs to look at whether the project/program has and will continue to meet the need(s) of the present without compromising the ability of future generations to meet their needs.

Points to consider in evaluating this include:

- Post completion review(s) has verified that the procurement project met its social objectives.
- Post completion review(s) has verified that the procurement project met its economic objectives.
- Post completion review(s) has verified that the procurement project met its environmental objectives.
- Where anticipated benefits have not been met, or adverse impacts are greater than anticipated, the reasons have been identified and strategies taken to rectify.
- Measures have been taken / are planned to address adverse social impacts.
- Measures have been taken / are planned to address adverse environmental impacts.
- Measures have been taken / are planned to address adverse economic impacts.
- The project has achieved the requirements of the NSW Government Sustainability Policy for buildings, fleet, waste, recycling and purchasing.
 1. Building energy minimises needs, optimising usage and the use of renewables.
 2. Building water usage minimises need, optimising efficiency and use of alternative sources.
 3. Where applicable the following was achieved
 - a) Waste recycling
 - b) Procurement
 - c) National Australian Built Environment Rating System for office accommodation (NABERS)
 - d) Fleet management
- Feedback has been provided to planners, to improve future project conception, design development and implementation.

Comments:

RATING	RED	AMBER	GREEN
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GATEWAY REVIEW REPORT TEMPLATE

Project:

Sponsor Agency:

Gateway Review: Post Implementation Gate

Status of Report:

Managing Agency:

Project Sponsor:

Review Dates:
(Planning/Interviews/Report)

Gateway Review Team:

Gateway Manager:

This report is prepared under the NSW Government Procurement Policy.

Background

The aim of this project is [Outline the key intended outcomes of the project]

The driving force for the project is [Describe the context for the project in terms of government priorities or agency directions]

The proposed benefits of the project are [Describe the core benefits that will be delivered]

The current position of the project in relation to the Gateway Review Process is [State whether previous reviews have taken place]

Conduct of the Review

A Post Implementation Gate Review of [Insert project title] was carried out on [Insert dates] at [Insert location(s) of the Review meeting(s)].

The Gateway Review Team consisted of: [Insert names of Gateway Review Team, agencies or organisations employing the Gateway Review Team and identify Review Leader and Gateway Manager]

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-

The purpose of the review was to consider if sufficient procurement discipline is being applied to the development of the proposed project and to provide recommendations, where appropriate, on improvement opportunities.

The people interviewed by the Review Team are listed in Appendix A.

The documents reviewed by the Review Team are listed in Appendix B.

[This list would include the names of those interviewed and the agencies or organisations that employ them. It would also identify their interest/involvement in the project, eg. community representatives]

Findings of the Gateway Review Team

[This section of the report summarises the Review Team's findings on each of the seven success factors. Some suggested responses are included in the template below. The Gateway Review Team is however, encouraged to improve or expand upon these statements to capture the issues identified by the review]

The rating for each success factor is based on the following scale:

- RED** It is the Gateway Review Team's opinion that this aspect poses a significant risk to the project and must be clarified or addressed before further consideration of the project is made.
- AMBER** It is the Gateway Review Team's opinion that this aspect indicates a minor risk to the project and must be clarified or addressed as part of proceeding to the next stage of the project.
- GREEN** It is the Gateway Review Team's opinion that this aspect has been given adequate consideration as not to jeopardise the success of progressing to the next stage of the project.

The Review Team's findings in relation to each of the seven factors are as follows:

1. Service Delivery

[Delete the inappropriate words]

The Review indicated that the project is / is not delivering the anticipated benefits and level of service. Strategies for renewal or discontinuation of the service in the future have / have not been developed.

[Additional comments?]

-

The Review Team consider the service delivery aspects of the project to be Red/Amber/Green. [Select a rating]

2. Affordability and Value for Money

[Delete the inappropriate words]

The Review indicated that the project did / did not meet the approved budget, and funding is / is not available to complete project realisation.

[Additional comments?]

-

The Review Team consider the affordability and value for money aspects of the project to be Red/Amber/Green. [Select a rating]

3. Sustainability

[Delete the inappropriate words]

The Review indicated that the project did / did not meet its social, economic and environmental objectives and that any negative impacts are / are not being managed.

[Additional comments?]

-

The Review Team consider the sustainability aspects of the project to be Red/Amber/Green. [Select a rating]

4. Governance

[Delete the inappropriate words]

The Review indicated that the issues raised in previous Gateway Reviews have / have not been addressed and that feedback is / is not being provided to assist in improving future procurement processes.

[Additional comments?]

-

The Review Team consider the governance aspects of the project to be Red/Amber/Green. [Select a rating]

5. Risk Management

[Delete the inappropriate words]

The Review indicated that the risk management plan used for the project was / was not effective.

[Additional comments?]

-

The Review Team consider the risk management aspects of the project to be Red/Amber/Green. [Select a rating]

6. Stakeholder Management

[Delete the inappropriate words]

The Review indicated that stakeholders are / are not satisfied with the outcomes of the project and the level of consultation.

[Additional comments?]

-

The Review Team consider the stakeholder management aspects of the project to be Red/Amber/Green. [Select a rating]

7. Change Management

[Delete the inappropriate words]

The Review indicated that the change management processes have / have not been effective.

[Additional comments?]

-

The Review Team consider the change management aspects of the project to be Red/Amber/Green. [Select a rating]

Other Matters

[If the Review Team wants to make comments about matters identified during the review that draw together a number of the factors or sit outside of them, they can be included in this section]

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Conclusions and Recommendations

The Gateway Review Team concludes that the project is / is not ready to proceed to the next stage.

The Review Team recommends that additional work be undertaken on the following aspects of the project.

[List areas where deficiencies were identified. Be as specific as possible]

APPENDIX A: REVIEW INTERVIEWEES

The Reviewers are grateful to the following staff who gave generously of their time at the interviews. Their contribution assisted the Reviewers in coming to an understanding of the project and the path that led to its formulation.

Person	Agency	Project Role
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APPENDIX B: DOCUMENTS REVIEWED

Document Title	Author	Date of Publication
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