



Service Readiness Workbook

GATE

4



Government of South Australia

Department of Planning,
Transport and Infrastructure

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Background

The Gateway Review process examines programs and projects at key decision points. It aims to provide timely advice to the Senior Responsible Officer (SRO) as the person responsible for a program or project. A review provides the SRO with an independent view on the current progress of the program or project and assurance whether it can proceed successfully to the next stage.

Given the aim is to help the SRO at key decision points, each review is short and focussed on the work that is complete at the time. For the best result, a review is carried out shortly before a key decision is made to allow sufficient time for recommendations to be implemented.

The Gateway Review process supports delivery of a wide range of programs and projects and is coordinated through the 3PMO.

Document Amendment Record

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Overview

About this Workbook

This workbook supports the Gate 4: Service Readiness Gateway Review

This review investigates the department's readiness to make the transition from the specification / solution to implementation and, where appropriate, it will assess the capabilities of delivery partners and service providers.

The review also confirms that ownership of the project is clearly identified after handover to operational services.

This workbook describes the key products, appraisal questions and sources of supporting information, including best practices for review teams. It offers key questions to explore and evidence to look for. Because each program, project or policy is unique and circumstances change, the workbook should be used as a guide to the range of appropriate questions and evidence, rather than a full checklist of mandatory items.

Service Readiness

The Procurement Phase leading up to the Gate 3 Review covered activity up to the signing of contracts or agreements to place work with an existing supplier or partner. This review looks at whether the solution is robust before implementation; how prepared the department is to implement the business changes before and after delivery; contract management arrangements; and whether there is a basis for evaluating ongoing performance. This requires a governance structure for the operational phase of the project, together with adequate budgets, skilled staff, plus appropriate accommodation for the service management team.

For property and construction projects, this review takes place after the project has become approved as "ready for use". Commissioning will have begun, but will not be completed until after occupation, as systems are rebalanced to take account of the effect of occupancy. For IT projects, this review takes place after all testing, including business integration and business assurance testing is complete and before rollout or release into production.

Purpose of Gate 4

This Gateway Review will:

- check the current phase of the contract is complete with supporting documentation;
- ensure that the contractual arrangements are up to date;
- check the business case is still valid and unaffected by events or changes;
- check that the original projected business benefit is likely to be achieved;
- ensure processes and procedures are in place for the long-term success of the project;
- confirm that all necessary testing is done (e.g. commissioning of buildings, business integration and user acceptance testing) to the client's satisfaction and the client is ready to approve implementation;
- check that there are feasible and tested business contingency, continuity and reversion arrangements;

- ensure that all ongoing risks and issues are being managed effectively and do not threaten implementation;
- evaluate the risk of proceeding with the implementation while there are unresolved issues;
- confirm the business has the necessary resources and that it is ready to implement the services and business change;
- confirm that the client and supplier implementation plans are still achievable;
- confirm that there are management and organisational controls to manage the project through implementation and operation;
- confirm contract management arrangements are in place to manage the operational phase of the contract;
- confirm arrangements for the handover of the project from the SRO/PM to the operational business owner;
- confirm that all parties have agreed plans for training, communication, rollout, production release and support as required;
- confirm that all parties have agreed risk management plans;
- confirm plans for working relationships with clients, including reporting arrangements at appropriate levels, are in place;
- confirm information assurance accreditation or certification; and
- confirm defects or incomplete works are identified and recorded.

Project Documents

Examples of evidence relevant to the areas of investigation covered in the sections following should be available before the Gateway Review process commences.

The information is likely to be found in the documents suggested below, but may be located in other program or project documents, or elsewhere in the department's systems. These documents include:

- an updated requirements definition with any changes agreed during the period up to Gateway 4 Review;
- an updated business case and plans for benefits realisation which reflect the effect of any changes to requirements and plans for service delivery;
- close out (if the project ends at implementation); status reports and reconciliations for:
 - cost versus budget;
 - actual versus planned schedule;
 - risk management;
 - communication and external relations;
 - environmental performance;
 - adherence to statutory requirements;
 - an assessment of contractual issues during the project to date;
 - lessons learnt during the project;
 - governance arrangements for the management of the operational contract;
 - a plan for performance measurement;
 - updated contract;
 - test plan and test records;
 - progress reports on development and construction;
 - updated risk register and issues log, including residual risks;
 - outline project plans to completion and detailed plans for the next stage;
 - change management plan including expected changes to requirements over time;
 - details of any facilities not meeting the required specification and any missing or deficient items, with agreed plans for addressing outstanding issues;
 - risk management strategies;
 - benefits management plan; and
 - updated contingency and reversion plans for IT projects;
- operational documentation;
- for construction projects, updated health and safety files, operational and maintenance instructions such as maintenance and operational manuals and warranties; and
- for IT enabled projects, information assurance documentation or accreditation and operational and maintenance an updated business case that reflects actual operating conditions.

The Review

This section contains topics that would commonly be considered when undertaking a Gate 4: Service Readiness review. Review Teams are expected to use their own expertise in determining whether these topics are relevant and appropriate for the specific project under review. The Review Team may determine additional topics be considered that are also critical to the assessment of the project.

1. Business Case and Stakeholders

Areas to Probe:	Evidence Expected:
1.1 Is the project still required?	<ul style="list-style-type: none"> • approval of any changes to requirement defined at Gate 3: Investment Decision which remain within the scope of the original tender documentation; • communication with stakeholders; • project board endorsement of: <ul style="list-style-type: none"> - updated business case and benefits plan; - review of the solution against the requirements; - reconciliation of current government and departmental objectives with those identified at Gate 3: Investment Decision; and - plans for modular and / or incremental implementation if required.
1.2 Does the project meet the business need	<ul style="list-style-type: none"> • confirmation the operational service and / or facility (or partnering contract if applicable) is approved by stakeholders.
1.3 Is the business case still valid?	<ul style="list-style-type: none"> • updated project plan (and program plan if appropriate) and business case justifying implementation to show the project is: <ul style="list-style-type: none"> - meeting business need; - likely to deliver value for money; - affordable; and - achievable, with implementation broken down into modules / increments where appropriate.
1.4 Are there any changes between award of contract and completion of transition and / or testing affecting business change plans?	<ul style="list-style-type: none"> • change management documentation; • impact analysis; • products, design or operational changes; • justified and approved changes; • updated business case and benefit plan for the business change; and • updated, processes procedures and activities.
1.5 Is the department ready for business change?	<ul style="list-style-type: none"> • agreed plans for business preparation, transition and operational phases and, where appropriate, readiness of IT and/or new facilities; • communications plan; • informed and trained staff; and • a clearly defined service management function.

1.6	Can the department implement the new services and maintain existing services?	<ul style="list-style-type: none"> • a resource plan showing: <ul style="list-style-type: none"> - capacity and capability; and - resources are available to meet commitments.
1.7	Are there resources available with the appropriate skills and experience?	<ul style="list-style-type: none"> • internal and external commitment to provide the resources required; • job descriptions for key project staff; and • skills appraisal and plans for addressing any shortfalls; and • key project roles allocated appropriately between internal staff and consultants or contractors.

2. Risk Management

Areas to Probe:	Evidence Expected:
2.1 Have the risks and issues identified at the contract award phase been resolved?	<ul style="list-style-type: none"> • risks satisfactorily resolved with no outstanding issues.
2.2 Are risks and issues associated with the implementation phase being properly identified and managed?	<ul style="list-style-type: none"> • risks resolved with no outstanding issues; • any remaining risks are associated with commissioning and service delivery only; and • risks fully quantified with appropriate risk management plans in place.
2.3 If there are unresolved issues, what the risks of implementing rather than delaying?	<ul style="list-style-type: none"> • project risk management strategy in place, developed in line with best practice; • assessment of all remaining issues and risks, with responsibility for management of residual risks clearly defined; • evaluation report documented regarding the risk and impact of cancelling, delaying or proceeding with implementation that considers: <ul style="list-style-type: none"> - the project outcome and wider program of change; - benefits realisation; - consequences for supplier, client, business, stakeholders, users etc; and - other factors such as financial outcome, political issues and delivery; • options and management plans for all scenarios and a recommendation based on sensitivity analysis; and • project board has ratified the recommendation to delay or proceed with implementation.

3. Review of Current Phase (Delivery Phase)

Areas to Probe:	Evidence Expected:
3.1 Does the total service or facility meet the acceptance criteria?	<ul style="list-style-type: none"> • justification and authorisation of any changes to original specification; and • analysis of “as built” products to show how the solution complies with acceptance criteria.
3.2 Is the project under control? Is it running according to plan and budget?	<ul style="list-style-type: none"> • reconciliations of cost with budget and actual schedule with planned schedule; • updated risk register and issue log; • status reports documented for communication and external relations activities; • reports on environmental performance documented; • compliance with relevant statutory requirements (e.g. health and safety and data protection); • contractual issues resolved and recorded; and • for IT projects, compliance with relevant security standards such as information assurance.
3.3 Have all the stakeholder issues been addressed?	<ul style="list-style-type: none"> • progress reports completed and circulated according to the communication plan for stakeholder information.
3.4 Have all new system, service and business process testing and commissioning, acceptance and transition procedures been completed?	<ul style="list-style-type: none"> • commissioning or test plans, results and analysis of products against acceptance criteria documented; • commissioning or test results that conform to the pre-defined criteria; • ratified test reports and logs; • commissioning and/or testing team with relevant skills and experience established; • confirmed end to end testing including new or changed business processes; • testing takes into account future modules or deliverables; and • missing or incomplete items and agreed corrective action documented.
3.5 Have all parties accepted the commissioning or test results and any action plans required?	<ul style="list-style-type: none"> • plans or procedures produced and agreed to by supplier and client.
3.6 Where there are environmental or heritage impacts, are all regulatory requirements being met?	<ul style="list-style-type: none"> • required consultation and certification and evidence thereof.

3.7	Are there workable and tested business contingency, continuity and reversion plans for roll out, implementation and operation?	<ul style="list-style-type: none"> • fully documented and timetabled decision paths for key aspects (e.g. go/no go decisions on roll out) with decision makers clearly identified and informed; • where appropriate, plans cover IT components as well as the business; • endorsement by project board and supplier; • listed roles and responsibilities, resources allocated and staff trained; • commissioning or testing reflects expected scenario(s); • transition plans for new work practices; • plans for handover to asset management documented; where applicable; • training plans and relevant supporting material has been documented; • plans for a user support and helpdesk documented, where applicable.
3.8	Have the supplier and all internal and external parties agreed on plans? (e.g. change management, data transfer, rollout)	<ul style="list-style-type: none"> • all required plans in the contract; • all parties, or their representatives are aware of and have agreed to their responsibilities; • where relevant, partnering agreements in place or planned; and • shared understanding of the change control process established.
3.9	Have changes to the contract been forecast, accurately recorded and approved?	<ul style="list-style-type: none"> • contractual basis for manage and operate contract reviewed and agreed; and • contract documentation created with appropriate authority for all changes since award, including rationale for the change.
3.10	Is the organisation ready to manage the contract in the operational environment?	<ul style="list-style-type: none"> • current involvement of the future operational contract management team; • handover arrangements made regarding knowledge and learning between provision of assets (where required) and contract management teams; • identification of project team members available to the contract management team over the first year of operation; and • any issues related to defects in the finished product how these will be dealt with.

4. Readiness for Next Phase (Benefits Realisation)

Areas to Probe:	Evidence Expected:
4.1 Are all project elements ready for service?	<ul style="list-style-type: none"> • updated schedules; • health and safety file; • handover certificates; • product and/or works warranty schedules; • test and commissioning data; • transition plans; • plans for operational contract or service phase available; • contingency plan in place; and • technical documentation available, including: <ul style="list-style-type: none"> - delivered drawings; - operating manuals; - instructions; and - information assurance documentation.
4.2 Is ownership after handover clearly understood	<ul style="list-style-type: none"> • SRO has identified the business owner for the operational service; • SRO has identified and agreed the critical success factors with the business owner; and • handover responsibilities and arrangements documented and agreed by both parties.
4.3 Is the client ready to adopt new ways of working?	<ul style="list-style-type: none"> • new business processes have been planned, tested and are ready to go live; • information and support are available (e.g. customer information at call centres); and • members of the public as end-users are aware of the new service and where to get more information if required.
4.4 Is the long-term contract management process in place?	<ul style="list-style-type: none"> • detailed plans, roles, responsibilities, governance structure (including an escalation process) and organisation in place for client and supplier, with reporting arrangements at appropriate levels; • identification of the operational business owner if different from the SRO; • appropriate number of suitably qualified staff appointed with continuity skills appraisal and shortfall plans addressed; • staff managing the contract are trained for and aware of their contract management role and they are familiar with the contract aims and purpose; and • plans for managing service delivery, changes to the contract and relationship with the supplier are in place.
4.5 Is there a process to manage and measure performance?	<ul style="list-style-type: none"> • performance management plans in place; • performance enhancement process agreed with service provider and documented in the contract before it is awarded; • means of measuring and monitoring performance are agreed with service provider and partners.

4.6	Is there a process to manage and measure benefits?	<ul style="list-style-type: none">• benefits management plans in place, linked to program outcomes where applicable;• means of measuring benefits agreed with the service provider and partners;• contract management includes a sufficiently robust framework to assess performance; and• for collaborative projects, all parties understand and agree with their responsibilities and arrangements for benefits realisation.
4.7	Has ongoing operation and maintenance been considered in detail?	<ul style="list-style-type: none">• issues and ongoing costs relating to maintenance (of buildings / infrastructure and applications) are monitored against expectations and addressed.
4.8	Is there a process for post implementation reviews?	<ul style="list-style-type: none">• plan for post implementation reviews endorsed by supplier and internal and external parties.

Resources

Gateway Review Resources

Refer the Gateway Review Process Overview

Workbooks have been prepared for each Gateway Review. The workbooks provide further guidance on:

- the structure of each review;
- areas of investigation and topics to be explored; and
- examples of the types of evidence / artefacts that the Review Team will seek.

Additional Information

For further information, please contact the Project Office:

Email: DPTI.GatewayReviews@sa.gov.au

Intranet: http://cms.dpti.sa.gov.au/portfolio_management_office/gateway

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