



THE TREASURY
Kaitohutohu Kaupapa Rawa

Gateway Review Process

Best Practice – Gateway to success

Review 4

Readiness for Service

March 2018

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For up to date copies of the workbooks and further information visit:

www.treasury.govt.nz/statesector/investmentmanagement/review

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Introduction to the Gateway process

Why getting programmes and projects right matters

Programmes and projects are the key vehicles for delivering government strategies and implementing changes as a result of government policies. Procurement expenditure through programmes and projects is a significant proportion of total government expenditure. Good and effective management and control of programmes and projects is therefore essential to the successful delivery of Government objectives, to realise their intended benefits for citizens.

The Investment Management and Asset Performance (IMAP) team at Treasury has portfolio oversight of the Crown's investment in the Crown estate.

The IMAP team assists ministers and agency chief executives to have confidence that:

- investment decisions are informed and prioritised well and align with government's long-term goals
- the investment portfolio is delivering high public value
- investment decision making and asset management across the State sector is robust, transparent, effective and efficient.

IMAP aims to ensure the Crown owns the right assets, manages them well, funds them sustainably, and that any risks are managed and all benefits promised are realised.

The **Gateway process** is one of a suite of investment reviews facilitated by IMAP.

The Gateway process is designed to provide confidential, independent guidance to Senior Responsible Owners (SROs), and indirectly to programme and project teams, on how best to ensure that their programmes and projects are successful. Gateway reviews provide Ministers with the assurance that at key points in a high-risk project or programme the SRO has been provided with peer-level independent advice to help improve the initiative's chances of success.

The Gateway process

The Gateway Review process examines programmes and projects at key decision points in their lifecycle. It looks ahead to provide assurance that they can progress successfully to the next stage; the process is recognised as best practice by the United Kingdom, Australian and New Zealand Governments.

Cabinet mandate for Gateway

In 2007, Cabinet Minute 07 44/1 gave initial direction for Gateway's application to projects.

In 2010, Cabinet Circular CO (10) 2 refined the requirement and directed that Gateway Reviews be mandatory for all projects and programmes, in departments and crown agents, identified as high risk through Central Agency assessment of a Risk Profile Assessment.

In 2015, Cabinet Office Circular CO (15) 5¹ extended the scope of Gateway to the following types of organisation (agencies):

- all departments (including departmental agencies) as defined by the Public Finance Act 1989 (PFA)

1 Cabinet Office Circular CO(15) 5 can be downloaded from the DPMC website: www.dPMC.govt.nz/cabinet/circulars/

- the following types of Crown entities:
 - Crown agents
 - Autonomous Crown entities
 - Independent Crown entities
 - Crown entity companies, including Crown Research Institutes
- companies listed on Schedule 4A of the Public Finance Act.

Gateway reviews are mandatory for high risk projects and programmes of the following types, regardless of the source of funding:

- acquisition/procurement programmes and projects, whether capital expenditure, asset disposals, lease arrangements, or “as a service” investments
- ICT-enabled business change
- property/infrastructure/construction developments.

The principles and process in this workbook can also be applied to management of other areas of expenditure in the organisation:

- policy development and implementation
- organisational change and other change initiatives (with no ICT component).

Qualifying projects and programmes

The process for determining whether a project is ‘high risk’ and thus eligible for Gateway is:

- 1 Agencies must complete risk profile assessments (RPA) for all significant² investments identified on multi-year plans.
 - Download the RPA from: www.treasury.govt.nz/statesector/investmentmanagement/think, or
 - email IMAP for a copy: investmentmanagement@treasury.govt.nz
- 2 Agencies must provide to Treasury the RPA for any investment proposal that is assessed as medium or high risk through this process. We recommend, but do not require, that agencies send low risk RPAs to IMAP so that the Corporate Centre is aware that a risk assessment has been done.
- 3 IMAP circulates the RPA to Functional Leaders and other Corporate Centre groups for review, moderates their comments, and confirms a final risk assessment for the project. The RPA is used to identify Corporate Centre involvement, monitoring and assurance requirements including eligibility for Gateway.
- 4 Alternatively, a Minister may request that a project be subject to Gateway even if it is not formally identified as high risk.

² Significant means a high degree of importance of an investment issue, proposal, or decision in terms of its likely impact on, and likely consequences for:

- the Crown or the agency or sector, customers or clients, or the capacity of State services agencies to perform their functions
- the government's fiscal strategy, or
- the government's investment strategy.

In terms of financial or risk thresholds, significant generally means investments that require Cabinet or Ministerial approval, that is, high risk proposals, or proposals with whole of life costs (WoLC) in excess of \$15 million, however funded

Value of the Gateway process

Gateway Reviews deliver a peer review in which independent practitioners from outside the programme/project use their experience and expertise to examine the progress and likelihood of successful delivery of the programme or project. They are used to provide a valuable additional perspective on the issues facing the internal team, and an external challenge to the robustness of plans and processes.

The Gateway Review process provides support to SROs in the discharge of their responsibilities to achieve their business aims, by helping the SRO to ensure:

- the best available skills and experience are deployed on the programme or project
- all stakeholders covered by the programme/project fully understand the programme/project status and the issues involved
- there is assurance that the programme/project can progress to the next stage of development or implementation and that any procurement is well managed to provide value for money on a whole-of-life basis
- achievement of more realistic time and cost targets for programmes and projects
- improvement of knowledge and skills among government staff through participation in reviews
- provision of advice and guidance to programme and project teams by fellow practitioners.

Gateway Reviews as part of the assurance framework

Every agency should have its own structures and resources for carrying out internal reviews, healthchecks and audits of its activities, including programmes and projects. The Gateway Review process provides a forward-looking snapshot view of progress at a point in time and therefore should be seen as complementary to these internal processes and not a replacement for them.

Organisations should have in place an effective framework to provide a suitable level of assurance for their portfolio of programmes and projects. This requires management to map their assurance needs and identify the potential sources for providing them. Agencies are encouraged to ensure adequate and timely co-ordination and sharing of information, including plans, between the various internal review functions.

In addition, SROs should be aware of the extent and limitations of the various review processes. For example, the fact that a Gateway Review has taken place does not replace the need for a full audit opinion on the effectiveness of risk management, control and governance in the audited area.

Further, none of these review processes is a substitute for a rigorous governance framework in the organisation to manage key processes, including business planning, investment appraisal and business case management (including benefits management), programme and project management, portfolio management, risk management, procurement/acquisition, and service and contract management.

Role of the Senior Responsible Owner

A Gateway Review is conducted on a confidential basis for the Senior Responsible Owner (SRO), who has prime responsibility for initiating the Review. The ownership of the Review Report rests with the SRO, who is accountable for the implementation of the recommended remedial action and the programme/project progression.

The SRO is the individual responsible for ensuring that a programme of change or a project meets its objectives and delivers the projected benefits. The SRO should be the owner of the overall business change that is being supported by the project, and should ensure that the change maintains its business focus, has clear authority and that the context, including risks, is actively managed.

The SRO must hold an executive role in the organisation and must take personal responsibility for successful delivery of the programme/project. He/she should be recognised as the owner throughout the organisation.

Tailoring the Gateway Review

The workbooks published by the Treasury IMAP Gateway team provide guidance on the structure of each Gateway Review and the areas of investigation to be addressed by the Review Team, together with examples of the evidence which would demonstrate to the Review Team that the project team has taken an adequate approach to the topic.

These topics and the examples of evidence should be regarded as indicative and not prescriptive, within the overall objectives of each review stage.

The Review Team should consider whether additional or different topics need to be addressed and the evidence to be sought.

Approaches may vary according to the context of the programme or project, for example, IT-enabled business change, property/infrastructure/construction, or policy development/implementation.

Differences between projects and programmes

A **project** has definite start and finish dates, a clearly defined output, a well defined development path, and a defined set of financial and other resources allocated to it; benefits are achieved after the project has finished and the project plans should include activities to plan, measure and assess the benefits achieved by the project.

- Project reviews are carried out under Gateway Reviews 0 to 4; typically a project will undergo all five of these reviews during its lifecycle – four before commitment to invest, and one looking at readiness for service. In the early stages reviews are often combined (eg, Gate 0/1).
- Project reviews may be repeated as necessary depending on the size, scope and complexity of the project.
- A review of a project must take into account the programme context within which the project is located, and possible inter-dependencies with other projects in the programme. The review will also indicate how far procurements align with strategic and policy objectives.

Programmes typically comprise a number of related projects that are selected, planned and managed in a co-ordinated way to deliver outcomes and benefits related to the organisation's strategic objectives. Programmes are able to deal with uncertainty about achieving the desired outcomes. During a programme, projects are initiated, executed and closed. Programmes provide an umbrella under which projects can be coordinated. Programmes typically comprise a number of related projects that will be completed in several tranches over an extended period.

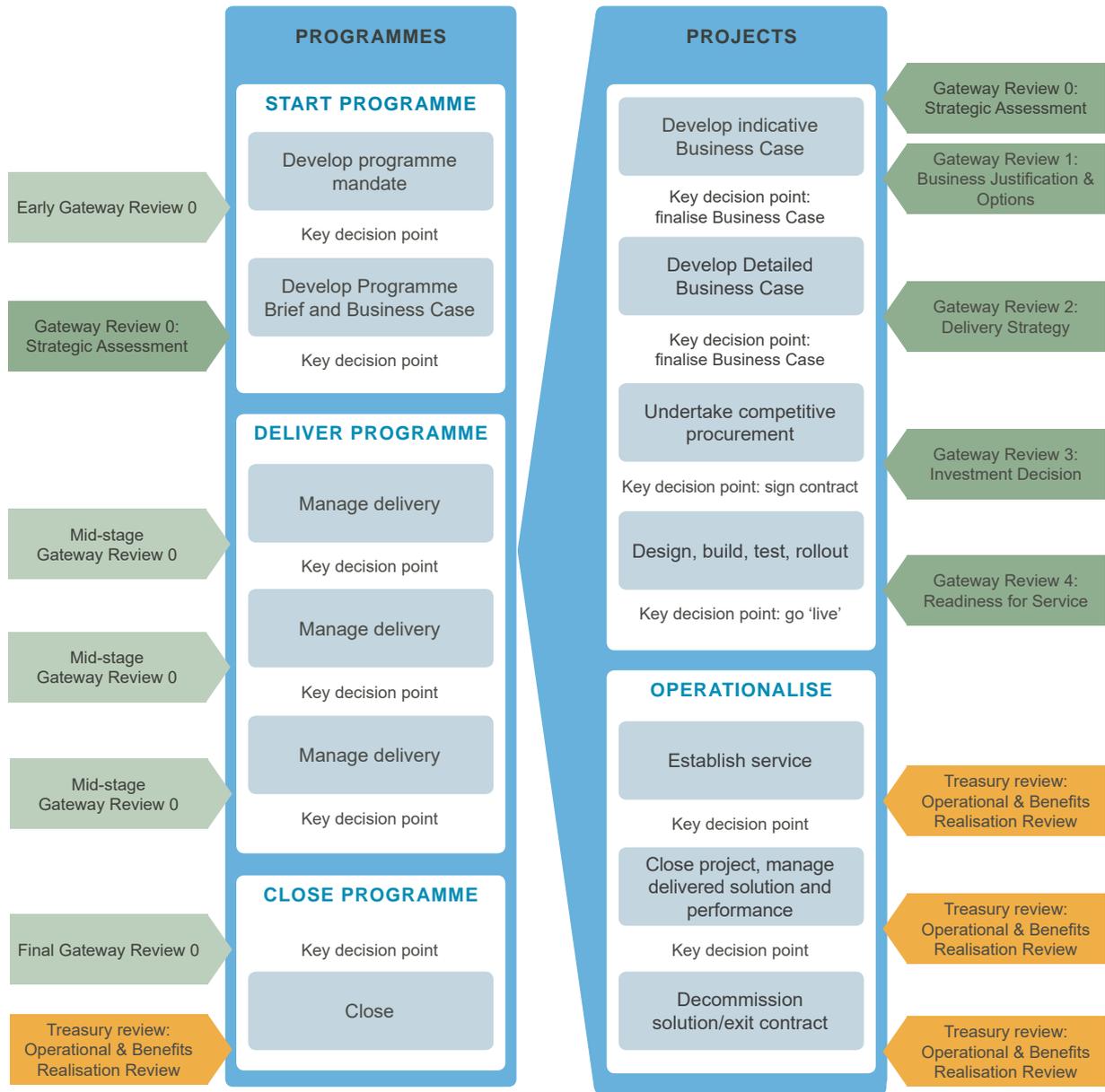
A programme approach should be flexible and capable of accommodating changing circumstances such as opportunities or risks materialising. It co-ordinates delivery of the range of work (including projects) needed to achieve outcomes, and benefits, throughout the life of the programme.

- Programme reviews are carried out under Gateway Review 0: Strategic assessment.
- A programme will generally undergo three or more Gate 0 Reviews: an early review, one or more reviews at key decision points during the programme (eg, inter-tranche boundaries), and a final review at the conclusion of the programme.

Each of these reviews is described in the appropriate Gateway Review Workbook.

In addition, for both programmes and projects there is a mandated, repeatable Operational & Benefits Realisation review which is also facilitated by IMAP. This review focusses on contract management, benefits and operational performance after transition into service. It is designed to be repeated throughout the life of the service, with an early review typically 6-10 months after project handover to operational service; this informs the mandated report to Cabinet on delivery of benefits 12 months after transition into service. The review can then be repeated at intervals as agreed, until the benefits have been realised or the asset reaches the end of its life.

Overview of the Gateway process



Gateway Review 4: Overview

About this workbook

This workbook supports Gateway Review 4: Readiness for Service. This review investigates the organisation's readiness to make the transition from the specification/solution to implementation; for example:

- for a building project – readiness for occupation and ongoing facilities management
- for an ICT project – ready for implementation into production and ongoing maintenance
- for defence capability projects – readiness for full operational capability.

Where appropriate, the review 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.

Purposes of the Gateway Review 4

- Check that the current phase of the contract is properly completed and documentation completed
- Ensure that the contractual arrangements are up-to-date
- Check that the relevant Business Case document (Implementation Business Case, DBC or single-stage business Case) is still valid and unaffected by internal and external events or changes
- Check that detailed plans are in place to ensure the original projected business benefits are likely to be achieved and all additional benefits since identified are included in benefits realisation planning
- Ensure that there are processes and procedures to ensure long-term success of the project
- Confirm that all necessary testing is complete (eg, commissioning of buildings, business integration and user acceptance testing) to the client's satisfaction and that the client is ready to approve implementation
- Check that there are feasible and tested business contingency, continuity and/or reversion arrangements
- Ensure that all ongoing risks and issues are being managed effectively and do not threaten implementation; ensure that there is a process to hand residual risks and outstanding issues over to the operational phase of the project
- Evaluate the risk of proceeding with the implementation where there are any unresolved issues
- Confirm the business has the necessary resources and that it is ready to implement the services and the 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 that contract management arrangements are in place to manage the operational phase of the contract
- Confirm arrangements for handover of the project from the SRO to the operational business owner; transition plans, handover-to-production checklists, updated governance structures.
- Confirm that all parties have agreed plans for the transition to operational service, including training, communication, rollout, production release and/or support as required

- Confirm that all parties have agreed plans for managing risks associated with operational use of the project products
- Confirm that there are client-side plans for managing all on-going working relationships, with reporting arrangements at appropriate levels in the organisation reciprocated on the supplier side
- Confirm information assurance accreditation/certification
- Confirm that defects or incomplete work are identified and recorded, including management of contractual impacts
- Check that lessons for future projects are identified and recorded
- Ensure there is robust planning for any contract closures.

Readiness for service

Gateway Review 3 covered the activity up to contract signature or agreement to place work with an existing supplier or partner.

This Gateway Review 4 focuses on whether the solution is robust before implementation; how ready the organisation is to implement the business changes that occur before and after delivery; the contract management arrangements that are in place or being arranged; and whether there is a basis for evaluating ongoing performance.

For strategic partnership contracts, it is particularly important to ensure that the project is well prepared for the contract management phase. This would mean that a governance structure is being developed for the operational phase of the project, together with adequate budgets, appropriately skilled staff from the client and provider, and appropriate accommodation for the service management team.

For property/construction projects, this review takes place after the project has been approved as ready for use. Commissioning will have taken place, although this will not be completed until after occupation, as systems are re-balanced to take account of the effect of occupancy.

For IT-enabled projects, this review takes place after all testing, including business integration and business assurance testing, has been completed and before rollout or release into production.

For major asset procurement projects, this review takes place after equipment commissioning, existing asset integration testing and maintenance systems set ups have been completed and before transferring the assets into operational service.

1: Business case and stakeholders

AREAS TO PROBE	EVIDENCE EXPECTED
<p>1.1 Is the project still required?</p>	<ul style="list-style-type: none"> ■ Project Board endorsement of: <ul style="list-style-type: none"> ■ detailed finalised Benefits Realisation Plans and Benefits Map ■ evidenced reviews of the solution against the requirements ■ reconciliation of current government and organisation objectives with those defined at Gateway Review 3 ■ plans for modular/incremental implementation, where required ■ Where relevant, approval of changes to requirements defined at the Gateway Review 3 ■ Communications with stakeholders.
<p>1.2 Does the project meet the business need?</p>	<ul style="list-style-type: none"> ■ Confirmation that the operational service or facility (or partnering contract, where applicable) is approved by stakeholders.
<p>1.3 Is the Business Case still valid?</p>	<ul style="list-style-type: none"> ■ Updated Project Plan (and programme plan if appropriate) and Business Case documents justifying implementation: <ul style="list-style-type: none"> ■ meeting business need ■ likely to deliver value for money ■ affordable ■ achievable, with implementation broken down into modules/increments where appropriate.
<p>1.4 Are there any changes between award of contract and completing of transition/testing that affect plans for business change?</p>	<ul style="list-style-type: none"> ■ Change management documentation for: <ul style="list-style-type: none"> ■ impact analysis ■ products, design or operational changes ■ justified and approved changes ■ Effective management of changes to requirements which remain within the scope of the original Government Electronic Tender Service (GETS) advertisement ■ Updated Business Case and detailed finalised Benefit Realisation Plan for the business change ■ Updated processes, procedures and activities.

<p>1.5 Is the organisation ready for business change?</p>	<ul style="list-style-type: none"> ■ Agreed plans for <ul style="list-style-type: none"> ■ business preparation ■ transition and operational phases ■ handover to business as usual (BAU) governance structures ■ where appropriate readiness of IT and/or new facilities ■ Communications plan ■ Informed and trained staff ■ A clearly defined service management function/organisation in place.
<p>1.6 Can the organisation implement the new services and maintain existing services?</p>	<ul style="list-style-type: none"> ■ Resource plan, showing: <ul style="list-style-type: none"> ■ capacity and capability ■ resources available to meet commitments ■ Confirmed funding for transition activities and resources.
<p>1.7 Are there resources available with, where required, the appropriate skills and experience?</p>	<ul style="list-style-type: none"> ■ Internal and external commitment to provide the resources required ■ Job descriptions for key project staff ■ Skills appraisal and plans for addressing any shortfalls ■ Appropriate allocation of key project roles between internal staff and consultants or contractors ■ Formal “back-fill” arrangements for key BAU staff involved with the transition phase.

2: Risk management

AREAS TO PROBE	EVIDENCE EXPECTED
<p>2.1 Have the risks and issues identified at contract award phase been resolved?</p>	<ul style="list-style-type: none"> ■ Risks managed effectively ■ All issues satisfactorily resolved – no outstanding issues.
<p>2.2 Are risks and issues associated with the implementation phase being properly identified and managed?</p>	<ul style="list-style-type: none"> ■ Risks managed effectively ■ All issues satisfactorily resolved – no outstanding issues ■ Remaining risks only associated with commissioning and service delivery ■ Risks fully quantified with appropriate risk management plans in place.
<p>2.3 If there are unresolved issues, what are the risks of implementing rather than delaying?</p>	<ul style="list-style-type: none"> ■ All unresolved issues managed through change control, impacts assessed and responsibilities for resolving the issue assigned ■ Evaluation report on the risk and impact of cancelling, delaying or proceeding with implementation that considers: <ul style="list-style-type: none"> ■ the project outcome and wider programme of change ■ benefits realisation ■ consequences for supplier, client, business, stakeholders, users, etc ■ other factors such as financial outcome, political issues and delivery ■ Project risk management strategy in place, developed in line with best practice ■ Assessment of all remaining risks, with responsibility for management of residual risks clearly defined ■ Options and management plans for all scenarios and a recommendation based on sensitivity analysis ■ Project Board has ratified the recommendation to delay or proceed with implementation.

3: Review of current phase

AREAS TO PROBE	EVIDENCE EXPECTED
<p>3.1 Does the total service or facility meet the acceptance criteria?</p>	<ul style="list-style-type: none"> ■ Acceptance criteria documented and plans in place to manage the process in the event the criteria are not met (eg, too many priority 2 problems) ■ Justification and authorisation of any changes to original specification fully documented ■ Analysis of 'as built' products to show how the solution complies with acceptance criteria.
<p>3.2 Is the project under control? Is it running according to plan and budget?</p>	<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 for communication and external relations activities ■ Reports on environmental performance, where applicable ■ Compliance with statutory requirements (eg, health and safety, data protection) ■ Contractual issues resolved and recorded.
<p>3.3 Have all the stakeholder issues been addressed?</p>	<ul style="list-style-type: none"> ■ Progress reports completed and circulated as part of the communication plan for stakeholder information ■ Stakeholders expectations effectively managed.

<p>3.4 Have all new system/ service/business process testing and commissioning/ acceptance (or transition) procedures been completed?</p>	<ul style="list-style-type: none"> ■ Commissioning/test plans, results and analysis of products against acceptance criteria ■ Commissioning/test results that conform to the pre-defined criteria ■ Ratified test reports and logs ■ Commissioning/testing team with relevant skills and experience ■ Confirmed 'end-to-end' testing, including changed or new business processes ■ Testing takes into account future modules or deliverables ■ Missing or incomplete items <ul style="list-style-type: none"> ■ Agreed corrective action documented ■ Reflected in the Issues Log ■ For IT-enabled projects <ul style="list-style-type: none"> ■ Compliance with Office of the Government Chief Information Officer (OGCIO) policies, eg, e-government frameworks such as e-GIF ■ compliance with IT security requirements, eg, Government Communications Security Bureau's (GCSB) NZ Information Security Manual ■ see the Supporting documents section for a full list ■ For construction projects, <ul style="list-style-type: none"> ■ Compliance with NZ Building Code and relevant standards ■ All consents and licences in place.
<p>3.5 Have all parties accepted the commissioning/test results and any action plans required?</p>	<ul style="list-style-type: none"> ■ Plans and procedures by supplier and client ■ Agreements in place on a process for addressing any issues still outstanding at handover.

<p>3.6 Are there workable and tested business contingency, continuity and/or reversion plans for rollout, implementation and operation?</p>	<ul style="list-style-type: none"> ■ Fully documented and timetabled decision paths for key aspects (eg, go/no go decisions on rollout) with decision makers clearly identified and informed ■ Where appropriate, plans should cover support systems components as well as the business, eg, IT, security, maintenance etc ■ Endorsement by Project Board and supplier ■ Commissioning/testing represented expected scenario(s) ■ Plans for transition to new ways of working, where applicable ■ Plans for handover to facilities management, where applicable ■ Listed roles and responsibilities with resources allocated ■ Training plans and relevant supporting material, if required ■ Where staff have been trained, feedback received indicating training has been successful ■ Training planned to take place as part of roll-out approved and tested ■ Plans for a user support and/or help desk, where applicable.
<p>3.7 Have the supplier and all internal and external parties agreed these plans?</p>	<ul style="list-style-type: none"> ■ These could include: <ul style="list-style-type: none"> ■ management of change ■ migration and data transfer ■ client and supplier implementation ■ rollout ■ All plans in the contract reflected in actual project plans ■ All parties, or their representatives, are aware of and have agreed their responsibilities ■ Where relevant, partnering agreement in place or planned ■ Shared understanding of the change control process.
<p>3.8 Have any changes to the contract that were previously forecast been accurately recorded and approved?</p>	<ul style="list-style-type: none"> ■ Contractual basis for 'manage and operate contract' reviewed and agreed ■ Contract documentation with appropriate authority for all changes since award, including rationale for the change.

<p>3.9 Is the organisation ready to manage the contract in the operational environment?</p>	<ul style="list-style-type: none"> ■ The current degree of involvement of the future operational contract management team ■ The handover arrangements regarding knowledge and learning between provision of assets (where required) and contract management teams ■ Identification of the members of the project team who will be available to the contract management team over the first year of operation ■ Any issues related to defects in the finished product expected and if so how these will be dealt with.
<p>3.10 Is closure of all major supply contracts effectively managed?</p>	<ul style="list-style-type: none"> ■ For contracts ending in current phase: <ul style="list-style-type: none"> ■ Contract deliverables accepted and signed off ■ Closure activities defined and assigned ■ Other major supply contracts <ul style="list-style-type: none"> ■ Plans for formal closure processes ■ Clear links with acceptance criteria and testing.

4: Readiness for next phase: Operations Review and Benefits Realisation

AREAS TO PROBE	EVIDENCE EXPECTED
<p>4.1 Are all project elements ready for service?</p>	<ul style="list-style-type: none"> ■ Updated schedules ■ Health and safety file ■ Handover certificates ■ Test and commissioning data ■ Plans for transition are in place ■ Transition roles and responsibilities assigned ■ Plans for 'operate contract'/service phase available ■ Contingency plan in place, if required ■ Technical documentation available, including: <ul style="list-style-type: none"> ■ delivered drawings ■ operating manuals ■ instructions ■ information assurance documentation.
<p>4.2 Is ownership after handover clearly understood?</p>	<ul style="list-style-type: none"> ■ SRO has identified the business owner for the operational service, where applicable ■ SRO has identified and agreed the critical success factors with the business owner ■ Handover responsibilities and arrangements documented and agreed by both parties.
<p>4.3 Is the client ready to adopt new ways of working, where applicable?</p>	<ul style="list-style-type: none"> ■ New business processes have been thoroughly worked out, tested and are ready to go 'live' ■ Information and support are available (eg, customer information at call centres) ■ Robust analysis of transition support staff numbers and locations ■ Where applicable, members of the public as end-users are aware of the new service and can find out more if they want.

<p>4.4 Is the long-term contract management process in place?</p>	<ul style="list-style-type: none"> ■ Detailed plans, roles, responsibilities, governance structure, including any 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 by client and supplier, with continuity planned; skills appraisal and plans for addressing any shortfalls ■ Staff managing the contract are trained for and aware of their contract management role; they are familiar with the contract aims and purpose ■ Plans for managing service delivery, changes to the contract and relationship with supplier.
<p>4.5 Is there a process to manage and measure performance?</p>	<ul style="list-style-type: none"> ■ Performance management plans in place ■ Performance enhancement process agreed with service provider and documented in contract before award ■ Means of measuring performance agreed with service provider/partners ■ Robust provisions for protection from defects and/or non-performance in contract before award.
<p>4.6 Is there a process to manage and measure benefits?</p>	<ul style="list-style-type: none"> ■ Detailed finalised Benefits Realisation Plans and Benefits Map in place, linked to programme outcomes where applicable ■ Means of measuring benefits agreed with service provider/partners ■ For collaborative projects, all parties understand and agree their responsibilities and arrangements for benefits realisation ■ Processes in place to ensure new benefits (and dis-benefits) are identified and brought under management ■ Monitoring of benefits achievement is in place and being reported. Variation management process in place.
<p>4.7 Have ongoing operation and maintenance been considered in detail?</p>	<ul style="list-style-type: none"> ■ Issues and ongoing costs relating to maintenance (of buildings and/or IT systems and/or major assets as appropriate) monitored against expectations and addressed ■ Roles and responsibilities for on-going maintenance assigned and accepted.
<p>4.8 Is there a process for ongoing post-implementation reviews?</p>	<ul style="list-style-type: none"> ■ Plan for post-implementation reviews endorsed by supplier and internal and external parties ■ Lessons learned activities covered in project plans and budgets.

Gateway Review 4: Typical project documentation

The areas of investigation, together with examples of evidence, should be available before the Gateway 4 Review starts. The information is likely to be found in the documents suggested below, but may be located in other programme or project documents or elsewhere in the organisation's documentation system:

- An updated requirements definition with any changes agreed during the period up to Gateway Review 4.
- Updated Detailed Business Case and Benefits Realisation Plans (BRP). These must reflect the effect of any agreed changes to requirements or scope. As a minimum, where what has been delivered differs from the business case as signed-off there should be documents describing all changes; these should be traceable to the signed-off business case, demonstrate the approval process, and include change requests where benefit changes exceed agreed tolerances, showing an assessment of impact on benefits delivery.
- Any agreed reports on benefits achieved to date and monitored against expected achievement; new benefits and/or dis-benefits added to the BRP
- Detailed and agreed transition plans detailing how the service will be handed over to business-as-usual; including details of transition to a BAU governance structure
- Close-out documentation (if the project ends at implementation); status reports and operational management plans for:
 - cost versus budget
 - actual versus planned schedule
 - actual benefits versus planned benefits delivery
 - risk management; updated risk register and issues log, including residual risks and who will be responsible after transition into service
 - communication and external relations plan
 - environmental performance plan
 - adherence to statutory requirements
 - an assessment of contractual issues during the project to date
 - lessons learned during the project
 - governance arrangements for the management of the operational contract
 - a plan for performance measurement
 - the updated contract
 - test plan and test reports
 - progress reports on development and construction
 - for IT-enabled projects, updated contingency and reversion plans
 - the plan for management of change, including expected changes to requirements over time
 - details of anything not provided to the required specification and any missing or deficient items, with agreed plans for addressing any outstanding issues.
- For IT-enabled projects, information assurance documentation (accreditation), detailed and agreed handover-to-production checklists, operational and maintenance instructions and warranties
- For construction projects, updated health and safety file, operational and maintenance instructions (eg, maintenance and operation manuals) and warranties.

Supporting guidance

- **Department of Prime Minister and Cabinet** www.dpmc.govt.nz
 - Investment Management and Asset Performance in the State Services – Cabinet Office Circular CO (15) 5 (mandating document for the Treasury Investment Management and Asset Performance processes, including Gateway process: www.dpmc.govt.nz/cabinet/circulars)
- **New Zealand Treasury** www.treasury.govt.nz
 - Investment management and asset management in the state sector:
www.treasury.govt.nz/statesector/investmentmanagement
www.treasury.govt.nz/statesector/investmentmanagement/think
 - Benefits management, including guidance and templates
www.treasury.govt.nz/statesector/investmentmanagement/plan/benefits
 - Better Business Cases (BBC), including guidance and templates:
www.treasury.govt.nz/statesector/investmentmanagement/plan/bbc
 - Cost Benefit Analysis (CBA) including public sector discount rates:
www.treasury.govt.nz/publications/guidance/planning/costbenefitanalysis
 - Investment reviews, including Gateway: www.treasury.govt.nz/statesector/investmentmanagement/review
 - Investor Confidence Rating (ICR): www.treasury.govt.nz/statesector/investmentmanagement/statesector/investmentmanagement/review/icr
 - Long term investment plans (LTIP):
www.treasury.govt.nz/statesector/investmentmanagement/statesector/investmentmanagement/think/ltip
 - Monitoring and reporting for Major Projects and Programmes:
www.treasury.govt.nz/statesector/investmentmanagement/do
 - Public-Private Partnerships, including guidance and standard form agreements:
www.treasury.govt.nz/statesector/ppp
- Information available only to government agencies, on the Public Sector Intranet (PSI):
 - Capital Asset Management in the state sector (Public Sector Intranet):
www.psi.govt.nz/home/guidance/investment-management/capital-asset-management/
- **Ministry of Business, Innovation and Employment (MBIE):**
 - Procurement website: www.business.govt.nz/procurement
 - Procurement lifecycle with emphasis on the planning:
www.business.govt.nz/procurement/for-agencies/guides-and-tools
 - Guide to Mastering Procurement – structured approach to strategic procurement:
www.business.govt.nz/procurement/for-agencies/strategic-procurement
- **Department of Internal Affairs/Office of the Government Chief Digital Officer:**
 - Major projects and programmes should consult with the DIA GCDO to understand the ICT common capabilities which are available for use, and which services they have been directed to adopt.
 - Information about ICT common capabilities which are generally available, and the ICT common capability roadmap, can be found on www.ict.govt.nz
 - For more information, contact gcd@dia.govt.nz, or call 04 475 5775.
- **New Zealand Government Communications Security Bureau (GCSB):**
 - New Zealand Government Information Security Manual:
<https://www.gcsb.govt.nz/publications/the-nz-information-security-manual/>

- **New Zealand Office of the Controller and Auditor-General:** search for the following documents in www.oag.govt.nz/reports
 - Achieving public sector outcomes with private sector partners (2006): www.oag.govt.nz/2006/public-private
 - Managing conflicts of interest: Guidance for public entities (2007): www.oag.govt.nz/reports/docs/conflicts-public-sector.pdf/view
 - Procurement guidelines for public entities (2008): www.oag.govt.nz/2008/procurement-guide
- **Standards New Zealand:** www.standards.govt.nz
 - AS/NZS 8016:2013: Governance of IT enabled projects <https://shop.standards.govt.nz/catalog/8016%3A2013%28AS%7CNZS%29/view>
 - AS/NZS ISO 31000:2009: Risk Management – Principles and guidelines (supersedes AS/NZS 4360:2004: Risk Management, 2004) <https://shop.standards.govt.nz/catalog/31000%3A2009%28AS%7CNZS+ISO%29/view?client=html5>
 - SA/SNZ TS 8019:2016 Governance of benefits realization for IT enabled investments: <https://shop.standards.govt.nz/catalog/8019%3A2016%28SA%7CSNZ+TS%29/view>
- **Australian Government**
 - Australian Audit Office: www.anao.gov.au/Publications
 - Better Practice Guide: Developing and Managing Contracts, February 2012.
 - Better Practice Guide: Implementation of Programme and Policy Initiatives, October 2006
 - Better Practice Guide: Public Sector Governance, July 2003
 - Better Practice Guide: Business Continuity Management – Building resilience in public sector entities, June 2009
- **UK Government**
 - All UK government methodologies and best practices are now available from the official Axelos site: www.axelos.com, including:
 - ITIL – Information Technology Infrastructure Library: www.axelos.com/best-practice-solutions/itil
 - MoP – Management of Portfolios: www.axelos.com/best-practice-solutions/mop
 - MoR – Management of Risk: Guidance for Practitioners: www.axelos.com/best-practice-solutions/mor
 - MSP – Managing Successful Programmes: www.axelos.com/best-practice-solutions/msp
 - P3M3 – Portfolio, Programme, and Project Management Maturity Model: www.axelos.com/best-practice-solutions/p3m3
 - P3O – Portfolio, Programme and Project Offices: www.axelos.com/best-practice-solutions/p3o
 - Prince2 – Managing and Directing Successful Projects with PRINCE2: www.axelos.com/best-practice-solutions/prince2
- **Project Management Institute**
 - Project Management Body of Knowledge Fifth Edition (PMBOK® Guide) www.marketplace.pmi.org/Pages/ProductDetail.aspx?GMProduct=00101388701
 - Construction Extension to the PMBOK® Guide Third Edition www.marketplace.pmi.org/Pages/ProductDetail.aspx?GMProduct=00101025801
 - Software extension to the PMBOK® Guide Fifth Edition www.marketplace.pmi.org/Pages/ProductDetail.aspx?GMProduct=00101457501
 - The Standard for Program Management Third Edition www.marketplace.pmi.org/Pages/ProductDetail.aspx?GMProduct=00101388801
- **Change Management Institute**
 - Change Management Body of Knowledge First Edition www.change-management-institute.com/buycmbok

