



Government of **Western Australia**  
Department of **Finance**  
Government Procurement

# Gateway

Readiness for Service

Workbook



## ABOUT THIS WORKBOOK

This workbook supports the Gateway review Readiness for Service. It is the fifth in a series of six reviews a project may undergo. It investigates the organisation's readiness to make the transition from the specification/solution to implementation. 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 service.

The checklists in this workbook provide review teams with key areas to explore, and suggest evidence to look for. At the same time, they provide the Senior Responsible Officer (SRO) with information on the areas the review team will be exploring, the types of documents it will be reviewing and the evidence it will be expecting.

As each project is unique and circumstances vary, this workbook should be used as a guide for appropriate questions and evidence, not a full checklist of mandatory items.



The review confirms ownership of the project is clearly identified.

## READINESS FOR SERVICE

The Gateway review Tender Decision covered the activity up to contract signature or agreement to place work with a supplier or partner.

The review Readiness for Service checks that:

- The solution is robust
- The organisation is ready to implement the business changes that occur before and after delivery
- The contract management arrangements in place, or being arranged, are sound.

It also investigates 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, plus appropriate accommodation for the service management team.

Typically, this review takes place before the start of the implementation phase.



## KEY AREAS OF REVIEW

This review aims to answer the question:

***“Is the business ready to implement the services and business change?”***

It investigates the following areas:

**Outcomes and objectives:** Is the original projected business benefit still going to be achieved by implementation of the service and the business change?

**Stakeholders:** Is the implementation supported by the key stakeholders?

**Context:** Is the business case still valid and unaffected by internal or external changes to the wider context of Government policy and procurement objectives? Is the business case still valid and unaffected by internal or external changes to the wider context of other projects and broader programs within the agency or other relevant agencies?

**Project management:** Are there adequate management and organisation controls in place to correctly manage the project through implementation and operation? Are there adequate controls in place to correctly manage the contract through the operational phase?

**Risk:** Are there adequate controls in place to correctly manage the ongoing risks and issues so that there is no impact on implementation? Has an evaluation been made as to the progressing of the implementation if there are any unresolved issues? Have these controls been made available to all relevant stakeholders?

**Resourcing:** Are there adequate resources available to allow for the implementation of the services and business change?

Once the evidence for each of these areas has been considered by the review team, the project is evaluated on its readiness for the next phase and recommendations to this effect are made.

## STRUCTURE OF REVIEW

The Gateway review Readiness for Service is broken up into the following sections:

- **Business case and stakeholders**
- **Risk management**
- **Review of current phase**
- **Readiness for next phase.**

The following checklists provide review teams with a range of appropriate questions and evidence to look for in each of the above sections. It also provides the SRO and project teams with a guide as to what the review team will be exploring.

As each project is unique and circumstances vary, these questions should be used as a guide rather than a full checklist of mandatory items.



*The Gateway review Readiness for Service looks at stakeholder attitudes.*

# 1. REVIEW AREA: BUSINESS CASE AND STAKEHOLDERS

| Areas to review  | Evidence expected   |
|--|---|
| <b>1.1 Is the project still required?</b>  | <ul style="list-style-type: none"><li><input type="checkbox"/> Approval of changes to requirement defined at the Gateway review Tender Decision.</li><li><input type="checkbox"/> Communications with stakeholders.</li><li><input type="checkbox"/> Steering Committee/Project Board endorsement of:<ul style="list-style-type: none"><li>- Updated business case and benefits plans</li><li>- Evidenced reviews of the solution against the requirement</li><li>- Reconciliation of current Government and organisation objectives with those defined at the Gateway review Tender Decision</li><li>- Plans for modular/incremental implementation, where required.</li></ul></li></ul> |
| <b>1.2 Does the project meet the business need?</b>  | <ul style="list-style-type: none"><li><input type="checkbox"/> Confirmation that the operational service or facility is approved by stakeholders.</li></ul>   |
| <b>1.3 Is the business case still valid?</b>   | <ul style="list-style-type: none"><li><input type="checkbox"/> Updated project plan, business case, and program plan (if appropriate) justifying that the implementation:<ul style="list-style-type: none"><li>- Meets business needs</li><li>- Is likely to deliver value for money</li><li>- Is affordable</li><li>- Is achievable, with implementation broken down into modules/increments where appropriate.</li></ul></li></ul>  |
| <b>1.4 Are there any changes between the award of contract and completion of transition/testing that affect plans for business change?</b> | <ul style="list-style-type: none"><li><input type="checkbox"/> Change management documentation for:<ul style="list-style-type: none"><li>- Impact analysis</li><li>- Products, design or operational changes</li><li>- Justified and approved changes.</li></ul></li><li><input type="checkbox"/> Updated business case and benefit plan for the business change.</li><li><input type="checkbox"/> Updated processes, procedures and activities.</li></ul>  |
| <b>1.5 Is the organisation ready for business change?</b>  | <ul style="list-style-type: none"><li><input type="checkbox"/> Agreed plans for business preparation, transition and operational phases and, where appropriate, readiness of IT infrastructure and/or new facilities.</li><li><input type="checkbox"/> Communications plan.</li><li><input type="checkbox"/> Informed and trained staff.</li><li><input type="checkbox"/> A clearly defined service management function/organisation in place.</li></ul>  |

|  |   |
|--|---|
| <b>1.6 Can the organisation implement the new services and maintain existing services?</b> | <input type="checkbox"/> Resource plan, showing: <ul style="list-style-type: none"> <li>- Capacity and capability</li> <li>- Resources available to meet commitments.</li> </ul>  |
| <b>1.7 Are there resources available with the appropriate skills and experience?</b>       | <input type="checkbox"/> Internal and external commitment to provide the resources required.<br><input type="checkbox"/> Job descriptions for key project staff.<br><input type="checkbox"/> Skills appraisal and plans for addressing any shortfalls.<br><input type="checkbox"/> Appropriate allocation of key project roles between internal staff and consultants or contractors. |

## 2. REVIEW AREA: RISK MANAGEMENT

| Areas to review   | Evidence expected   |
|---|---|
| <b>2.1 Have the risks and issues identified at contract award phase been resolved?</b>                          | <input type="checkbox"/> Risks satisfactorily resolved.   |
| <b>2.2 Are risks and issues associated with the implementation phase being properly identified and managed?</b> | <input type="checkbox"/> Risks identified and appropriately managed.<br><input type="checkbox"/> Risks fully quantified with appropriate risk management plans in place.  |
| <b>2.3 If there are unresolved issues, what are the risks of implementing rather than delaying?</b>             | <input type="checkbox"/> Project risk management strategy in place, developed in line with good practice.<br><input type="checkbox"/> Assessment of all remaining issues and risks, with responsibility for management of residual risks clearly defined.<br><input type="checkbox"/> Evaluation report on risks and impact of cancelling, delaying or proceeding with implementation considering: <ul style="list-style-type: none"> <li>- The project outcome and wider program of change</li> <li>- Benefits realisation</li> <li>- Consequences for supplier, client, business, Stakeholders, users, etc.</li> <li>- The factors such as financial outcome, political issues and delivery.</li> </ul> <input type="checkbox"/> Options and management plans for all scenarios and a recommendation based on sensitivity analysis.<br><input type="checkbox"/> Project's steering committee has ratified the recommendation to delay or proceed with implementation. |



### 3. REVIEW AREA: REVIEW OF CURRENT PHASE

| Areas to review  | Evidence expected   |
|--|---|
| <b>3.1 Does the total service or facility meet the acceptance criteria?</b>  | <input type="checkbox"/> Justification and authorisation of any changes to original specification.<br><input type="checkbox"/> Analysis of 'as built'/products to show how the solution complies with acceptance criteria.  |
| <b>3.2 Is the project under control? Is it running according to plan and budget?</b>   | <input type="checkbox"/> Reconciliations of cost with budget and actual schedule with planned schedule.<br><input type="checkbox"/> Updated risk register and issue log.<br><input type="checkbox"/> Status reports for communication and external relations activities.<br><input type="checkbox"/> Reports on environmental performance, where applicable.<br><input type="checkbox"/> Compliance with statutory requirements (e.g. health and safety, data protection).<br><input type="checkbox"/> Contractual issues resolved and recorded.  |
| <b>3.3 Have all the stakeholder issues been resolved?</b>  | <input type="checkbox"/> Progress reports completed and circulated as part of the communication plan for stakeholder information.   |
| <b>3.4 Have all new system/service/ business process testing and commissioning/acceptance (or transition) procedures been completed?</b> | <input type="checkbox"/> Commissioning/test plans, results and analysis of products against acceptance criteria.<br><input type="checkbox"/> Commissioning/test results that conform to the predefined criteria.<br><input type="checkbox"/> Ratified test reports and logs.<br><input type="checkbox"/> Commissioning/testing team with relevant skills and experience.<br><input type="checkbox"/> Confirmed 'end-to-end' testing, including changed or new business processes.<br><input type="checkbox"/> Testing takes into account future modules or deliverables.<br><input type="checkbox"/> Missing or incomplete items and agreed corrective action documented. |
| <b>3.5 Have all parties accepted the commissioning/test results and any action plans required?</b>                                       | <input type="checkbox"/> Plans and procedures by supplier and client.   |



- 3.6 Are there workable and tested business contingency, continuity and/or reversion plans for rollout, implementation and operation?**
- Fully documented and timetabled decision paths for key aspects (e.g. go/no-go decisions on rollout) with decision makers clearly identified and informed.
  - Where appropriate, plans should cover IT components as well as the business.
  - Endorsement by Steering Committee/Project Board and supplier.
  - Listed roles and responsibilities, resources allocated and staff trained.
  - Commissioning/testing reflected expected scenario(s).
  - Plans for transition to new ways of working.
  - Plans for handover to facilities management.
  - Training plans and relevant supporting material, if required.
  - If appropriate, plans for a user support helpdesk.
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- 3.7 Have the supplier and all internal and external parties agreed these plans? These could include:**  
- Management of change  
- Migration and data transfer  
- Client/supplier implementation  
- Rollout
- All required plans in the contract.
  - All parties, or their representatives, are aware of and have agreed to their responsibilities.
  - Where relevant, partnering agreement is in place or has been planned.
  - Shared understanding of the change control process.
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- 3.8 Have any changes to the contract been previously forecast, accurately recorded and approved?**
- 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.
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- 3.9 Is the organisation ready to manage the contract in the operational environment?**
- The current degree of involvement of the future operational contract management team.
  - The handover arrangements regarding knowledge and learning between provision of assets 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 present, how these will be dealt with.

## 4. REVIEW AREA: REVIEW OF NEXT PHASE: BENEFITS EVALUATION

| Areas to review  | Evidence expected   |
|--|---|
| <b>4.1 Are all project elements ready for service?</b>       | <ul style="list-style-type: none"><li><input type="checkbox"/> Updated schedules.</li><li><input type="checkbox"/> Health and safety file.</li><li><input type="checkbox"/> Handover certificates.</li><li><input type="checkbox"/> Test and commissioning data.</li><li><input type="checkbox"/> Plans for transition are in place.</li><li><input type="checkbox"/> Plans for 'operate contract'/service phase available.</li><li><input type="checkbox"/> Contingency plan in place, if required.</li><li><input type="checkbox"/> Technical documentation available, including:<ul style="list-style-type: none"><li>- Delivered drawings</li><li>- Operating manuals</li><li>- Instructions</li><li>- Information assurance documentation.</li></ul></li></ul> |
| <b>4.2 Is ownership after handover clearly understood?</b>   | <ul style="list-style-type: none"><li><input type="checkbox"/> SRO has identified the business owner for the operational service.</li><li><input type="checkbox"/> SRO has identified and agreed the critical success factors with the business owner.</li><li><input type="checkbox"/> Handover responsibilities and arrangements documented and agreed by both parties.</li></ul>   |
| <b>4.3 Is the client ready to adopt new ways of working?</b> | <ul style="list-style-type: none"><li><input type="checkbox"/> New business processes have been thoroughly worked out, tested and are ready to go live.</li><li><input type="checkbox"/> Information and support are available.</li><li><input type="checkbox"/> Where applicable, members of the public as end-users are aware of the new service and can find out more if they want.</li></ul>  |

**4.4 Is the long-term contract management process in place?**

- 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 and are familiar with the contract aims and purpose.
- Plans for managing service delivery, changes to the contract and relationship with supplier.

**4.5 Is there a process to manage and measure performance?**

- 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.

**4.6 Is there a process to manage and measure benefits?**

- Benefits management plans in place, linked to program outcomes.
- Means of measuring benefits agreed with service provider/partners.
- For collaborative projects, all parties understand and agree their responsibilities and arrangements for benefits realisation.

**4.7 Have ongoing operation and maintenance been considered in detail?**

- Issues and ongoing costs relating to maintenance monitored against expectations are addressed.

**4.8 Is there a process for ongoing post-implementation reviews?**

- Plan for post-implementation reviews endorsed by supplier and internal/external parties.

## PROJECT DOCUMENTS

Examples of evidence expected for each area should be available before the review starts.

The following is a range of information that would typically be required by the review team:

- **Requirements** An updated requirements definition with any changes agreed during the period up to the Gateway review *'Readiness for Service'*.
- **Business case** Updated business case and plans for benefits realisation that reflect the effect of any requirements changes, and the plans for service delivery.
- **Reports** Close-out (if the project ends at implementation) and 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 management
  - The updated contract
  - Test plan and test reports
  - Progress reports on development and construction
  - Updated risk register and issues log, including residual risks
  - Outline project plans through to completion and details plan for the next stage
  - The plan for management of change, including expected changes to requirements over time
  - Details of any facilities not provided to the required specification and any missing or deficient items, with agreed plans for addressing any outstanding issues
  - Benefits management plan.



