Assurance Plan

Project: < Insert project name here>

Agency: < Insert Department/Agency name here>

Assurance Level # <Insert Assurance Level of the Project name here>

Date: <Insert Date>

Version: <Insert Document version number>

# Document Details

**Contact for enquiries and proposed changes**

If you have any questions regarding this document please contact:

Name: <insert name, title>

Email: <insert email address>

Telephone: <insert phone number>

**Document version control**

|  |  |  |  |
| --- | --- | --- | --- |
| Date | Version | Author | Description of change |
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**Reviewer list**

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**Related documents**

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# Approvals/Endorsements

The following Accountable Officer has **approved** this document

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| Date | Name | Signature |
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**Endorsement**

The following officers **endorse** this document

|  |  |  |  |
| --- | --- | --- | --- |
| Position | Name | Signature | Date |
| Project Executive |  |  |  |
| Senior User |  |  |  |
| Senior Supplier |  |  |  |
| Project Manager |  |  |  |
| Financial authority to spend as outlined in this plan |  |  |  |

**Office of Assurance and Investment (OAI) endorsement**

|  |  |
| --- | --- |
| Endorsed by | Date |
|  |  |

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# Purpose

Assurance activities provide transparency and confidence that an investment continues to be strategically aligned, affordable and on track to achieve the desired benefits.

The assurance plan will outline what assurance activities will be undertaken, when it is timed to occur, considers who will be undertaking the assurance, and what the budget will need to be. Assurance for an initiative should be planned to reflect:

* the initiative assurance profile level
* the baselined schedule, critical path and timing of key decision points
* the initiative risks (threats and opportunities).

At key decision points throughout the life of the initiative, the assurance plan will:

* be updated to reflect the outcomes of completed assurance activities
* detail refreshed planned assurance activities required to meet current circumstances and governance expectations.

# Assurance budget

The following budget has been allocated to Assurance activities for the project and the expenditure has been approved by an officer with the appropriate level of financial authority to spend.

|  |  |
| --- | --- |
| Assurance Budget (excluding GST) | $ |
| Assurance costs/spend to date | $ |
| Cost of remaining Assurance activities | $ |

# Whole of Government focus areas

These focus areas will be reviewed at each OAI touchpoint.

### **Workforce Profile**

Breakdown of public servants, contractors, professional service etc. If there is a heavy non-FTE composition to the initiative resource profile, the Public Service Commission and the QGCDG are keen to see a strategy for how to reduce contractor and professional services reliance and, if possible and suitable, to use Public Servants for initiative delivery.

|  |  |  |
| --- | --- | --- |
| **Source** | **Percentage of total initiative workforce (%)** | **Description** |
| Public ServantsPlease insert response in Description column and % in the Percentage of total Workforce (%) column |  | * *E.g 1 x AO8 Project Manager (to be recruited or already recruited)*
 |
| Contractors |  | * *E.g 1 x Platform Specialist (to be recruited or already recruited*
 |
| Professional Services |  |  |

### **Common and Collaborative Profile**

Confirm that “Reuse” had been considered before buy or before building the capability. Confirm that this capability did not exist across government already and follow the “Share before Buy before Build” principle of the Queensland Government Enterprise Architecture (QGEA).

|  |  |  |
| --- | --- | --- |
|  | Y/N  | Details of analysis and investigation |
| Has reuse been considered before buy, before build? |  |  |
| Does capability exist within government? |  |  |
| Can this initiative develop capability for reuse across Government? |  |  |

### **Contract Review**

If a contract/s for the same capability/functionality already exists within government, confirm that the contract/s has been assessed for suitability prior to establishing a new one. If the initiative wishes to negotiate and execute a new contract, provide reasons why any existing contract/s is unsuitable. If the initiative intends establishing a new contract/s, ensure that it is made available for broad reuse across government.

|  |  |  |
| --- | --- | --- |
|  | Y/N | Details of analysis and investigation |
| Are there existing contract arrangements that could be utilized? |  |  |
| If a new contract needs to be formed, will the new contract be broad and re-useable for all government agencies? |  |  |

### **BAU funding**

Confirm the ongoing “post go-live” operational funding has been considered and secured prior to contract execution.

|  |  |
| --- | --- |
|  | Additional commentary |
| What is the proposed funding source? |  |
| What is the annual estimated total cost of operation (AETCO)? |  |
| What is the difference between current AETCO and new AETCO for this solution? |  |
| Is there sufficient operational budget allocation for new AETCO? |  |
| Is decommissioning of previous solution included in initiative costs? |  |

# Office of Assurance and Investment touchpoints

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| Assurance Activity | Details | Date | Outcome | Conditions/Recommendations |
| Registration Form  | The Department has registered the initiative with OAI.  |  |  |  |
| Concept Review | Concept reviews are performed by OAI after Project Start-up to determine if resources should be committed to make a full business case for the initiative.Traditionally a Concept Review occurs around the same time as an initial Gate 0 (for Programs) or a Gate 1 (for Projects) |  |  |  |
| Investment Decision Review | Investment Decision reviews are performed by OAI and are undertaken before the project makes any commitments to vendors (e.g. signing contracts).Traditionally an Investment Decision Review occurs around the same time as a mid-stage Gate 0 (for Programs) or a Gate 3 (for Projects) |  |  |  |
| Additional Review | A targeted review that focuses on any issue/s that have arisen in the project, where the expected deliverables are at risk of not meeting acceptance or quality criteria, with a clear focus on the successfully delivery of customer value. |  |  |  |

### Gated Assurance Review schedule and costings

Gated Assurance reviews employ a small team of independent experts to examine programs or projects at key decision points. The review will help identify opportunities to improve delivery to ensure the best possible outcome. Further guidance provided in the Program and Project Assurance [Policy](https://www.qgcio.qld.gov.au/documents/program-and-project-assurance-policy) and [Framework](https://www.qgcio.qld.gov.au/documents/program-and-project-assurance-framework).

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| Assurance Gate | Focus | Date Planned | Budgeted Cost | Date Completed | Delivery Confidence (Green, Amber/Green, Amber, Amber/Red, Red) |
| Gate 0Strategic Assessment (for programs) | Occurs for Programs and involves a review of an entire program together with its constituent projects. It investigates the direction and planned outcomes of the program, together with the progress of its constituent projects.  |  | $ |  |  |
| Gate 1Preliminary Evaluation(for projects) | Focuses on the preliminary business case including details on the strategic importance of the project and its links to government and organisational policy and programs. |  |  |  |  |
| Gate 2Business Case(for projects) | Investigates the final business case and procurement strategy before any formal approaches are made to prospective suppliers or partners |  |  |  |  |
| Gate 3Contract award(for projects) | Focuses on the updated final business case and confirms the project is still required, affordable and achievable. |  |  |  |  |
| Gate 4Readiness for Service(for projects) | Focuses on the readiness of the agency to transition from project delivery to the live environment. |  |  |  |  |
| Gate 5 Benefits Realisation(for projects) | Confirms the desired benefits of the project are being achieved and business changes are operating smoothly.  |  |  |  |  |

# Other assurance reviews

The table below contains examples of the types of assurance reviews that could occur during the life of a program or project.

| Assurance activity | Focus | Date Planned | Budgeted Cost | Date Completed |
| --- | --- | --- | --- | --- |
| Health Check | Objective assessment of how well the project is performing relative to its objectives.Confirms project is being effectively managed in accordance with the department's 3P methodology.Occurs at a 6-month mark if there has been no other independent review. Can occur where the project is reporting Amber or higher RAG status for three consecutive months. |  |  |  |
| Enterprise Architecture Assessment | This process assesses the suggested architecture’s alignment to the department’s/entity’s enterprise architecture.This type of review should be planned for all digital initiatives and should be completed independently of the project where possible. |  |  |  |
| Service architecture review | This process targets the end-to-end service and how it fits holistically into the agency. Refer to the [Digital Services Policy](https://www.forgov.qld.gov.au/information-and-communication-technology/qgea-policies-standards-and-guidelines/digital-services-policy). The [Digital Services Assessment Framework](https://www.forgov.qld.gov.au/information-and-communication-technology/qgea-policies-standards-and-guidelines/digital-services-assessment-framework) provides departments with guidance for assessing and demonstrating compliance.This type of review should be planned for all digital initiatives and should be completed independently of the project where possible. |  |  |  |
| Output assurance | Checks the implementation and quality criteria, for each end user output, has been met.This type of review should be planned for all digital initiatives.  |  |  |  |
| Information security | Ensure the system design and implementation meets both Information security policy (IS18:2018) and agency requirements.This type of review should be planned for all digital initiatives. |  |  |  |
| Information privacy | Ensure the system design and implementation meets Information Privacy Act 2009 (Qld) (IP Act) obligations.This type of review should be planned for all digital initiatives. |  |  |  |