Gateway Review Process
SRO & PM Briefing Note

Government of South Australia

Department of Planning,
Transport and Infrastructure

Contents

Introduction

This document provides the Senior Responsible Owner (SRO), and Project Manager or equivalent (PM) with key information about their roles and actions required for a successful Gateway Review to be undertaken.

It also highlights areas where assistance from the Portfolio, Program and Project Management Office (3PMO) is provided in order to ensure a successful review.

Gateway Reviews engage a team of experienced people, independent of the project team to review a major project prior to key decision points, and provide a Review Report to the SRO. The Review Report will form part of the continuing development and refinement of asset investment and benefits realisation across the department as well as improvement of the Gateway Review Process.

Costs associated with Gateway Reviews are met by the project budget.

The Review team will meet with the project team and other key stakeholders in order to inform the Review Report. The Review Report is not intended for release to other parties other than the SRO and the Gateway Coordinator.

Instigating a Gateway Review

Gateway Reviews are conducted prior to key decision points in all Category 1 HVHR projects.

Suggested Gateway Review dates should be entered into the PMO tool by the Project Manager and reviewed on a monthly basis and amended where necessary. As key dates approach, the project managers are required to submit a "Gateway Initiation Form" to the 3PMO in order to schedule Gateway Reviews in consultation with the SRO and the project team.

Due to the organisation required to appoint a suitably experienced Review Team and conduct a Gateway Review, Project Managers should make contact with the Gateway Coordinator at least eight weeks prior to the Gateway Review being required.

Role of the SRO in a Gateway Review

As the SRO is the person accountable for the successful outcome of the project, the Review Team will regard the SRO as the client. The SRO is expected to commission and support the Gateway Review and ensure that all necessary information is made available to the Review Team.

The Review Team Leader (RTL) will present the SRO with a Draft Report at the conclusion of the Review. After seven days to consider any minor edits, the final report is provided to the SRO and the Gateway Review is then complete. It is expected that the SRO will take ownership of the recommendations in the report and ensure that appropriate actions are taken to address the recommendations in the advised time-frame.

Any individual recommendations will need to be addressed by the SRO and presented to the project board (or equivalent) in the form of a Recommendation Action Plan with an indication and allocation of actions to be taken to address the identified issues. A sample Recommendation Action Plan is available on the 3PMO website with other Gateway Review documentation.

Responsibilities of the SRO on the Planning Day

- meet and greet with the Review Team;

- attending the presentation given by the PM to the Review Team at the beginning of the Planning Day; and

- availability to meet with the Review Team as required during the Planning Day.

Responsibilities of the SRO during the Gateway Review

- availability for a one hour discussion with the Review Team on the first day of the Gateway Review;

- availability for half an hour at the end of each day to debrief and discuss preliminary findings with the Review Team. The SRO can provide clarification but will not influence the Review Team;

- availability for a one hour discussion at the conclusion of the Gateway Review for presentation of the Draft Report (the project manager may be invited to attend the handover at the discretion of the SRO); and

- provide the Review Team Leader with any corrections to fact or data within seven days of receipt of the Draft Report.

Role of the PM in a Gateway Review

The Gateway Coordinator is a member of the 3PMO who will undertake much of the organisation of the Review. The PM is the person responsible for the day to day progress of the project. The PM will work with the Gateway Coordinator as the primary interface between the Review Team and the Project team throughout the Review.

The PM will work with the Gateway Coordinator and the Review Team Leader (RTL) to ensure key documents are available before the Planning Day as well as during the Gateway Review.

Responsibilities of the PM on the Planning Day

- prior to the Planning Day, providing pre-reading to the Review Team (via the Gateway Coordinator) in order that they can gain an early understanding of the project;
- providing a presentation (approximately 30 mins) on the project at the beginning of the Planning Day;
- providing a list of documentation and stakeholders relevant to the Gateway Review to the Gateway Coordinator for distribution to the Review Team; and
- setting aside another 30 minutes for a general discussion with the Review Team at the end of the Planning Day;

Responsibilities of the PM during Gateway Review

- prior to the Gateway Review, providing the Gateway Coordinator with documentation required by the Review Team;
- prior to the Gateway Review, providing the Gateway Coordinator with names and contact details for stakeholders to meet with the Review Team.
- ensuring buy-in and compliance by those invited to meet with the Review Team, particularly external stakeholders associated with the project or program;
- attending the second hour on the morning of the first day of the Gateway Review; and
- availability as required by the Review Team Leader during the duration of the Gateway Review.

Role of the Gateway Coordinator in a Gateway Review

The Gateway Coordinator is a member of the 3PMO who will be the instigator and administrator of the Gateway Review.

The Gateway Coordinator will work with the SRO and PM in completing a matrix to determine the key skills required of the Review Team. The Gateway Coordinator will be responsible for making recommendations to the Director 3PMO on appointment of the Review Team Leader and Review Team. Once approved, the Gateway Coordinator will make appropriate arrangements for travel, accommodation and other logistics for the Review Team.

Responsibilities of the Gateway Coordinator on the Planning Day

- booking an appropriate meeting room;
- providing refreshments for the Review Team; and
- ensuring the SRO and PM are available to attend the Planning Day as required.

Responsibilities of the Gateway Coordinator during the Gateway Review

- prior to the Review, scheduling appointments with appropriate stakeholders to meet with the Review Team;
- prior to the Review, providing the Review Team with copies of documentation required to undertake the Gateway Review;
- booking an appropriate meeting room for the duration of the Gateway Review;
- providing refreshments for the Review Team;
- ensuring laptop, projector, stationery and other requisites are available for the Review Team; and
- ensuring that the SRO and PM are available for separate discussions (about an hour) during the first day of the Gateway Review.

The Gateway Report

The Review Team will present a draft report to the SRO on the final day of the Review with the Report to be finalised within seven days of the last day of the Review. At the presentation of the Report, the SRO and PM may correct any matters of fact, however the delivery status is not negotiable.

The report will include:

- the project name;

- a conclusion with the red/amber/green status of the overall project;

- a status for the key themes of the review;

- a list of individual red recommendations which the SRO and PM can use to develop their Recommendations Action Plan;

- a summary of findings including related recommendations and their individual RAG status

- a note of those who participated in the Gateway Review and their roles; and

- a list of documents provided as part of the Review.

The overall status is not a "Stop / Go" sign through to the next phase, nor is it a sign of a good or bad project. It is an indication of the **urgency** and **criticality** for which remedial action is required on a project to achieve success.

The Review Report Status

The program or project will be provided with an overall delivery confidence assessment using the following rating criteria:

Green	Successful delivery of the project to time cost and quality appears highly likely. There are no major outstanding issues that at this stage appear to threaten delivery.
Amber / Green	Successful delivery appears probable. However, constant attention will be needed to ensure risks do not develop into major issues threatening delivery.
Amber	Successful delivery appears feasible but significant issues exist requiring management attention. These appear resolvable at this stage and if addressed without delay should not impact delivery or benefits realisation.
Amber / Red	Successful delivery of the project is in doubt with major risks or issues apparent in a number of key areas. Prompt action is needed to address these and to determine whether resolution is feasible.
Red	Successful delivery of the project appears unachievable. There are major issues on definition, budget, schedule, quality or benefits delivery which do not appear to be manageable or resolvable. The project may need to be re-baselined or its overall viability reassessed

Individual Recommendations will also be made within the Gateway Review Report, that are critical for highlighting strategies required to address potential issues, and for establishing the priority of key actions to be taken. The Gateway Review Team provides recommendations that are prioritised in terms of urgency using the following categories:

Green	The project would benefit from the uptake of this recommendation. If possible, link recommendations to project milestones and/or a specified timeframe.
Amber	To increase the likelihood of a successful outcome, it is important that the project take action in the near future. Whenever possible, link essential recommendations to project milestones (e.g. before contract signature) and/or a specified timeframe (e.g. within the next three months).
Red	To increase the likelihood of a successful outcome, it is of greatest importance that the project take action immediately.

Post Gateway Review Actions

The SRO and Project Manager will use the information contained in the Gateway Review Report to produce a Recommendation Action Plan within two weeks of its finalisation.

The Recommendation Action Plan will incorporate all individual recommendations included in the report regardless of the overall delivery confidence rating. Actions required are noted for each recommendation, assigned to a person and given a due date for completion. It is at the SRO's discretion as to whether the report is circulated more broadly to the Project Team.

The SRO will then send a Minute to the relevant Chief Officer, noting the high level findings of the Gateway Review, including a copy of the Recommendation Action Plan and advise when the actions will be presented to the relevant project Steering / Governance committee (e.g. Category 1 HVHR Steering Committee or Project Review Panel).

Role of 3PMO post Gateway Review

Post Gateway Review, the 3PMO will guide the development of the Recommendation Action Plan. It will also collect generic information for analysis in a Lessons Learnt register to ensure continual improvement in project delivery.

Summary of Post Gateway Review Actions

- Provide Feedback on draft Report (within 7 days)

- Final Report submitted (within 7 days)

- SRO/PM to develop a Recommendation Action Plan (within 14 days)

- Minute to be prepared by the SRO to the relevant Chief Officer noting contents and actions of the Recommendation Action Plan.

- Presentation of Recommendation Action Plan to the project's Governing Body.

Confidentiality and Disclosure

The Gateway Review Process is a partnership between the SRO and the Review Team to increase the project's chances of success and as such the report produced by the Review Team is confidential to the SRO.

Only two copies of the Review Report are made: one for the SRO to action, and the other for the Gateway Coordinator to extract de-identified lessons learnt. A Review Team that is open and honest with the project team is key to the success of the Gateway Review and the same courtesy should be expected in return.

The Review Team will dispose of the Review Report and any supporting documents immediately after the final feedback session. The Review Team Leader will keep a copy of the draft report, incorporating any changes requested by the SRO and submit the final report no later than seven days after the final feedback session. Once submitted, the Review Team Leader will then destroy all copies / versions of the Review Report.

Feedback on the Review

The Gateway Coordinator will facilitate surveys at the completion of each Gateway Review. The SRO, PM, stakeholders associated with the Gateway Review will all be provided with an opportunity to provide feedback. This feedback is an important way of ensuring that best practice is maintained and that the 3PMO can learn from the experiences of the Gateway Reviews.

Similarly, the Review Team Leader and Review Team will be provided with a survey in order to gain valuable feedback on the maturity of the department in preparing for and undertaking Gateway Reviews.

Acronyms Used

The following acronyms are used in this and other Gateway documentation:

HVHR High Value / High Risk

PM   Project Manager

RAG   Red, Amber, Green ranking

RTL   Review Team Leader

RTM   Review Team Member

SRO   Senior Responsible Owner

3PMO Portfolio, Program and Project Management Office