Gateway Review Process
RTL & RTM Briefing Note

Contents

Introduction

This document provides the Review Team Leader (RTL) and Review Team Members (RTM) with key information about their roles and responsibilities in conducting a Gateway Review, and actions required for a successful Gateway Review to be undertaken.

The Department of Planning, Transport and Infrastructure (the department) has mandated the use of the Gateway Review process for all Category 1 High Value High Risk projects, and other categories of projects at the discretion of the Senior Responsible Officer.

The department's Project Office (within the 3PMO) is responsible for the Gateway Review process, and will appoint a Gateway Coordinator to oversee organisation and administration of Gateway Reviews. The Gateway Coordinator will be the main point of contact for the Review Team Leader and Review Team Members and can be contacted via email at DPTI.ProjectGateway@sa.gov.au .

Role of the RTL in a Gateway Review

The RTL acts as the owner of the Gateway Review process throughout the planning meeting and the Gateway Review itself, managing the Review Team through to the successful delivery of the final report to the Senior Responsible Owner (SRO).

The SRO will consider the RTL as the person tasked with overall responsibility for implementing the Gateway Review.

Responsibilities

The RTL is expected to:

- complete and return to the Gateway Coordinator the required engagement documentation, which contains confidentiality and conflict of interest clauses;

- maintain overall control of the Gateway Review;

- ensure open and honest interaction with the SRO and the project team and stakeholders;

- provide feedback to the SRO via an informal discussion at the end of each day of the Review to summarise any emerging findings;

- utilise the template provided by the Gateway Coordinator in preparation of the Gateway Report;

- make recommendations that are evidence based and are consistent with the Review Team's findings;

- ensure that recommendations are clear and robust in line with Appendix A;

- ensure that the report presented is clear and concise;

- arrive at a consensus with the rest of the Review Team on an overall assessment of the project's status in line with Appendix A;

- work with the Review Team to assess the impact of any actions resulting from the recommendations of previous Gateway Reviews;

- develop a rapport with a number of people including the Review Team Members, the SRO, the project manager and the Gateway Coordinator;

- complete a feedback survey at the conclusion of the review in order to ensure that good practice is maintained and that the department can learn from the RTL's experiences; and

- ensure that the Review Team disposes of all supporting documents and any personal notes prior to leaving the review venue on the final day.

Role of the RTM in a Gateway Review

Review Team Members (RTM) are selected based on their background, experience and subject expertise. They are an essential part of the Gateway Review Team and will bring different skills and experiences to the group. In combination the Review Team will enable all facets of the Review to be covered effectively.

Responsibilities

The RTM is expected to:

- complete and return to the Gateway Coordinator the required engagement documentation, which contains confidentiality and conflict of interest clauses;

- work with the RTL and other members of the Review Team to assess the project by meeting with key stakeholders and evaluating evidence presented;

- ensure open and honest interaction with the SRO and the project team;

- contribute to informal discussions at the end of each day of the Review with the SRO to summarise emerging issues;

- contribute to clear and robust recommendations;

- ensure that the report presented by the Review Team is clear and concise;

- arrive at a consensus with the rest of the Review Team on an overall assessment of the project's status;

- work with the RTL to assess the impact of any actions resulting from the recommendations of previous Gateway Reviews; and

- complete a feedback survey at the conclusion of the review in order to ensure that good practice is maintained and that the department can learn from the RTM's experiences.

Role of the Gateway Coordinator in a Gateway Review

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

The Gateway Coordinator will work with the SRO and project staff to prepare a list of documentation to be reviewed and a list of key stakeholders prior to the planning day. The Gateway Coordinator will also be responsible for other logistics such as room bookings, equipment, access cards for the Review Team, catering, and arranging for reimbursement to the Review Team.

Responsibilities of the Gateway Coordinator on the Planning Day

- prior to the Planning Day, providing the Review Team with a copy of recommended documents for consideration and list of key stakeholders;
- booking an appropriate meeting room;
- booking teleconferencing facilities if required;
- providing refreshments for the Review Team; and
- ensuring the SRO and project manager are available to attend.

The Gateway Coordinator will attend the Planning Day and will attend to actions 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;
- ensuring that the SRO and project manager are available for separate discussions (about an hour) during the first day of the Gateway Review; and
- availability (or ensuring someone is available) to assist the Review Team with ad hoc requests as required.

The Planning Day

The Planning Day is an essential part of the Gateway Review process as it is often the first time members of the Review Team will have worked together. It provides a forum for the team to discuss how best to work together, establishing the Code of Conduct that is applicable to the Review Team and the project team.

The Planning Day will allow the Review Team to familiarise themselves with the project and identify the key potential issues that should be reviewed, including documentation that should be provided and stakeholders that they will meet.

The RTL is expected to chair the Planning Day. The Gateway Coordinator will also attend the Planning Day in order to facilitate and assist where necessary.

The Gateway Coordinator will arrange the sequence of the Planning Day with the RTL in consultation with the SRO.

Code of Conduct

The Code of Conduct is the standard by which each Review Team should work together by encouraging the Review Team and the project team to adopt uniform working practices and standard.

Lead by the RTL, each Review Team should become familiar with the Code of Conduct below and can also add their own examples to the list:

- Open and honest contributions
- Valuing diversity / difference
- Maintaining confidentiality
- Non-attributable comments
- Robust management of time
- Valuing best practice as well as identifying areas for improvement
- Independence and objectivity
- Team work

These align with the department's core values of:

- Collaboration
- Honesty
- Excellence
- Enjoyment
- Respect

The Gateway Report

The Gateway Coordinator will provide the RTL with a report template for completion during the Review. The report template is designed to ensure a consistent approach and style to all Gateway Reviews conducted on departmental projects.

Throughout the Gateway Review, it is expected that a partnering style will be adopted between the Review Team, the SRO, the project team and key stakeholders. The key message to all parties is that the Review is not an audit, but an assurance process designed to help projects succeed.

The Review Team will met with the SRO at agreed points during the Review to discuss emerging findings. This will assist in maintaining the principle of 'no surprises' when the RTL presents the draft 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 may correct matters of fact, however the status of individual recommendations or overall delivery confidence rating is not negotiable.

The Review Team will work together to draft the report. The report will include and overall delivery confidence rating of the project and a summary of findings and related recommendations along with a RAG status for each; as outlined below. It will also include a list of interviewees and their roles and a list of documents reviewed.

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.

Overall Delivery Confidence Assessment:

The Review Team will utilise the following in order to provide an overall delivery confidence of the project as assessed.

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.

Rating of Individual Recommendations

The Review Team will also provide 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.

Documentation

All documentation relating to the Gateway Review will be held via SecureFile by Accellion. This is a web based interface that allows the ability to share files and collaborate with others while keeping the files secure offers a secure, up to date and organised.

Once a Gateway Review is scheduled, the Gateway Coordinator will create a workspace in SecureFile and will invite the Review Team to that workspace. The Review Team will receive an email containing a link to the workspace (as per Figure 1). Users new to SecureFile will be provided with a temporary password in the same email.
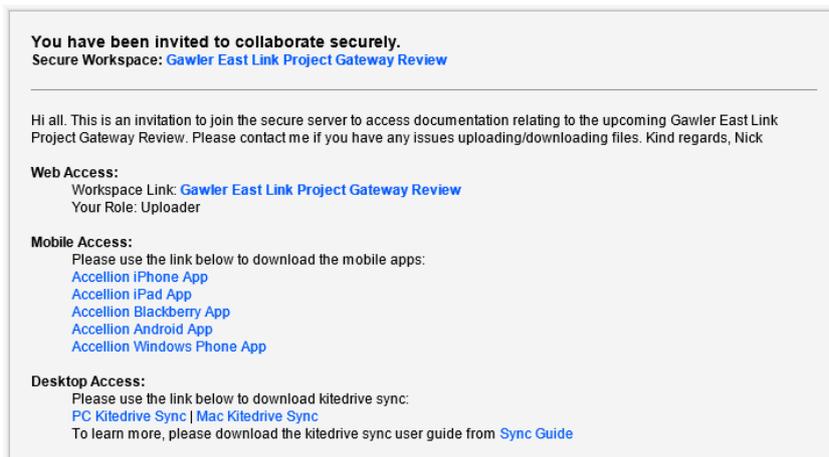

Figure 1: Example of content of invitation email

To access the workspace, Review Team members should click in the hyperlink contained in the email. New users will be prompted to update their temporary password at this time.

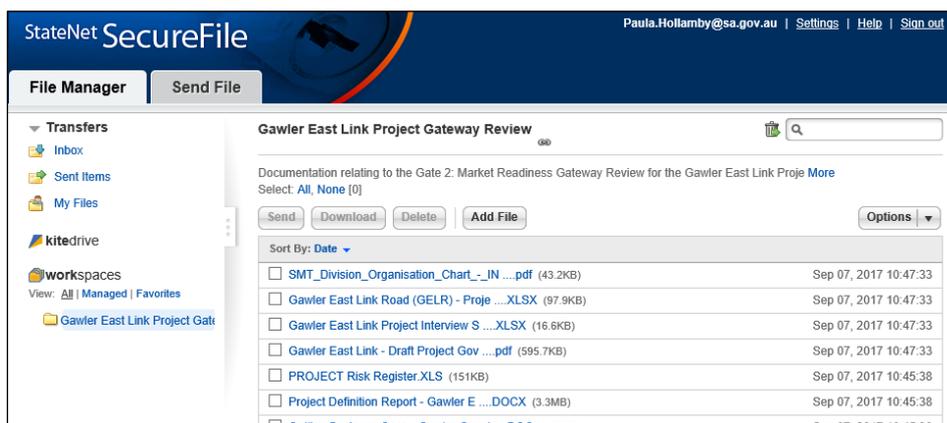From the File Manager tab, scroll down the menu to Workspaces to download or view the project documentation.

Figure 2: Example of folders and documentation in SecureFile

While SecureFile has a range of enhancements such as mobile apps available, the Review Team is not required to download any software in order to access the documentation.

Using a file share arrangement ensures that Review Team members are provided with documentation in a timely manner. It also ensures flexibility of delivery location and reduced time for postage / courier fees. It also assists with confidentiality of documentation provided and minimises the risk of lost mail.

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 RTL 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 RTL 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. These surveys provide information in order to assist with development of and maintenance of best practice as well as assisting the 3PMO learn from individual experiences. The SRO and key stakeholders are also asked to complete a survey on the overall Gateway Review process including the performance of the Review Team.

For further information, please contact the DPTI.ProjectGateway@sa.gov.au