Gateway Review
Guidebook and
Process Overview

Contents

What is a Gateway Review?

A Gateway Review is a short, independent review of a program or project undertaken at key decision points in the program or project's lifecycle. Gateway Reviews provide the Senior Responsible Owner (SRO) with timely and independent views on the current progress of the program or project and assurance that it can proceed successfully to the next stage.

The department has mandated the use of the Gateway Review Process for all programs and Category 1 HVHR projects. Other categories of projects will also adopt the Gateway Review process in accordance with indicative level of risk, complexity, criticality and delivery. This will be determined by 3PMO in consultation with the SRO.

The Gateway Review process supports delivery of a wide range of programs and projects and is coordinated through the 3PMO.

Reviews are undertaken to identify opportunities to improve program or project delivery to ensure the best possible outcome. The benefits lie in the Review Team bringing a fresh, independent perspective to identify risks and issues facing the program or project, thereby avoiding unnecessary costs or delays.

The output of a Gateway Review is a Report to the SRO of a project, outlining recommendations on the current progress of the project and assurance that it can successfully proceed. It highlights any unforeseen risks and opportunities. A Gateway Review is not an audit, and a Review Team has no decision making authority.

Gateway Review Process

The Gateway Review process defines programs and projects by six distinct delivery phases which cover the lifecycle of a program or project. The end of each delivery phase is formalised through a Gateway Review.

A summary of each of these phases and gates can be seen below:

Gateway Review Process

0 — Initialisation Phase

The Gate 0: Strategic Assessment review investigates the direction and planned outcomes of a program, policy initiative, or organisational change investment against the wider departmental or whole of government goals or needs.

This review can be applied to any type of proposed investment to confirm:

- merit is sound and evidence based;
- strategic options sufficiently explored; and
- the way forward is achievable.

Key Elements:
- Strategic Plans
- Investment Concept & Logic Map
- Program Brief or Business Case
- Program Plans
- Resource Estimates

GATE 0 – Strategic Assessment

1 — Proving Phase

The Gate 1: Funding Readiness review investigates the preliminary business case and proposed way forward to confirm the business is aligned on outcomes and deliverables, ensuring the project is justified prior to funding.

Key Elements:
- Business Case
- Governance Structure
- Business Requirements
- Risk Assessment

GATE 1 – Funding Readiness

2 — Pre Delivery Phase

The Gate 2: Market Readiness review investigates a project's viability, potential for success, value-for-money to be achieved, and the proposed approach for achieving delivery of its objectives prior to approaching the market.

Key Elements:
- Final Business Case
- Funding, Costs and Budget
- Procurement Approach
- Project Plans

GATE 2 – Market Readiness

3 — Procurement Phase

The Gate 3: Investment Decision review confirms the suitability of the recommended investment decision prior to contract award, and ensures the business is prepared and appropriately resourced for delivery.

Key Elements:
- Tender Documentation
- Project Resourcing
- Risk Register
- Project Program

GATE 3 – Investment Decision

4 — Delivery Phase

The Gate 4: Service Readiness review ensures the businesses readiness to take the transition from the solution to implementation and confirms ownership of the project is clearly identified after handover.

Key Elements:
- Benefits Realisation Plan
- Operational/Maintenance Manuals
- Operational Budgets

GATE 4 – Service Readiness

5 — Realisation Phase

The Gate 5: Benefits Realisation review confirms that the benefits set out in the business case are being achieved and that the operational service (or facility) is running as intended. A first Gate 5 review is typically 12 months after project handover. The review aligns with the project close out report and finalises Lessons Learnt.

Key Elements:
- Post Implementation Review
- Performance Reports
- Customer Surveys
- Project Close Out Report

GATE 5 – Benefits Realisation

Further information about the Gateway Review process
web: cms.dpti.sa.gov.au/portfolio_management_office/gateway
email: DPTI.ProjectGateway@sa.gov.au

Government of South Australia
Department of Planning, Transport and Infrastructure

Gate 0: Strategic Assessment focuses on both programs and projects. Further project reviews are carried out under Gates 1 – 5. Typically, a project will undergo all of these reviews during its lifecycle – four before commitment to invest and two looking at service implementation and confirmation of the operational benefits. Project reviews can be repeated as necessary depending the size, scope and complexity of the project.

History of the Gateway Review Process

The Gateway Review process was developed in the UK by the Office of Government and Commerce (OGC) and implemented in 2001 with the purpose of building stronger and more effective management of complex ICT and Infrastructure projects and more consistent and cost effective delivery of intended benefits. It is applied to all High Value High Risk projects as well as many medium risk projects.

In 2003 Victoria was the first Australian jurisdiction to implement Gateway with the Australian, New Zealand, Queensland, NSW and West Australian governments subsequently following suit. To the end of the 2016-17 financial year, there have been over 2000 reviews conducted across Australia and NZ on High Value High Risk projects since Gateway was first implemented.

A UK National Audit Office review after the first five years of implementation determined that Gateway was costing in the order of 0.01% of the value of major projects to implement and was returning between 3 and 5% cost savings on those projects. A similar review in Victoria produced similar numbers. A survey of Senior Responsible Owners/Project Sponsors in Victoria found that 92.8% were very satisfied with the value they got from the review process. In New Zealand a review found 100% satisfaction.

Gateway Reviews as part of an Assurance Framework

The Gateway Review is additional and complementary to internal processes such as the project management framework, business planning, risk management, procurement and acquisition and contract management.

The primary focus of a Gateway Review is on coaching and mentoring, not monitoring or audit. Gateway Reviews frequently act as a release point for a project that has a particular issue that has inadequate stakeholder support, or has been on hold in some way.

Program or Project?

A program is about managing change with a strategic vision and a map of how to get there. It should deal with uncertainty about achieving the desired outcomes.

A program approach is flexible and capable of accommodating changing circumstances such as the opportunities or risks. It coordinates delivery of a range of work – including sub-programs and projects needed to achieve outcomes and benefits throughout the life of the program.

Programs are reviewed through a Gate 0: Strategic Assessment and are conducted periodically throughout the life of the program to ensure that it is current, relevant and achieving its objectives.

A project has a defined start and finish date, output, development path and set of financial and other resources allocated to it. Benefits are achieved after the project has been completed.

The Benefits Realisation Plan will define the parameters to measure and assess the benefits achieved by a project, once the project has proceeded through Gate 4: Service Readiness and has entered the Realisation Phase.

About the Gateway Review

A series of workbooks has been prepared to provide guidance on the structure of each Gateway Review, and areas to be targeted within them. The workbooks show examples of the types of evidence the Review Team may require when considering various issues. Many of the topics and examples of evidence should be regarded as indicative and not prescriptive and within the overall objectives of each review stage. Compulsory requirements are clearly noted.

Approaches may vary according to the context of the program or project – for example and IT enabled business change, major infrastructure construction project or policy development / implementation.

Each project is different so each Gateway Review is flexible enough to provide relevant advice on each project in its own merits. The areas of the program or project examined and the evidence provided are generally the most flexible areas of the process, while the timing of the review should be as close to the decision point as practicable, while ensuring that sufficient time is allowed for the implementation of recommendations prior to the decision being made.

Discussions with the 3PMO about the program or project and with the Review Team at the Planning Day are the best way of ensuring the Review Team's advice is focussed on the most relevant and valuable areas of the program or project.

How are Gateway Reviews instigated?

Program or projects may be nominated for a Gateway Review:
- by Senior Responsible Owners or Project Managers as part of the approval process for a program or project;
- by the project advisory board (or equivalent) to provide assurance on the scope and progress of a project;
- following budget / funding announcements or change in strategic directions; or
- at the request of departmental Chiefs or relevant Ministers.

The Gateway Review Initiation Document is completed and returned to DPTI.GatewayReviews@sa.gov.au in order to arrange a Gateway Review.

When are Gateway Reviews conducted?

In order to provide the SRO with meaningful, timely advice, a review should be conducted shortly before a decision point is reached. This allows recommendations to be addressed before it is submitted and ensures the Gateway Review does not occur before the business case is largely complete.

The following table outlines the key decision points that follow each Gateway Review:

Gateway Review	Key Decision Point
Gate 0: Strategic Assessment	Prior to the development of a Business Case
Gate 1: Funding Readiness	Prior to the Business Case being put forward for funding approval
Gate 2: Market Readiness	Prior to submitting an EOI to the market
Gate 3: Investment Decision	After assessment of proposals but prior to contract signature
Gate 4: Service Readiness	Prior to commissioning or handover of operations
Gate 5: Benefits Realisation	6 - 12 months after commissioning or handover

How the Gateway Review works

Timeline of a Gateway Review

While Reviews themselves are short, the lead time to conducting the review is at least 8 weeks. This is in order to ensure that appropriate expertise can be drawn upon when appointing the Review Team, and to allow time for a review of documentation presented.

Predicted Gateway Review dates should be entered into the PMO tool, and reviewed on a monthly basis and amended where necessary. As key dates approach, Project Managers are encouraged contact the 3PMO in order to discuss scheduling a Gateway Review.

Gateway Review Planning

The Gateway Review Initiation document should be completed by the project team, and endorsed by the SRO approximately eight weeks before the Gateway Review. The program or project team and the 3PMO will agree on the dates for the review and the skills and experience required for the Review Team. A Gateway Coordinator, usually from within the 3PMO will be assigned.

The Gateway Coordinator is responsible for organising the reviews, documentation and associated logistics. The Gateway Coordinator will select a Review Team for approval by the Director, 3PMO in consultation with the SRO. Costs associated with Gateway Reviews are met by the project budget.

For more information on the evidence a Review Team may require, please refer to the individual Gateway Review Workbooks.

Roles and responsibilities for conduct of a Gateway Review are contained in the document: Gateway Review Process - SRO and PM Briefing Note available from the 3PMO intranet site.

Gateway Review Planning Day

Planning Days are held two to three weeks before the Gateway Review. They are generally scheduled for three to five hours in order to provide sufficient time for the Review Team to examine the program or project documentation and provide sufficient notice to stakeholders that a discussion will be required.

The Planning Day will establish the exact scope and expectations of the review including any areas of concern and any elements considered not appropriate for the Gateway Review.

The Review Team normally meets for the first time on the morning of the Planning Day to discuss their initial views of the program or project. All Review Team members attend the Planning Day and prepare for it in advance by perusing documentation provided by the PM and forwarded by the Gateway Coordinator.

The SRO / PM will provide the Review Team with a presentation on the status of the program or project. The Review Team will decide on the stakeholders they would like to meet during the Gateway Review and any additional documentation they may require.

A full list of documents to be reviewed will be finalised and will be provided to the Review Team. The Gateway Coordinator will collate and forward this documentation in consultation with the project team.

Following the Planning Day, the Gateway Coordinator will confirm the stakeholders required, produce a schedule, and make appropriate appointments. The Gateway Coordinator will finalise

logistics (venue, site visits, travel) and collect any remaining project documentation required for distribution to the Review Team prior to the Gateway Review.

The Review Team uses the time between the Planning Day and the Gateway Review as reading time to gain a better understanding of the program or project.

The Gateway Review

The Gateway Review is held over a period of three or four days. During this time the Review Team meets with the project team and stakeholders as scheduled.

Discussions are normally held in the CBD, however the Review Team allows for situations such as site visits and/or, meeting with senior stakeholders with time constraints or travel restrictions etc. Video conferencing will be utilised if required.

The Review Team will meet with the SRO on the first morning of the review. At the end of each day, the Review Team updates the SRO on its progress.

On the final day of the review, the Review Team will present the SRO with a draft report of their findings. 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:

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

The SRO has seven days to advise the Review Team Leader of any errors of fact in the report before it is finalised.

After the Gateway Review

The Review Team will finalise the review based on feedback from the SRO within seven days of the presentation of the draft report. The report will be finalised and forwarded to the SRO and the 3PMO.

In instances where a Category 1 HVHR program or project receives an overall red status, the Gateway Review process provides that a minute from the 3PMO to the Chief Executive will automatically be triggered. Chief Officer(s) will be advised of any other category of project achieving an overall red status.
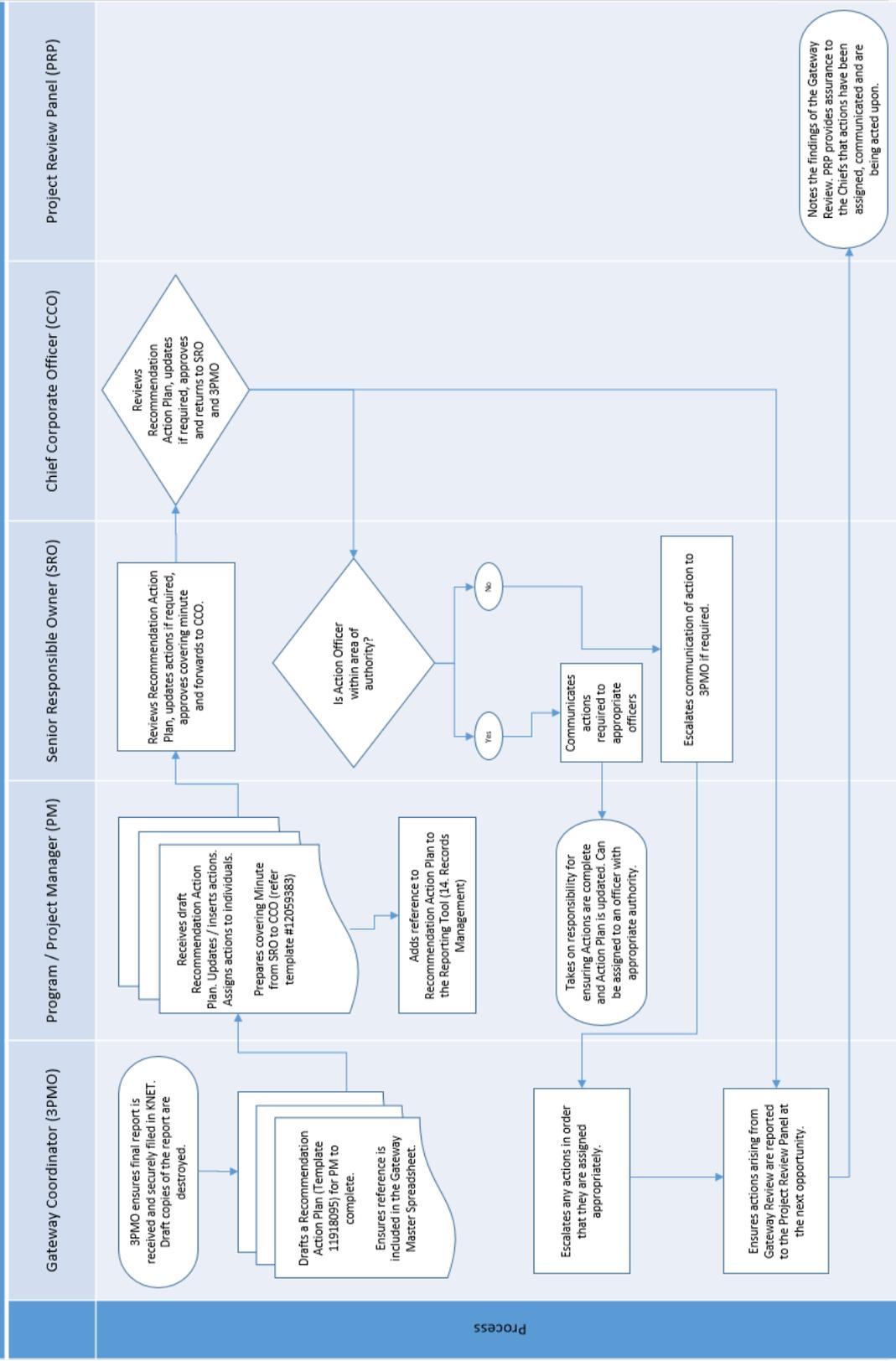
The Review Team, which is bound by confidentiality agreements, will destroy all notes, documents, materials and electronic copies of the report once it has been finalised.

The 3PMO will provide feedback surveys to the SRO and the Review Team in order to improve processes for future Gateway Reviews.

A lessons learnt register will be kept to ensure continuous process improvement in process, project management, and to assist with bringing together of future Review Teams.

Regardless of the overall Gateway Review rating, the SRO will provide a minute to the relevant Chief Officer noting the 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. A copy of the minute and the Recommendation Action Plan will also be forwarded to the Gateway Coordinator in the 3PMO. Refer to the flowchart following for of post Gateway Review activities

Roles and Responsibilities following Gateway Review

Lanes: Gateway Coordinator (3PMO) | Program / Project Manager (PM) | Senior Responsible Owner (SRO) | Chief Corporate Officer (CCO) | Project Review Panel (PRP)

Process

- 3PMO ensures final report is received and securely filed in KNET. Draft copies of the report are destroyed.

- Drafts a Recommendation Action Plan (Template 11918095) for PM to complete.
  Ensures reference is included in the Gateway Master Spreadsheet.

- Receives draft Recommendation Action Plan. Updates / inserts actions. Assigns actions to individuals.

- Prepares covering Minute from SRO to CCO (refer template #12059383)

- Adds reference to Recommendation Action Plan to the Reporting Tool (14. Records Management)

- Reviews Recommendation Action Plan, updates actions if required, approves covering minute and forwards to CCO.

- Reviews Recommendation Action Plan, updates if required, approves and returns to SRO and 3PMO

- Is Action Officer within area of authority?
  - No
  - Yes

- Takes on responsibility for ensuring Actions are complete and Action Plan is updated. Can be assigned to an officer with appropriate authority.

- Communicates actions required to appropriate officers

- Escalates communication of action to 3PMO if required.

- Escalates any actions in order that they are assigned appropriately.

- Ensures actions arising from Gateway Review are reported to the Project Review Panel at the next opportunity.

- Notes the findings of the Gateway Review. PRP provides assurance to the Chiefs that actions have been assigned, communicated and are being acted upon.

Gate Summaries

The following pages provide a summary of the purpose and requirements for each of the Gates.

Gate 0: Strategic Assessment

Gate 0 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. It is also applied to HV/HR projects at their inception. It can be repeated at key decision points throughout the life of the program. Gate 0 explores:

This Gateway Review will:

- review the outcomes and objectives for the program (and the way they fit together) and confirm that they make the necessary contribution to the overall strategy of the department;

- ensure that the program is supported by users and key stakeholders;

- confirm that the program's potential to succeed has been considered in the wider context of state government policy and procurement objectives, the department's delivery plans and change programs, and interdependencies with other programs or projects in the department;

- review the arrangements for leading, managing and monitoring the program as a whole and the links to individual parts (e.g. to existing projects);

- review the arrangements for identifying and managing the main program risks (and the individual project risks), including external risks such as changing business priorities;

- check that provisions for financial and other resources have been made for the program (initially identified at program initiation and committed later) and that plans for the work to be done through to the next stage are realistic, properly resourced with sufficient people of appropriate experience, and authorised;

- after the initial review, check progress against plans and the expected achievement of outcomes.

- check that there is engagement with the market as appropriate on the feasibility of achieving the required outcome; and

- where relevant, check the program takes account of joining up with other programs, internal and external.

Gate 1: Funding Readiness

Gate 1 investigates the preliminary business case and proposed way forward to confirm the project is achievable and likely to deliver what is required.

This Gateway Review will:

- confirm the business case is robust and meets the business need, is affordable, achievable, has appropriate options explored and is likely to achieve value for money;

- confirm potential options have been identified and analysed and expert advice has been obtained;

- confirm the underlying investment logic has been reflected and proven by evidence in the business case and the project remains aligned with the objectives and deliverables of the program and organisation;

- establish the feasibility study has been completed satisfactorily and a preferred way forward has been developed and decided in dialogue with the market;

- confirm the market's likely interest has been investigated and appropriate high-level procurement strategies have been considered;

- ensure there is internal and external authority and support for the project;

- ensure that the major risks have been identified and outline risk management plans have been developed;

- establish the project is likely to deliver its business goals and that it supports wider business change;

- confirm the scope and requirements specifications are realistic clear and unambiguous;

- ensure the full-scale intended outcomes, timescales and impact of relevant external issues have been considered;

- ensure there are plans for the next stage, confirm planning assumptions and that the project team can deliver the next stage;

- confirm that overarching and internal business and technical strategies have been considered; and

- confirm quality and benefit management plans for the project and its deliverables are in place;

- confirm the project is aligned with the objectives and deliverables of the program and departmental strategy to which it contributes; and

- evaluate actions taken to implement recommendations made in any earlier assessment of deliverability.

Gate 2: Market Readiness

Gate 2 investigates the final business case and procurement strategy before any formal approaches are made to prospective suppliers or partners. Gate 2 will:

- confirm the business case when the project is fully defined;

- confirm the objectives and desired outputs of the project remain aligned with the program to which it contributes;

- ensure the procurement approach is robust, appropriate and has obtained the necessary approvals;

- ensure the project's plan is appropriately detailed and realistic, including the contract management strategy;

- ensure the project controls and organisation are defined, financial controls are in place and resources are available;

- confirm funding availability for the whole project;

- confirm that the development and delivery approach and mechanisms remain appropriate and manageable;

- check the supplier market capability and track record (or that of existing supplier) are fully understood and that there will be an adequate competitive response from the market to the requirements;

- confirm that the project will facilitate good client / supplier relationships in accordance with any relevant SA Government initiatives;

- confirm that appropriate project performance measures and tools are being used;

- confirm that there are plans for risk management, issue management (business and technical) and that these plans will be shared with suppliers and delivery partners;

- confirm that quality procedures have been applied consistently since the previous review;

- confirm adherence and compliance to health, safety, sustainability and environmental requirements,

- for IT enabled projects, confirm compliance with IT and information security requirements and IT standards;

- confirm internal resources and capabilities will be available, as required for the future phase of the projects;

- confirm that stakeholders support the project and are committed to its success; and

- evaluate actions taken to implement recommendations made in any earlier assessment of deliverability.

Gate 3: Investment Decision

Gate 3 focuses on the updated final business case and confirms the project is still required, affordable and achievable. Gate 3 will:

- confirm the business case and benefits management plan now that the bid information has been verified from potential suppliers and delivery partners;

- confirm that the objectives and desired outputs of the project are still aligned with the program to which it contributes and the wider departmental and government strategy;

- check that all necessary statutory and procedural requirements were followed throughout the procurement / evaluation process;

- confirm that the recommended contract decision, if properly executed with a standard lawful agreement (where appropriate), is likely to deliver the specified outputs / outcomes on time, within budget and provide value for money;

- ensure there is continuing support for the project;

- confirm that the approved delivery strategy has been followed;

- confirm that the development and implementation plans of both the client and the supplier or partner are sound and achievable;

- check the business has prepared for developing new processes, for implementing and operating new services or facilities and the business change involved;

- confirm that there are plans for risk management, issues management and change management (technical and business); and that these plans are shared with suppliers and/or delivery partners; and

- confirm that the technical implications (such as buildability for construction projects, information assurance and security for IT-enabled projects) have been addressed; evaluate actions taken to implement recommendations made in earlier assessment of deliverability.

Gate 4: Service Readiness

Gate 4 focuses on the readiness of the agency to transition from project delivery to the live environment. Gate 4 will:

- check the current phase of the contract is complete with supporting documentation;

- ensure that the contractual arrangements are up to date;

- check the business case is still valid and unaffected by events or changes;

- check that the original projected business benefit is likely to be achieved;

- ensure processes and procedures are in place for the long-term success of the project;

- confirm that all necessary testing is done (e.g. commissioning of buildings, business integration and user acceptance testing) to the client's satisfaction and the client is ready to approve implementation;

- check that there are feasible and tested business contingency, continuity and reversion arrangements;

- ensure that all ongoing risks and issues are being managed effectively and do not threaten implementation;

- evaluate the risk of proceeding with the implementation while there are unresolved issues;

- confirm the business has the necessary resources and that it is ready to implement the services and 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 contract management arrangements are in place to manage the operational phase of the contract;

- confirm arrangements for the handover of the project from the SRO/Interface Manager to the operational business owner;

- confirm that all parties have agreed plans for training, communication, rollout, production release and support as required;

- confirm that all parties have agreed risk management plans;

- confirm plans for working relationships with clients, including reporting arrangements at appropriate levels, are in place;

- confirm information assurance accreditation or certification; and

- confirm defects or incomplete works are identified and recorded.

Gate 5: Benefits Realisation

Gate 5 confirms the desired benefits of the project are being achieved and business changes are operating smoothly. This review can be repeated at regular intervals during the lifetime of the new service or facility. Gate 5 will examine:

- business case and benefits management;

- plans for ongoing improvements in value for money;
- plans for ongoing improvements on performance and innovation;
- review of departmental learning and maturity targets;
- readiness for the future: plans for future service provision;
- the assessment of lessons learnt and methodology for sharing with peers.

Resources

Gateway Review Resources

A suite of resources is available from the 3PMO intranet site, under Gateway Reviews.

Workbooks have been prepared for each Gateway Review. The workbooks provide further guidance on:

- the structure of each review;
- areas of investigation and topics to be explored; and
- examples of the types of evidence that the Review Team will seek when undertaking a Gateway Review.

Additional Information

For further information, please contact the 3PMO:

Email: DPTI.GatewayReviews@sa.gov.au

Intranet: http://cms.dpti.sa.gov.au/portfolio_management_office/gateway

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OGC Gateway™ is referred to in this document as 'Gateway'.

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Queensland Treasury Gateway Unit, Queensland Government