

Gateway Process Documents

Gateway Review Process Manual

Prepared by: IT Projects and Change

PURPOSE OF DOCUMENT

GUIDANCE NOTE: This document describes how each gateway review should take place within the Gateway Process. It should be used by Business Analysts and Project Managers to enable them to follow the Gateway Process.

RACI

Responsible	Accountable	Consulted	Informed
PMO			

GUIDANCE NOTE: This should show who is responsible, accountable, consulted and informed with regard the document

DOCUMENT CONTROL

CHANGE CONTROL TABLE

Version	Amendment	Description	Release Date	Updated by
1.0			04.04.16	William Mordaunt

APPROVALS

Approver	Title	Date of issue	Version
IT Leadership Team		04.04.16	1.0

DISTRIBUTION

This document has been distributed to:

Name	Title	Date of issue	Version

Contents

1	Introduction	4
2	The Project Gateway Review Process	4
2.1	<i>Gate 1 – Project Mandate Stage</i>	4
2.1.1	Purpose	4
2.1.2	Activities	4
2.2	<i>Gate 2 – Detailed Business Case Stage</i>	5
2.2.1	Purpose	5
2.2.2	Activities	5
2.3	<i>Gate 3 – Produce Project Initiation Documentation Stage</i>	6
2.3.1	Purpose	6
2.3.2	Activities	6
2.4	<i>Gate 4 – Detailed Design Stage</i>	8
2.4.1	Purpose	8
2.4.2	Activities	8
2.5	<i>Gate 5 – Build and Test Stage</i>	10
2.5.1	Purpose	10
2.5.2	Activities	10
2.6	<i>Gate 6 – Transition Stage</i>	11
2.6.1	Purpose	11
2.6.2	Activities	11
2.7	<i>Gate 7 – Early Life Support Stage</i>	12
2.7.1	Purpose	12
2.7.2	Activities	12
2.8	<i>Gate 8 – Project Closure Stage</i>	13
2.8.1	Purpose	13
2.8.2	Activities	13
3	Appendix A – Project Gateways	14

1 Introduction

The purpose of this document is to describe the gateway review process – part of the Gateway Project Process. Gateway reviews are held at the end of each stage of a project. The purpose of a gateway review is to make sure the Project Board or relevant governance forum, has enough information to evaluate the success of the current stage, assess the actual progress of the project against its planned progress and to verify that the business justification used to initiate the project is still valid. If the Project Board is able to successfully evaluate, assess and verify to its satisfaction, it can approve the commencement of the next stage of the project.

This document briefly describes each stage of the project and for each stage, the purpose of the stage, the processes completed before the gate and the artefacts produced during the stage. It also details who sits on the review panel for each gateway and the actions following a successful gateway.

2 The Project Gateway Review Process

2.1 Gate 1 – Project Mandate Stage

2.1.1 Purpose

Gate 1 is held at the end of the Project Mandate stage. The primary purpose of the Project Mandate stage is to develop the **Project Mandate** and identify and prioritise the demand for new or enhanced business services and capabilities. At Gate 1 the **Project Mandate** is checked to ensure it contains the right information and that information is correct as far as can be determined. The Gateway Review process at this stage looks at the validity of the Project Mandate for a project in the context of the prioritisation of all IT work.

2.1.2 Activities

The Business Analyst, working with the Business Owner, commences work on the Project Mandate stage, when the PAR submission is approved. The Business Analyst prepares the Project Mandate which serves as a broad definition of the project's objectives, scope, constraints, benefits and risks. It also contains an indication of the delivery timescales of the project. The Business Analyst collates the information for inclusion in the Project Mandate from a number of sources. This stage is mainly concerned with the discovery and presentation of sufficient information to enable the ITLT to make the decision of whether to recommend to the ITSB that the project be started and where it should be prioritised within the portfolio of projects.

GATE 1 REVIEW PROCESS

WHEN	On completion of the Project Mandate Stage
INPUTS	Completed Project Mandate
PROCESSES COMPLETED PRIOR TO GATE	Collate high-level costs and business requirements from Stakeholders
ARTEFACTS PRODUCED	Project Mandate
RACI	Responsible: Business Analyst Accountable: Business Owner Consulted: Infrastructure, Applications, Student and Staff Services, Research IT Informed: ITSB, ITLT, PMO
GATEWAY REVIEW PANEL	ITSB
ACTION ON GATE BEING PASSED	Granting of Authority to Proceed Release of funding for Detailed Business Case stage Commencement of Detailed Business Case Stage

2.2 Gate 2 – Detailed Business Case Stage

2.2.1 Purpose

Gate 2 is held at the end of the Detailed Business Case stage. The primary purpose of Detailed Business Case stage is to develop the **Detailed Business Case** – the document that lays out the fully-considered implications of the project. These implications include the options available; the costs and benefits to the organisation; the business and/or organisational change that would be required; the allocation of resources; the timescale over which the project will run; the major risks. Gate 2 will verify that the **Detailed Business Case** contains the right information and that information is correct as far as can be determined, and enable ITSB to make a decision as to whether to proceed to project initiation.

2.2.2 Activities

The Business Analyst, liaising with the Business Owner, works with the stakeholders of the project to obtain and collate the information required for the Detailed Business Case. The Business Analyst prepares the Detailed Business Case which includes:

- Project Objectives and their alignment with the eight IT Strategic Principles
- Project Dependencies
- Project Options
- Benefits of the preferred option
- Costs
- Critical Success Factors
- Accessibility; An Assessment and a Diversity and Impact Statement.

GATE 2 REVIEW PROCESS

WHEN INPUT PROCESSES COMPLETED PRIOR TO GATE	On completion of the Detailed Business Case stage Completed Detailed Business Case Gather detailed requirements from business owner and stakeholders Discuss options, risks & issues and define recommendation Discussion with potential suppliers about solution and costs Discuss project resourcing including allocation of BAU support Review project benefits Construct Detailed Business Case
ARTEFACTS PRODUCED	Detailed Business Case
RACI	Responsible: Business Analyst Accountable: Business Owner Consulted: Infrastructure, Applications, Student and Staff Services, Research IT Informed: ITSB, ITLT, PMO
GATEWAY REVIEW PANEL ACTION ON GATE BEING PASSED	ITSB Granting of the Authority to proceed to Produce Project Initiation Documentation (PID) stage Release of capital funding for Produce PID stage Commencement of Produce PID stage

2.3 Gate 3 – Produce Project Initiation Documentation Stage

2.3.1 Purpose

Gate 3 is held at the end of the Produce Project Initiation Documentation (PID) stage. The purpose of the Produce PID stage is to produce the body of documents that make up the **PID**. In doing so, solid foundations for the project are created and the organisation can gain an appreciation of the work that needs to be done before expending substantial funds. The **PID** is one of the most important artefacts in project management. The purpose of the **PID** is to define the project in detail and provide a reference point throughout the project. The **PID** forms the basis for the project's management and how the project's overall success is assessed. It is a 'living' product as it should always reflect the current status, plans and controls of the project. The documents that constitute the **PID** will require updating, where necessary, at the end of each stage, to reflect the current status.

Also produced during this stage is the **Benefits Review Plan**. The **Benefits Review Plan** defines how and when a measurement of the achievement of the project's benefits can be made. The plan is updated periodically and up to the Project Closure Stage.

At Gate 3, the **Benefits Review Plan** and the components of the **Project Initiation Document** will be checked to ensure they contain the right information and that information is correct as far as can be determined. The information will be used to make a decision as to whether the project is still viable and desirable, and whether it should continue to be funded.

2.3.2 Activities

During this stage the Project Executive – who represents the interests of the business stakeholder(s) – is appointed. The Project Manager is also appointed. The Project Manager represents the interests of the Project Executive and manages the project on a day-to-day basis. The remainder of the Project Board is appointed. The Project Board is accountable for the success of the project.

The Project Manager produces or coordinates the production of the body of documents in this stage that constitute the **PID** (Project Initiation Documentation).

The **PID** contains some or all of the following:

- Project Definition
- Project approach
- Business Case
- Project management team structure
- Role descriptions
- Quality Management Strategy
- Configuration Management Strategy
- Risk Management Strategy
- Communication Management Strategy
- Project Plan
- Project Controls

On completion of the PID, the Project Board holds a review at Gate 3.

GATE 3 REVIEW PROCESS

WHEN	On completion of Project Initiation Documentation stage
INPUTS	Completed Project Initiation Documentation and Benefits Review Plan
PROCESSES COMPLETED PRIOR TO GATE	Risk and Approach Workshop Creation of Project Initiation Documentation Creation of Benefits Review Plan PMO assurance of documentation
ARTEFACTS PRODUCED	Project Initiation Documentation composed of some or all of: <ul style="list-style-type: none"> – Project Definition – Project Approach – Business Case – Project Management Team Structure – Role Descriptions – Quality Management Strategy – Configuration Management Strategy – Risk Management Strategy – Communication Management Strategy – Project Plan – Project Controls Benefits Review Plan
RACI – PID	Responsible: Project Manager Accountable: Project Board & Project Executive Consulted: PMO, Business Analyst, Business Owner, Infrastructure, Applications, Student and Staff Services, Research IT Informed: ITLT
RACI – BENEFITS REVIEW PLAN	Responsible: Project Manager Accountable: Project Board & Project Executive Consulted: PMO, Business Analyst, Business Owner, Infrastructure, Applications, Student and Staff Services, Research IT Informed: ITLT
GATEWAY REVIEW PANEL ACTION ON GATE BEING PASSED	Project Board Granting of authority to proceed to Detailed Design Stage

2.4 Gate 4 – Detailed Design Stage

2.4.1 Purpose

Gate 4 is held at the end of Detailed Design Stage. The stage commences with the release of funds followed by the Project Team Kick-Off event. This is the first meeting with the project team and the client where everyone involved in the delivery of the project and key stakeholders are brought together to understand the scope, objectives, benefits, timescales and detail of the project. During the Detailed Design Stage various design elements of the final solution are defined and documented which will enable the solution to be built, tested, delivered and run as BAU. The purpose of Gate 4 is to verify that artefacts of the Detailed Design Phase contain the right information and that information is correct as far as can be determined. Documents for this Gate are signed off by business and technical representatives, and the Project Manager will make a recommendation to the Board as to whether the Gate should be passed. In addition the PMO will quality assure all the documents prior to the Gateway Review (as they do at each Gate).

2.4.2 Activities

Following the Kick-Off event, the Project Manager coordinates the production of a number of design artefacts by a number of stakeholders. These artefacts include:

- Contract and Legal Documentation
- Contract Information Sheet
- Release and Deployment Plan
- Test strategy
- Functional and Technical Requirements
- Test plan
- Network Configuration Request Form
- Solution & Service Design Document
- Continual Service Improvement Plan
- Service & Operational Level Agreements

GATE 4 REVIEW PROCESS

WHEN	On completion of the Detailed Design stage
INPUTS	Project Kick-Off event Detailed Design artefacts
PROCESSES COMPLETED PRIOR TO GATE	Project Kick-Off event Creation of Detailed Design artefacts PMO assurance of documentation
ARTEFACTS PRODUCED	<ul style="list-style-type: none"> – Contract and Legal Documentation – Contract Information Sheet – Release and Deployment Plan – Test strategy – Functional and Technical Requirements – Test plan – Network Configuration Request Form – Solution & Service Design Document – Continual Service Improvement Plan – Service & Operational Level Agreements
RACI – CONTRACT AND LEGAL DOCUMENTATION	<p>Responsible: Project Manager Accountable: Project Board & Project Executive Consulted: Business Owner, Infrastructure, Applications, Student and Staff Services, Research IT Informed: PMO</p>

GATE 4 REVIEW PROCESS

RACI – CONTRACT INFORMATION SHEET	<p>Responsible: Project Manager Accountable: Project Board & Project Executive Consulted: Business Owner, Infrastructure, Applications, Student and Staff Services, Research IT Informed: PMO</p>
RACI – RELEASE AND DEPLOYMENT PLAN	<p>Responsible: Project Manager Accountable: Project Board & Project Executive Consulted: Infrastructure, Applications, Student and Staff Services, Research IT Informed: Project Board & Project Executive, Business Owner</p>
RACI – TEST STRATEGY	<p>Responsible: Business Analyst Accountable: Project Board & Project Executive Consulted: Infrastructure, Applications, Student and Staff Services, Research IT Informed: Project Manager, Business Owner</p>
RACI – FUNCTIONAL AND TECHNICAL REQUIREMENTS	<p>Responsible: Business Analyst Accountable: Project Board & Project Executive Consulted: Business Owner, Infrastructure, Applications, Student and Staff Services, Research IT Informed: Project Manager</p>
RACI – TEST PLAN	<p>Responsible: Business Analyst Accountable: Project Board & Project Executive Consulted: Infrastructure, Applications, Student and Staff Services, Research IT Informed: Project Manager, Business Owner</p>
RACI – NETWORK CONFIGURATION	<p>Responsible: Applications Accountable: Project Board & Project Executive Consulted: Infrastructure Informed: Project Manager</p>
RACI – SOLUTION AND SERVICE DESIGN DOCUMENT	<p>Responsible: Applications Accountable: Project Board & Project Executive Consulted: Infrastructure, Student and Staff Services, Research IT Informed: Project Manager</p>
RACI – CSI PLAN	<p>Responsible: Project Manager Accountable: Project Board & Project Executive Consulted: Business Owner Informed: Infrastructure, Applications, Student and Staff Services, Research IT</p>
RACI – SERVICE AND OPERATIONAL LEVEL AGREEMENTS	<p>Responsible: Project Manager Accountable: Project Board & Project Executive Consulted: Business Owner, Infrastructure, Applications, Student and Staff Services Informed:</p>
GATEWAY REVIEW PANEL	Project Board

GATE 4 REVIEW PROCESS

ACTION ON GATE BEING PASSED	Release of capital funding for Build and Test stage Commencement of Build and Test stage
------------------------------------	---

2.5 Gate 5 – Build and Test Stage

2.5.1 Purpose

Gate 5 is held at the end of Build & Test Stage. The stage commences with the release of funds for the stage. The gate at the end of the stage is to ensure the correct artefacts have been produced to assure the application or system has been created according to requirements and specification and that it works according to expectations and without adversely impacting the live environment.

2.5.2 Activities

The Project Manager coordinates the development of the system or application and its testing to ensure fitness for purpose (utility) and fitness for use (warranty). If the Build and Test Stage is approved, the **Project Board** authorises progress to the **Transition Stage**. No further release of funds are made.

GATE 5 REVIEW PROCESS

WHEN	On completion of the Build and Test stage
INPUTS	Successfully-developed and -tested application
PROCESSES COMPLETED PRIOR TO GATE	Build and Configure Infrastructure Build Software Software testing PMO assurance of documentation
ARTEFACTS PRODUCED	Service Catalogue Specification Test Completion Reports
RACI – SERVICE CATALOGUE SPECIFICATION	Responsible: Project Manager Accountable: Project Board and Project Executive Consulted: Business Owner, Infrastructure, Applications, Student and Staff Services, Research IT Informed:
RACI – TEST COMPLETION REPORTS	Responsible: Applications Accountable: Project Board and Project Executive Consulted: Informed: Project Manager, Business Owner, Infrastructure, Student and Staff Services, Research IT
GATEWAY REVIEW PANEL ACTION ON GATE BEING PASSED	Project Board Granting of authority to proceed to Transition Stage

2.6 Gate 6 – Transition Stage

2.6.1 Purpose

Gate 6 is held at the end of Transition Stage. This stage commences with the authority to proceed. The purpose of the Transition Stage is to prepare the system for the promotion of the developed application to the live environment. Gate 6 is the 'Go / No-Go' gate for go-live.

2.6.2 Activities

The Project Manager coordinates the various activities involved in transitioning the service into the live environment. These include planning and coordinating the resources to deploy the release; evaluating and managing the change; scheduling the release and deployment; maintaining the information about configurable items; ensuring the support services are able to support the application.

GATE 6 REVIEW PROCESS

WHEN	On completion of the Transition Stage
INPUTS	Plan for the transition of the application to the live environment
PROCESSES COMPLETED PRIOR TO GATE	Agree support model Produce training plans and documentation Training and knowledge transfer Produce early life support model PMO assurance of documentation
ARETEFACTS PRODUCED	Support Model Service Desk Scripts Work Process Flows Training plans User Guides Early Life Support Plan
RACI – SUPPORT MODEL	Responsible: Project Manager Accountable: Project Board and Project Executive Consulted: Business Owner, Infrastructure, Applications, Student and Staff Services, Research IT Informed:
RACI – SERVICE DESK SCRIPTS	Responsible: Applications Accountable: Project Board and Project Executive Consulted: Infrastructure Informed: Project Manager, Student and Staff Services, Research IT
RACI – USER GUIDES	Responsible: Applications Accountable: Project Board and Project Executive Consulted: Business Owner Informed: Project Manager, Infrastructure, , Student and Staff Services, Research IT
RACI – WORK PROCESS FLOWS	Responsible: Student and Staff Services Accountable: Project Board and Project Executive Consulted: Informed: Project Manager, Business Owner, Infrastructure, Applications, Research IT
RACI – TRAINING PLANS	Responsible: Project Manager Accountable: Project Board and Project Executive

GATE 6 REVIEW PROCESS

RACI – EARLY LIFE SUPPORT MODEL	<p>Consulted: Business Owner Informed: Infrastructure, Applications, Student and Staff Services, Research IT</p> <p>Responsible: Project Manager Accountable: Project Board and Project Executive Consulted: Business Owner, Infrastructure, Applications, Student and Staff Services, Research IT Informed:</p>
GATEWAY REVIEW PANEL ACTION ON GATE BEING PASSED	<p>Project Board Granting of authority to promote developed application to the live environment Promotion of developed application to Live Commencement of Early Life Support stage</p>

2.7 Gate 7 – Early Life Support Stage

2.7.1 Purpose

Gate 7 is held at the end of the Early Life Support Stage. The purpose of the stage is to run the completed application in the live environment, supported by the support elements described in the Support Model.

2.7.2 Activities

Running the completed application in the live environment. Resolving any operational issues occurring during the preliminary period immediately after the deployment of a release. Creating Early Life Completion Report once the criteria for exiting Early Life Support are met.

GATE 7 REVIEW PROCESS

WHEN	On completion of Early Life Support Stage
INPUTS	Evidence of successful Early Life Support
PROCESSES COMPLETED PRIOR TO GATE	Early Life Support
ARTEFACTS PRODUCED	Handover to Operational Running
RACI	None
	There are no artefacts produced in the ELS stage and so this section remains empty. The responsibility for processes during ELS, however, lies with the Project Manager
GATEWAY REVIEW PANEL ACTION ON GATE BEING PASSED	Project Board Authority to proceed to Project Closure stage

2.8 Gate 8 – Project Closure Stage

2.8.1 Purpose

Gate 8 is held at the end of the Project Closure Stage. Its purpose is to assure that the artefacts required in order to close the project and ensure the benefits realisation plans are handed over to ensure they are owned going forward.

2.8.2 Activities

Creation of Project Closure Report, Lessons Learned Report and Benefits Realisation Plan.

GATE 8 REVIEW PROCESS

WHEN	On completion of the Project Closure stage
INPUTS	Completed project closure documentation
PROCESSES COMPLETED PRIOR TO GATE	Production of project closure documentation
ARTEFACTS PRODUCED	Creation of Project Closure report and Lessons Learned Report and updating of Benefits Review Plan
RACI – PROJECT CLOSURE REPORT	Responsible: Project Manager Accountable: Project Board and Project Executive Consulted: Informed: , PMO, Business Analyst, Business Owner, Infrastructure, Applications, Student and Staff Services, Research IT
RACI – LESSONS LEARNED REPORT	Responsible: Project Manager Accountable: Project Board and Project Executive Consulted: PMO, Business Analyst, Business Owner, Infrastructure, Applications, Student and Staff Services, Research IT Informed:
RACI – UPDATED BENEFITS REVIEW PLAN	Responsible: Project Manager Accountable: Project Board and Project Executive Consulted: Business Owner Informed: , PMO, Business Analyst, Infrastructure, Applications, Student and Staff Services, Research IT
GATEWAY REVIEW PANEL ACTION ON GATE BEING PASSED	Project Board Project closure

3 Appendix A – Project Gateways

The stages of the project and review points that accompany them are shown in the diagram of the Gateway, below.

