

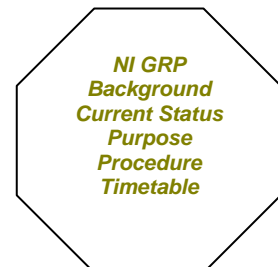
NICS Centre of Excellence for Delivery

The Northern Ireland Gateway Review Process



Department of
**Finance and
Personnel**

www.dfpni.gov.uk



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Glossary of terms

(lead roles underlined in timetable)

SRO- Senior Responsible Owner
PM- Project Manager
PT- Project Team
PS- Project Sponsor (construction projects)
GC – Gateway Co-ordinator
CoE- Centre of Excellence for Delivery
RT- Review Team
RTL- Review Team Leader
RTM – Review Team Member
RPA - Risk Potential Assessment

This document will be reviewed on an ongoing basis by the Centre of Excellence. Please see the CPD website www.cpdni.gov.uk for updates.

The Northern Ireland Gateway Review Process

Background

In 2001, the OGC (Office of Government Commerce) initiated the Gateway Review Process to increase the potential for successful delivery of programmes and projects. This was in response to the recommendations of the **Successful IT: Modernising Government in Action (McCartney)** report of 2000, which introduced the concepts of IT enabled business change and peer review, and set out to improve the management of projects in the public sector, following a number of well publicised unsuccessful public sector IT projects in GB.

In Northern Ireland, DAO33/03 aligned the NICS approach with the McCartney recommendations, and introduced the OGC Gateway Review Process. The Gateway Review Process is now delivered in Northern Ireland by the Centre of Excellence for Delivery (CoE) in the Central Procurement Directorate (CPD) of DFP.

DAO 33/03 mandates guidance on project management to Departments and Arms Length Bodies (Agencies and NDPBs), best practice in the form of Prince 2, MSP (Managing Successful Programmes) and the OGC Gateway Review Process to all IT enabled business change projects.

There is no financial threshold for this application and Departments are advised that they must make a judgement as to what constitutes a project, by reference to scale, the degree of risk, and the number and profile of stakeholders. The CoE can provide advice to Departments on this.

Guidance on the Gateway Review Process is held in Annex E of DAO 33/03 (Procurement Guidance Note (PGN) 06/04). This supplements the DAO and extends its remit to all projects (paragraph 1).

NB: references in DAO 33/03 to a PPM (Project Profile Model) have now been replaced by the RPA (Risk Potential Assessment).

DAO 17/04 introduced further guidance on the Gateway Review Process, and widened its application. It mandates assurance by the Accounting Officer of the project, against the National Audit Office (NAO) Common Causes of Failure (**see Appendix 1**), following a Gate 1 Review or in advance of subsequent reviews. It also mandates no big bang implementations for IT enabled change projects and programmes, and defines the prioritisation categories of Mission Critical, Highly Desirable and Desirable.

A Programme ‘delivers the effects of change (**outcomes**) based on an agreed vision by providing a structured framework to co-ordinate, communicate, align, manage and control the activities involved’

A Project is ‘a management environment that is created for the purpose of delivering one or more business products (**outputs**) according to a specified Business Case’

The above guidance (DAO33/03, 17/04 and PGN 06/04) is currently under review by the Centre of Excellence. Replacement guidance will be issued in mid 2008.

Current Status

Authorised Hub

On the return of the NI Assembly in May 07, OGC relinquished responsibility for the Gateway Review Process in NI. The CoE now delivers the process in its entirety throughout NICS and the NI Wider Public Sector (NIWPS). The CoE is currently working towards the status of an OGC Authorised Hub which will deliver the Gateway Review Process under licence from OGC. Other Authorised Hubs include NHS and MOD. On the achievement of this status, all NI Gateway Reviews will gain the OGC Gateway trademark. The Gateway Review Process now provided by the CoE is the standardised OGC process. During the transition to Authorised Hub the CoE will be monitored for compliance with these standards by OGC.

Charging

The CoE no longer has access to OGC reviewers on a reciprocal basis as per paragraph 13 PGN 06/04. During the above transition period it may be necessary, in order to achieve sufficient expertise and independence, for high risk projects to use OGC consultant reviewers. These will be chargeable to the project/programme for their time and expenses. Advice on this will be provided by the NI Gateway Co-Ordinator (GC) in CoE.

Gateway reviews carried out by NICS or NIWPS staff will be free of charge to the project as the costs are met by the reviewer's Department or Body on a reciprocal basis. All Departments and ALBs are therefore required to put forward suitable staff for review teams.

Purpose of the Gateway Review

A Gateway Review examines a project at critical stages in its lifecycle to provide assurance that it can progress successfully to the next stage. It can be applied to all types of projects eg: ICT and Construction enabled business change, policy delivery and organisational change. Reviews are carried out by a team of experienced peers independent of the project team.

The Gateway Review Process provides a valuable perspective on the issues facing the programme/project team, and an external challenge to the robustness of plans and processes

The process is owned by the Senior Responsible Owner of both programmes and projects who is:

- the most Senior individual involved in the programme / project with the relevant decision making authority
- the person responsible for ensuring that the project meets business objectives and delivers the project benefits
- the owner of the business change who is recognised throughout the organisation, maintains its business focus and ensures context, including risk is actively managed

The Gateway Review Process helps the SRO to achieve business aims by assessing whether:

- the best available skills and experience are deployed on the programme/project
- all the stakeholders covered by the programme/project fully understand the current status and the issues involved
- the programme/project can progress more confidently to the next stage of development, implementation, or realisation
- the programme/project requires more realistic time and cost targets

There are five Gateway reviews during the lifecycle of a PROJECT

1 Business Justification

- provides assurance to the Project Board that the proposed approach to meeting the business requirement has been adequately researched and can be delivered
- confirms that affordability achievability and value for money have been established

2 Delivery Strategy

- assures the Project Board that the selected delivery approach is appropriate for the proposed business change
- confirms that implementation plans are in place

3 Investment Decision

- confirms that the recommended investment decision is appropriate before a contract is placed
- provides assurance on the processes used to select a supplier, and whether the process has been well managed, business needs are being met, and that both the client and the supplier can implement and manage the proposed solution
- confirms that the necessary processes are in place to achieve a successful outcome after contract award (or equivalent)

4 Readiness for Service

- focuses on whether the solution is robust before implementation
- looks at how ready the organisation is to implement the business changes that occur before and after delivery
- confirms that the contract management arrangements that are in place
- confirms that there is a basis for evaluating ongoing performance
- confirms that ownership and governance are in place for operation

5 Benefits Realisation

- confirms the smooth operation of delivery of outputs and achievement of benefits

- reviews the operational phase after the project has delivered its agreed outputs-
- confirms that evidence of the in service benefits delivered is available
- looks at how well arrangements have been set up for the service delivery and the associated contract management

There may be a number of repeating reviews for a long term service contract such as PFI.

NB: Gate 5 includes the post implementation review, as a major input to its investigation.

Gateway 0 reviews are for PROGRAMMES and are repeated at a **minimum** of 3 times in the programme lifecycle as described below:

At start up -after the broad strategy for change has been set, and before a public commitment is made.

- focuses on the justification for the programme.
- provides assurance to the programme board that the scope and purpose of the programme has been adequately researched that there is a shared understanding of what is to be achieved by the key stakeholders and that it fits within the organisations overall policy.
- confirms that there is a realistic possibility of securing the resources needed for delivery.
- looks at how work strands will be organised to deliver the overall programme objectives and that the programme management structure monitoring and resourcing is appropriate.
- tests whether stakeholders expectations of the programme are realistic by reference to costs, risks, outcomes, resource needs, timetable and general achievability
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At mid stage -at scheduled milestones or where there is a significant change to the desired outcomes. When the way outcomes are delivered must change or where the programme needs to be reshaped. Where there is a change in SRO.

- establishes the continued validity of the business case for the programme.
- ensures that the outcomes and desired benefits of the programme are on track

At programme conclusion/closure

- assesses the overall success of the programme and the extent to which the desired outcomes and benefits have been achieved
- checks that lessons learned have been analysed and promulgated

NB: Additional mid stage reviews can be conducted at the request of the SRO.

Procedure

The official starting point for the Gateway Review Process is the completion of the RPA form. On completion, this should be submitted to the CoE (GC) for agreement and advice. This form contains a standard set of high level criteria against which the SRO can score the complexity of the project. This will help to assess an overall risk level and so determine the level of Gateway Review required.

The RPA should be completed by or in conjunction with the SRO of the project /programme and as much background /reasoning as possible completed in the appropriate text boxes to assist with the assessment by the GC.

The GC may also request further information on the project, in addition to the RPA, as part of this assessment.

An RPA must be completed in advance of each of the above Gateway review stages, allowing approximately 10 weeks notice when submitting to the GC.

The formal Gateway Review Process will be applied to all projects which have an RPA score of 31 or more, and all Mission Critical projects, as agreed and confirmed by the GC. It may also apply to projects which have a lower RPA score as determined by the GC.

Where the project is agreed as low risk (score less than 31 on RPA form) at a particular critical decision point by the GC, an internal peer review should be carried out on the project by the SRO, following Gateway principles. The CoE are happy to advise on this.

Gateway Review teams usually consist of three people – a Review Team Leader and two Review Team Members. A Planning Meeting (usually lasting ½ day) takes place around two weeks in advance of the Gateway Review, (usually lasting three to five days). A draft report is delivered to the SRO on the last day and the final report delivered within one week.

The GC provides OGC workbooks to the project team in advance of a review, in order to aid preparation. These contain guidance on areas to be covered in the review and an outline of documentation which may be requested.

Cancellation of a Gateway Review

Cancellation at any stage, will be extremely disruptive to all parties. It is unlikely that the same review team will be available and the project will have to reorganise interviews with stakeholders. As review teams are provided by other Departments this will cause damage to the reputation of the project and loss of goodwill for the Gateway Process. The SRO will be asked at the Planning Day to confirm the review dates. However the RTL has the discretion to cancel the review at this stage should the project not be in a position to proceed. In the event of cancellation a further 10 weeks will be required to reorganise the review (except in circumstances beyond the control of the project/programme as agreed with CoE). There will also be liability for any OGC consultancy fees and expenses incurred due to the cancellation.

An outline of the timetable for the Gateway Review Process follows. This indicates the key actions by all parties and their timing during the process.

The NI Gateway Review Process – Timetable

Week	Process	Action By (lead roles underlined)
1	Initial contact from project/programme to CoE in advance of completion of RPA	PM
	Gateway awareness session or pre meeting (if project or team is new to gateway)	<u>GC</u> PT
2	Complete Risk Potential Assessment Form and additional information as requested by CoE. Provide project summary, objectives, scope and current status. (Do not submit project documentation unless requested by CoE).	<u>SRO</u> PS PM
3	Return RPA to CoE – email to gateway@dfpni.gov.uk	PM
	<u>Initiation of Gateway Review Process</u>	
4	Assess project for Gateway including Scope Governance Risk Stakeholders Project Type eg: construction/IT enabled business change, policy delivery etc Position on Gateway timeline	GC
5	Low risk - Advise a departmental review and further risk assessment, no further action required by CoE	GC

6	<p>Assessment Meeting (1-2 hours)</p> <p>Identify which review is appropriate Confirm the need for proposed review Confirm the project is ready for the review Confirm that SRO role is correctly assigned Advise on charging implications and responsibility of project team to make travel and accommodation arrangements Request Project team to book provisional diary slots</p>	GC
	<p>Review Risk Potential Assessment and agree score and current risk level Discuss key stakeholders for review and provide draft list Agree competence / skills mix for review team Agree reviewer source eg NICS NIWPS OGC Scottish Executive etc</p>	GC SRO PM
	<p>Agree provisional dates for the planning meeting and the review</p>	SRO PM
	<p>Provide short written description of project background and current status (if the review is delayed this will be required to be updated at the time of organisation of the review)</p> <p>Agree provision of accommodation for review and planning day (RT to be based in one room for duration of review where all interviews will take place) plus hospitality (tea,coffee, lunches as required)</p> <p>Agree provision of admin support to review team including printing, flip chart and communication with SRO/PM Provide progress report on recommendations from previous review</p>	PM
	<p>Provide any specific evidence requested in the Risk Potential Assessment form for High Risk projects</p> <p>Confirm agreement to proceed with review /sign off Gateway Agreement. (See notes on Cancellation in Introduction)</p>	SRO
	<p><u>Confirmation of Gateway Review Process</u></p>	

7/8	Seek appropriate review team Prepare report on project background and status Provide review instructions to SRO, PM, RTL, RTMs	GC
	Confirm review and planning dates	PM
	Liaise with any external review team members re travel or accommodation arrangements	<u>PT</u>
	Project briefing Discussion of roles and responsibilities	<u>GC RT</u>
	Issue Agenda for Planning Day to SRO, PM, RTMs and GC	RTL
	Responsibility for the Process now moves to the RTL	
9	Planning Meeting (Half day) Review Team and Gateway Co-ordinator Meeting <u>Hour 1</u> Introductions Establish Code of Conduct for the review Discuss project key risks and issues for review Discuss key stakeholders for interview Agree working arrangements for review Monitor Time Management and Agenda coverage	<u>RTL RT</u> GC
	<u>Hour 2</u> Strategic Overview and Current Status of Project Introductions Agree Code of Conduct for Review	<u>RTL SRO</u> PT
	Overview /Presentation on background, scope and current status of project	SRO PS <u>PM</u>
	Discuss strategic role of SRO and key risks and issues	<u>SRO RT</u> GC
	<u>Hour 3</u> Requirements for the review Identify the key stakeholders for interview- RTL can ask to meet with any stakeholders involved in the project/programme RTL has the right to postpone or cancel review if unavailability of key stakeholders will affect the delivery of an appropriate or successful review	<u>RTL SRO</u> PT GC
	Progress on recommendations from any previous review	PM
	Identify any issues which may affect the Review, and agree remedial action Identify required documentation and make arrangements for delivery to review team	<u>RTL RT</u> PM GC
	Logistics Planning- scheduling of interviews, breaks, location of review, catering arrangements, support for review team	<u>RTL RT</u> PM PT GC

10	Preparation for review- reading documentation	RT
	Scheduling of interviews	PT

11	Gateway Review (3 /5 full days) Day 1 Interviews (1 hour each- 45 min interview, 15 min RT discussion)	<u>RT</u> SRO PM PT SH
	End of day Emerging Findings report (half hour)	<u>RTL</u> RT SRO
	Day 2 Interviews (1 hour each as above)	<u>RT</u> PT SH
	End of day Emerging Findings report (half hour)	<u>RTL</u> RT SRO
	Day 3 Report Writing /Completion of Interviews	<u>RTL</u> RT SH
	Contact GC with headline report findings and RAG status	RTL
	Deliver draft report to SRO (about lunchtime)	RTL
	Feedback session	<u>RTL</u> RT
	High level discussion of report to advise recommendations and procedure to finalise the report (mid PM)	<u>RTL</u> RT SRO
	Return documentation to the project team and delete from electronic systems	RT
12	Post Review Issue final report (factual corrections only) to SRO / GC within one week of end of review	RTL
	Return completed feedback forms to GC – gateway@dfpni.gov.uk	RTL RTMs SRO
	Meet RT and SRO/PM to discuss feedback Advise Departmental Perm Sec or appropriate Accounting Officer for the project if two successive reviews result in red status Request project that documents which constitute good practice can be retained or shared with other projects Request action plan on recommendations from SRO/PM	GC
	Plan next review	PM GC

For further information on the NI Gateway Review Process, please contact the NI Gateway Co-ordinator Cathy Blake-Knox on 028 90 816478 or email gateway@dfpni.gov.uk

Appendix 1

NAO/OGC AGREED LIST OF COMMON CAUSES OF PROJECT FAILURE

1. Lack of clear link between the project and the organisation's key strategic priorities, including agreed measures of success.
2. Lack of clear senior management and Ministerial ownership and leadership.
3. Lack of effective engagement with stakeholders.
4. Lack of skills and proven approach to project management and risk management.
5. Too little attention to breaking development and implementation into manageable steps.
6. Evaluation of proposals driven by initial price rather than long-term value for money (especially securing delivery of business benefits).
7. Lack of understanding of and contact with the supply industry at senior levels in the organisation.
8. Lack of effective project team integration between clients, the supplier team and the supply chain.