

Appendix G: Gating Process

Introduction to the Gating Process

This Appendix supplements and builds on Section 3: Project Delivery Framework of the Project Management Manual.

The gating process defines predetermined decision points where senior leaders provide formal project oversight to ensure project success. Refer to Figure G-1 Gating Process: Hierarchy of Stage Gates, Control Points & Phase Gates.

Stage Gates - Decision points that apply within the lifecycle of an Asset. For instance, the point at which a need has been identified during the investment planning stage and a decision has been made to proceed into the project delivery stage, would be referred to as a Stage Gate.

Control Points - Decision points that apply within the lifecycle of a Major Capital Project. For instance, the point at which the project workstream transitions from Feasibility to Preliminary Design would be referred to as a Control Point.

Phase Gates - Decision points that apply within the lifecycle of a project. For instance, the point at which the project transitions from the Initiation Phase to the Planning Phase would be referred to as a Phase Gate.

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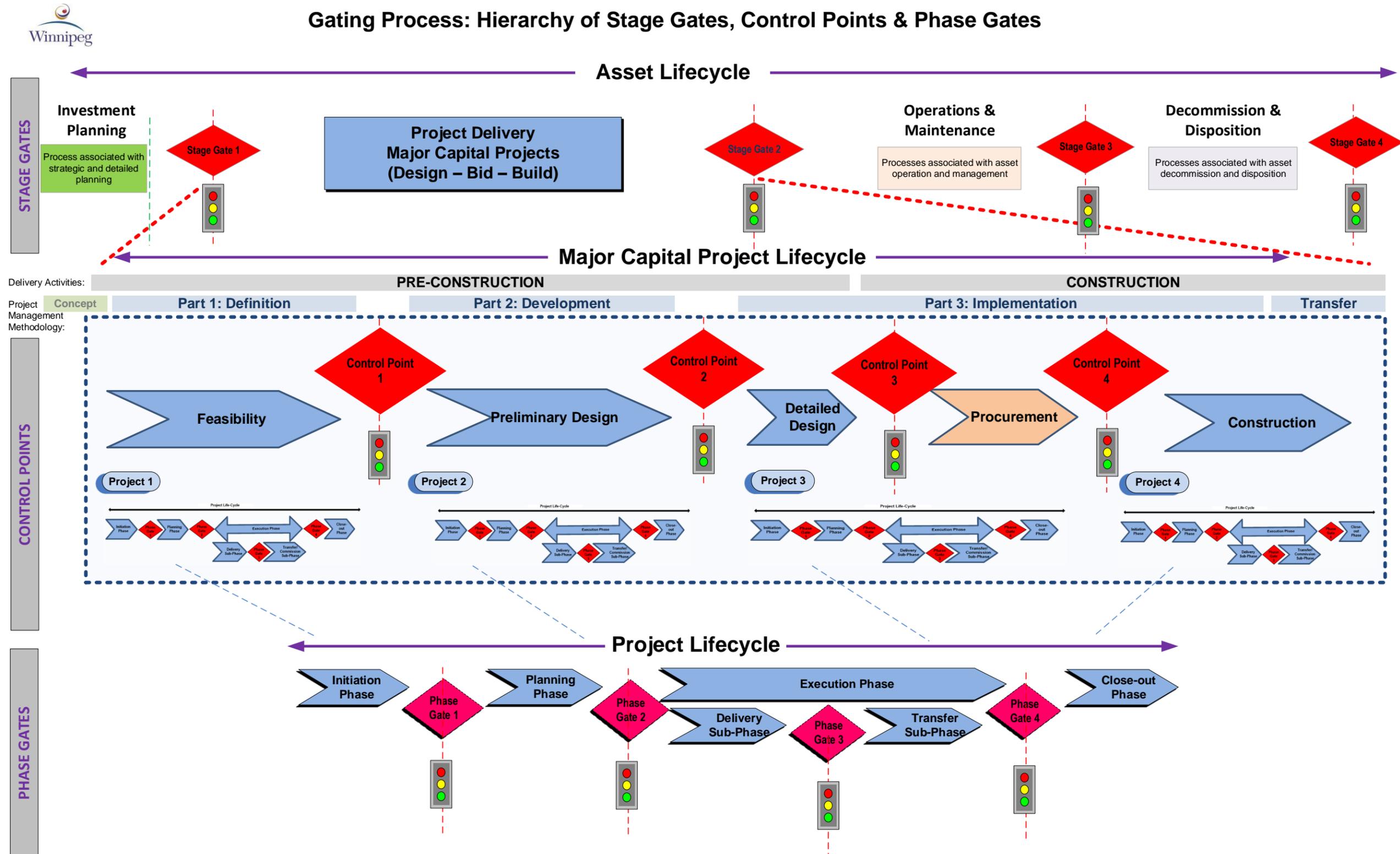
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Figure G-1: Gating Process: Hierarchy of Stage Gates, Control Points & Phase Gates



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Gate

A gate is a key decision and control point that represents a logical point at which assigned decision makers can determine whether to proceed to the next stage, work stream, or phase. These identified gates effectively “open” or “close” the path leading to subsequent work. These gates also provide an opportunity to assess the quality of work to date and to alter the course of the work and take remedial actions if required. In essence, gates serve as quality-control check points.

Projects should be structured to provide for a clear, comprehensive, and objective assessment of how the project is performing against planned objectives at all stages. Key to success is ensuring that resource implications and results are visible to senior leaders at logical predetermined "gates." Gates provide the opportunity for an informed assessment of progress and issues which enables senior leaders to make better decisions on future plans and investments.

These gates are not intended to replace normal project monitoring or assurance measures ie. independent verification and validation, or audits.

Decision-Makers

Decision-Makers assess project information. They should be knowledgeable and well informed about the project, and fully prepared to make necessary and timely decisions. A Decision-Maker could be the Project Sponsor, Business Owners, or Senior Leaders from different functional areas, and are pre-defined for each of the gates.

The Decision-Makers for all Major Capital Projects Control Points are pre-defined as outlined in Figure G-2.

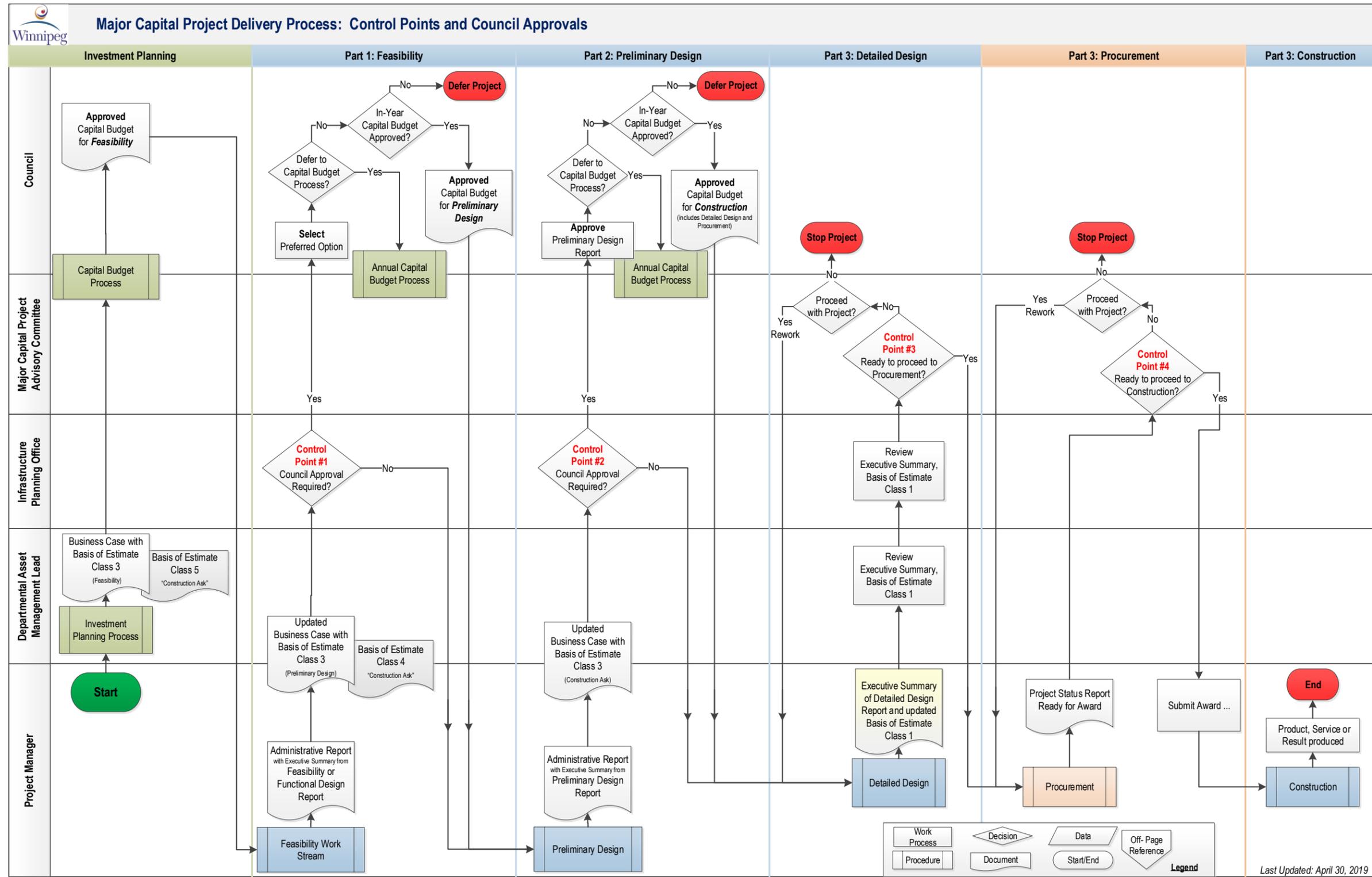
For Control Point 1 and Control Point 2, the decision-maker is the Chief Asset and Project Management Officer (CAPMO), or designate. CAPMO is responsible for seeking Council approval as required.

For Control Point 3 and Control Point 4, the decision-makers are the Major Capital Project Advisory Committee.

For all other capital projects, the decision-makers are defined by the Project Manager and Project Sponsor when planning the gating process during project planning. Ensure to allocate sufficient time in the project schedule to accommodate for this gating process, especially if Council approval is required.

Important to note that the Project Manager should be prepared to proceed thru the decision points with all the pertinent project information and deliverables required for the decision-maker's assessment prior to proceeding through the gate. Being prepared in advance helps expedite the assessment and ensures efficient project time management.

Figure G-2: Major Capital Project Delivery Process: Control Points and Council Approvals



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Gate Description



Control Point 2
Approval Checklist
template

To be developed.

Gates have a common format. Refer to Control Point 2 Approval Checklist template.

The checklist template outlines:

- the purpose of the gate,
- who is assigned as the decision-maker
- expected *deliverables* for the gate.
A set of required *deliverables*: what the project team must bring to the decision point (i.e. the results of a set of completed activities).
- mandatory *exit criteria* for the gate:
These can include questions designed to assess projects quickly, for example: • Does the proposed project align with City Strategic, Master and/or Secondary Plans?
- approval level recommendations
Defined *outputs*:

3. Recommendations:	
Approval Level - check one approval level	
<input type="checkbox"/>	“Go” - Approve to next part of project.
<input type="checkbox"/>	“Go-Conditionally” - Approve to next part of project with conditions.
<input type="checkbox"/>	“Recycle” - Changes required, stay in this part of project.
<input type="checkbox"/>	“Hold” - Hold, pending technical, environmental changes.
<input type="checkbox"/>	“No-Go” - Stop or cancel project.

- who is/are the assigned decision-makers for the recommendation.

4. Decision-Makers:	
Yes	Approval Declaration:
<input checked="" type="checkbox"/>	“I hereby certify that the above deliverable criteria have been reviewed and met.”
<input type="checkbox"/>	Council As per Administrative Report # _____
<input type="checkbox"/>	Infrastructure Planning Office _____ Date: _____
<input type="checkbox"/>	Major Capital Project Advisory Committee As per Major Capital Project Advisory Committee Meeting # _____
<input type="checkbox"/>	Project Sponsor _____ Date: _____
<input type="checkbox"/>	Business Owner _____ Date: _____

Refer to Stage Gate, Control Point, Phase Gate checklists templates. (to be developed)

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