COMMERCIAL IN CONFIDENCE

IT Project Quality Gate Process

WWU-IT-001

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Version: Update V1.6

Date: 21st March 2016

1. Identification

Title	IT Project Quality Gate Process
Document Number	WWU-IT-001
Author	Sian Rowlands
Project	WWU IT BAU
Version date	11 September 2020
Current Version Number	Update V1.6
Filename	WWU_IT_Project_Quality_Gate_Process_V1.6

Confidentiality

2. Distribution List

Copy	Recipient	Role
	Craig Armstrong	Head of IT

Contents

3. Introduction

3.1 Amendment History

Version	Date	Amended By	Nature of Change(s)	Issued To
0.1	29/09/06	Alastair Thomas	Initial Draft version for internal review based on FOMSA document initially drafted by Tim Pardoe	Phil Pike, Bernt Finsveen and Shirley Wheeler
0.2	03/10/06	Alastair Thomas	Following review by Bernt Finsveen	Phil Pike, Bernt Finsveen and Shirley Wheeler
0.3	27/11/06	Alastair Thomas	Following review by Phil Pike and Shirley Wheeler	Phil Pike, Martin Malin, Bernt Finsveen Shirley Wheeler, David Harrison
0.4	01/12/2006	Alastair Thomas	Following review by Martin Malin	Phil Pike, Martin Malin
0.5	08/12/2006	Martin Malin	Updates to align with BAU IT process documents being developed	Phil Pike, David Harrison, Alastair Thomas
0.6	11/12/2006	Martin Malin	Following review by Alastair Thomas	Phil Pike, David Harrison, Alastair Thomas
0.7	14/09/2007	Martin Malin	Updated to reflect actual practice and process developments in H1 2007	WWU IT Team
1.0	09/10/2007	Martin Malin	Final version for Issue	WWU IT Team + Partners
1.1	13/07/2012	Martin Malin	Updated version	WWU IT Team
1.2	19/07/2012	Martin Malin	Updated with review comments	WWU IT Team
1.3	26/07/2012	Martin Malin	Updated with review comments	File
1.4	17/04/2013	Craig Armstrong	Updated wrt imminent service transitions	WWU IT Team+Partners
1.5	22/7/15	Chris John	Updated following review with PMs	WWU IT Team
1.6	21/3/2016	Sian Rowlands	Updated to include Idea to Delivery Process Quality Gates	WWU IT Team

3.2 Purpose

This Project Method document provides the methods, including the various processes and procedures to be applied to all WWU BAU IT Projects.

It also contains the quality framework for the IT Projects that will help to ensure a successful delivery of the department's objectives.

Included are the processes to manage risks, dependencies and issues, together with the methods and practices to be adopted for Release Management, including Change Management, Configuration Control and Documentation Control.

3.3 Usage

This Project Method document describes the processes and procedures that should be adopted for all IT Projects.

3.4 Approval

Date	Approved By	Role	Signature
	Craig Armstrong	Head of IT	

Documents are either approved by physical signatures or via an email clearly stating approval of document with reference to the version.

3.5 Related Documents

Document Ref	Document Name	Version	Description	Relation
1	WWU_IT_001_ Project_Delivery _Process_Diagr am	3	Project Quality Gate Process diagram	A visual aid for this process document
2	WWU_IT_001_ Project Delivery Process - Artefact RACI	2.1	Project Delivery Process RACI	RACI matrix to support project gate process
3	WWU-TST-002 Testing Strategy	1.0	Sets out the approach to testing for all WWU IT projects	A reference document
4	WWU_IT_003 Release Management Process	2.0	Describes the Release Management Process in detail	A reference document
5	TOR	3.0	Terms of Reference Template	Solution Procurement Document
6	Cost Assurance Tool	1	Tool for providing cost assurance for each project for resource and cost.	Project Assurance Spreadsheet

3.6 Owner

Name	Role	Signature	Date	Issue
Craig Armstrong	Head of IT			

3.7 Contributors Panel

Name	Area/Role	Name	Area/Role
Craig Armstrong	Head of IT		
WWU IT Team			

3.8 Review Panel

Name	Area/Role	Name	Area/Role
Craig Armstrong	Head of IT		
WWU IT Team			

4. WWU IT Portfolio Objectives

The IT project portfolio aims to bring all IT New Ideas/Changes across WWU together in a prioritised list for delivery.

Any projects requiring Waterfall Delivery, go through our Idea to Delivery Quality Gate process.

For each New Idea, the WWU IT Business Architects work with key stakeholders around the business, to create and agree a prioritised project delivery roadmap. This roadmap is agreed with the Executive Team, and tracked until delivery, with benefits realisation post closure.

Each project uses the Idea to Delivery Quality Gate process to ensure governance, consistency of artefacts and project quality, from idea through to delivery. This is tracked though the delivery process via weekly Project Status Reports and Project Steering Boards.

Fortnightly Portfolio Boards track progress of the wider portfolio, tracking dependencies and portfolio level risks.

5. Project Quality Gate Process

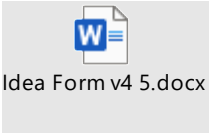
5.1 Gate 1

5.1.1 Aim

Ensure any new project idea has a clear definition, sponsor/owner, business priority with accompanying score.

5.1.2 Artefact

Fig 1. New Idea Form



5.1.3 Process

1. New Idea Form template completed by New Idea sponsor, outlining required outcome, supporting details, executive sponsor and business case.
2. New project idea is priority scored according to our Priorities & Values scoring matrix (see Fig 2.).
3. New Idea form is submitted to Business Architects for review.
4. New Idea is collated and checked by the Business Architect, with scores and business case compared across the portfolio.
5. Decision to proceed/not proceed is determined between IT and Senior Managers.

Fig 2. Priorities & Values Scoring Matrix

WWU Values	Score	*Comment*
	1 2 3 4 5	
	1 2 3 4 5	
	1 2 3 4 5	
	1 2 3 4 5	
	1 2 3 4 5	

5.1.4 Outcome

Completed New Ideas form and decision on whether to progress.

5.2 Gate 2

5.2.1 **Aim**

Ensure detailed information regarding business case, scope of requirements, and key stakeholders.

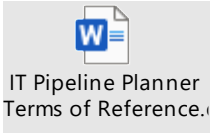
5.2.2 **Artefact**

New Idea Form with supporting documentation.

5.2.3 **Process**

1. New Idea is entered into the Portfolio Tracker to assign a Project ID.
2. New Idea Kanban card is added to the IT Pipeline Kanban Board (see Fig. 3)
3. Detailed requirements gathering and analysis is completed through workshops and meetings with key stakeholders.
4. Requirements and scope of project is agreed.

Fig. 3. IT Pipeline Planner Terms of Reference



5.2.4 **Outcome**

Documented list of requirements and scope.

5.3 Gate 3

5.3.1 **Aim**

Ensure solution adheres to IT Strategic Framework via weekly Architects Review Board.

5.3.2 **Artefact**

1. New Idea Form
2. Requirements Documentation

5.3.3 **Process**

1. New Idea is reviewed in weekly Architects Review Board meeting.
2. Requirements are matched to existing capabilities and best route for strategically matched solution is advised i.e. leverage existing technology or procure new.

5.3.4 **Outcome**

Agreed solution direction.

5.4 Gate 4

5.4.1 **Aim**

Gain Exec approval to deliver prioritised IT capex project (for minor changes see Change Impact Advisory Process).

5.4.2 **Artefact**

- New Idea Form
- Terms of Reference
- IT Projects Roadmap (Prioritised)

5.4.3 **Process**

1. A Terms of Reference document is written using TOR Template.

5.4.4 **Outcome**

Terms of Reference that states requirements, scope, preferred architecture, expected outcome, process expectations and conditions of the procurement event, including scoring mechanism and agreed dates.

5.5 Gate 5

5.5.1 **Aim**

Pass “Idea” to be planned for delivery through appropriate change mechanism.

5.5.2 **Artefact**

1. New Idea Form
2. Supplier Terms of Reference *or Invitation to Tender or Request for Proposal*
3. Winning Supplier Response
4. Investment Paper
5. Cost Assurance Document
6. *Procurement Event*

5.5.3 **Process**

The business case, any winning supplier response and the cost assurance tool are used to generate an Investment paper for submission to the Business Operating Committee.

The Business Operating Committee reviews the paper for final approval so contracts may be signed, and the project initiated.

A provision for Change is added to the estimates provided by partners and suppliers to ensure that the budget approved by the Operating Committee is adequate for all eventualities; this will be the allocated Cost Tolerance that is to be managed by the Project Manager and will normally be +/- 10 percent of the total cost.

If the project involves any Personal Data (as defined by the Data Protection Act) a Privacy Impact Assessment will also be required within the paper.

5.5.4 **Outcome**

Project ready for initiation.

5.6 Gate 6

5.6.1 **Aim**

Ensure Project is fit to commence, has realistic goals, funding, timeline.

5.6.2 **Artefact**

1. Statement of Work (SoW) or Impact Assessment (IA)
2. Financial Tracker
3. Framework Orders
4. WWU PID
5. Communication Plan
6. *Kick Off Meeting (agree artefacts to be delivered)*

5.6.3 **Process**

1. Projects will normally be initiated from the IT Roadmap in priority order, although external requirements or other timing constraints could lead to changes in the sequence. New projects will be added to the IT Roadmap if they are identified due to new business requirements.
2. Each Project will typically be led by one of WWU's IT partners and have its own timetable to track progress against plan, reporting on a weekly basis.
3. When a proposal has been accepted it will be formalised as a Statement of Work under the framework contracts with WWU's IT partners or suppliers. The proposal will set out key assumptions, risks and the organisation structure specific to the project as well as an outline plan and proposed costs, usually on either a Fixed Price or Capped Time & Materials basis.
4. Every Project is required to obtain formal sign-off of key deliverables; projects may proceed based on e-mail confirmation of sign-off but should also obtain physical signatures.
5. The Project plans are the responsibility of the Project Lead and are mandatory for all projects. The WWU Project Managers are responsible for ensuring these plans are created and maintained, based on the principal milestones agreed during Project Initiation stage.
6. The budget for all Projects is owned and managed by the Head of IT. IT Capex financial reporting and forecasting is owned by Project Manager who ensures that spend on individual Projects is within the amount approved by the Operating Committee. Third party vendors should manage their own budget within their own contractual terms and conditions.
7. If the project involves any Personal Data (as defined by the Data Protection Act) a Privacy Impact Assessment may be required.
8. It is the responsibility of each Project to define the processes and procedures that each individual Project should adopt to ensure successful delivery of their deliverables within the overall project, including:
    - Testing strategy, including acceptance criteria, defect resolution. These are to be underwritten by the WWU IT Project Lead
    - Technical / code reviews

- Configuration Management
- Documentation strategy, including structure within document systems and backups etc
- Team structure
- Roles and Responsibilities
- Tool sets
- Management of their own logs (issue, assumptions or anything else to run the Project on a day to day basis). Risks and issues etc that require broader visibility should be flagged to the IT heads of management.

5.6.4 **Outcome**

Project initiation complete.

5.7 Gate 7

5.7.1 **Aim**

Ensure project Design aligns to strategy and suitable internal Project Governance is in place. The project can proceed in building the required product.

5.7.2 **Artefact**

1. Service Transition Documentation Pt.1
2. Design Documentation (e.g. Solution Design)
3. Project Plan
4. Project Status Report
5. RAID Log
6. *Project Approvals (Changes)*
7. *SAP Blueprint (SAP Only)*

5.7.3 **Process**

During a project, several logs may be used to hold project control information. The following are the logs that may be produced and maintained within the project (together with the section that they are described, if applicable):

- Risks / Issues (Section 5.7.3.1, 5.3.7.2)
- Dependency (Section 5.7.3.3)
- Change Request Log (Section 5.7.3.4)

5.7.3.1 Risk Management

The aim of the Risk Management Process is to ensure that all risks to the delivery and successful operation of any project are controlled through a consistent process of analysis (identification and recording), assessment (quantification and calculation) and control (mitigation, contingency, reporting and review). It provides a framework of goals to be achieved in order to be assured that the inherent uncertainties associated with the Project are being identified and controlled appropriately.

The process will ensure that Risk Management is incorporated into the project as an on-going day-to-day activity, not something that is done once only.

The principles used in driving and operating the processes includes the following:

- Gain early visibility of risks and issues
- Analyse risks and issues from a Project and an overall project perspective, using weekly reviews, questionnaires and workshops
- Prioritise based on likely/actual impact on successful delivery of the project.
- Measure trends using key performance indicators to allow management action as appropriate.

The Project Lead has overall responsibility for project risks. The Project Manager and risk owners are responsible for management of the risks on a day to day basis, including:

- Ensuring the risk log is kept up to date

- Reviewing the risks on a regular basis with the responsible Project Lead, including the status of the risks, together with mitigation activities
- Providing input and status of risks to the Director of IT & Procurement in preparation for review meetings
- Ensuring the ownership of risks is communicated and the agreed mitigation activities are being followed through.

Risks are identified in the following ways:

- By the Project Leads or team members
- As part of project risk reviews
- During Project Board or IT Programme Board meetings
- At any other time in the project

Following identification of a risk, an assessment is performed to determine the impact the risk would have on the project if it occurred, together with the probability. This is initially performed by the risk originator and then by the risk owner, once they have taken responsibility. In addition, mitigation activities are identified.

Risk reviews include review of existing risks, closing if applicable and identification of new risks. Review of existing risks includes reviewing the overall status, current impact / probability assessment, mitigating actions etc.

5.7.3.2 Issue management

The aim of the Issue Management process is to ensure that all issues relating to the delivery and successful operation of the project are controlled through a consistent process of analysis (identification and recording), assessment (quantification and calculation) and control (action plan, contingency, reporting and review).

The process will ensure that Issue Management is incorporated into the project as an on-going day-to-day activity, not something that is done once only.

An issue is an event which the project is facing now and must be resolved. A risk is something that 'might' occur on the project. If it does occur, then the risk becomes an issue.

The Managers, Project Leads and issue owners are responsible for management of the issues on a day to day basis.

Issues are identified in the following ways:

- By the Project Leads or team members
- During Project Board or IT Programme Board meetings
- And at any other time during the project

Following identification of an issue, an assessment is performed by the issue originator and then the issue owner, who is responsible for owning the determination of the actions required, next steps and impact on the project.

Issue reviews include review of existing issues, closing them if applicable and identification of new issues. Review of existing issues includes reviewing the overall status, current priority assessment together with corrective actions.

5.7.3.3 Dependency Management

In an ideal situation a complex environment that has interdependencies between Projects would have project plans that are linked to automatically update any key dates in the other Projects' plan. However, some of the visibility of the impact on later linked activities can be lost using this method.

The dependency management process is intended to ensure that all key deliverables required by a Project that come from another Project or external party are effectively tracked and delivery dates are aligned between the two stakeholders.

5.7.3.4 Change Control / Management

All requests for a change to the baseline of the Project are subject to the Change Management Process.

The purpose of the Change Control process is to ensure that the impact of a proposed change is fully understood from a commercial, financial, technical and operational perspective before being authorised.

Changes of the following nature will require a change request:

- Changes to baselined documentation
- Changes to baselined project plans
- Changes to cost
- Changes to timescales

Note that in addition to a change request being raised for increases in scope or requirements, a change request should also be raised for a reduction in scope or requirements

The Change Control / Management process has 2 purposes:

- To ensure that prospective changes to a baseline are raised, assessed for impact, authorised, implemented and closed in a consistent and controlled manner. The process provides a single standardised Change Management procedure to efficiently and promptly control and manage changes.
- To ensure that if a change is requested in a specific area, the knock-on effects to other areas of the project are understood.

5.7.4 **Outcome**

Ensure robust governance is in place.

5.8 Gate 8

5.8.1 **Aim**

A suitable product has been built through the project and ensure supplier has Quality Assured deliverable and is ready for UAT.

5.8.2 **Artefact**

1. SIT Exit Report (or other supplier test evidence)
2. QA environment RFC (for Infra related change – not SAP)

5.8.3 **Process**

This section addresses the processes put in place to support the project lifecycle, in particular

- Configuration Management
- Release Management
- Defect Reporting

Configuration Control and Management is an essential process allowing project management, quality management, and the project primary processes to proceed in a controlled manner. It provides the tools and processes for storing and controlling all of the products of those processes.

The various areas of Configuration Control are:

- Storage and version control of documentation
- Management of builds of software developed by the various vendors.
- Configuration of the SAP environment.
- Storage of configuration of the hardware required and used in the project.
- Management of the relationships between all components and configuration items in the project, to ensure it is known which products would be affected should another product be changed in some way.
- Release Management

Release Management covers the process to control releases from one environment to another and from development environments, to test, and then into production. This is coupled closely with Configuration Management.

The Configuration Control and Management function is responsible for holding configurations of releases and then releasing them, as requested, to the various environments.

The process owner for this function is the WWU Release Manager.

A resource will be assigned within the Project as the overall Project Test Manager with the following responsibilities:

- Oversee the testing strategies of each individual Project

- Create a testing strategy for the overall project, including:
    - A policy statement on testing
    - Testing roles and responsibilities
    - A testing lifecycle, which ensure that the appropriate types of testing are undertaken at each stage through the project lifecycle
    - Testing tools
    - Handling of defects
    - Methods for test reporting and analysis of results
- Ensure that there is sufficient test coverage across the whole project

The overall Test Strategy for WWU is contained in the document WWU-TST-002 Testing Strategy V1.0 (Ref 3 in Section 3.5 above).

The Test Strategy for each individual Project will include the definition of the following processes:

- Overall testing process and which types of testing are applicable (e.g. FAT, SAT, SIT, IST, UAT etc.)
- Defect management and reporting

5.8.4 **Outcome**

Evidenced quality of delivered solution.

5.9 Gate 9

5.9.1 **Aim**

Ensure project is ready to GO-LIVE and adheres to suitable Support governance. UAT has been completed and signed.

5.9.2 **Artefact**

1. UAT Sign Off
2. RFC Production Environment
3. Service Transition Documentation

5.9.3 **Process**

The approach to Quality on the project is to be pragmatic and provide the necessary 'fit for purpose' quality controls to ensure the successful delivery of the program.

Quality Assurance (QA) will ensure that the project is implementing the solution in accordance with industry practices and standards, together with the processes and procedures put in place, specifically for the project.

It is the responsibility of the project and the Project Manager to define the specific QA processes to be used on a specific project as they will generally be defined by the partner or supplier's own organisation.

WWU would expect that the following areas of Quality Assurance are applied:

- Documentation Reviews: This is on an on-going basis throughout the project lifecycle to ensure that specific / key documents produced are of a certain standard.
- Technical / Code Reviews: Technical or Code reviews are performed throughout the project to ensure that implementation is proceeding correctly. The Project Lead is responsible for defining the necessary processes and procedures and documenting these reviews.
- Milestone / Gateway Reviews: Some projects may have gateway reviews to determine if a project can continue or not. In addition, these may be at points where key technical decisions have to be made, which includes whether key deliverables have been completed prior to moving to the next stage. These reviews are typically performed internally within the project.
- Quality Audits: These audits are typically external to the project to ensure that the project is adhering to the pre-determined standards and processes.

Quality management on projects incorporates the following:

- Quality engineering: ensuring that the project processes are such as to create systems and products of adequate quality.
- Quality control: checking that the system or product is of adequate quality, by performing quality reviews.
- Quality assurance: planning for QA activities carried out on the project by the relevant QA function, as described in this section.

Management of quality can be seen as one aspect of project management. Much of the quality management activity on a project is not identified explicitly as such – it is built in to all the other processes carried out.

The overall responsibility for Quality management and quality assurance is held by the Head of IT and the WWU IT Managers.

5.9.4 **Outcome**

Evidenced user acceptance testing and accompany service documentation ready for go live.

5.10 Gate 10

5.10.1 **Aim**

Project Closed and in BAU Support.

5.10.2 **Artefact**

1. PIR
2. Benefits Dashboard
3. Service Transition Documentation
4. Production Service RFC

5.10.3 **Process**

Each project approved at Operating Committee should have an entry in the Portfolio Tracker. It will normally only be possible to realistically measure or assess the extent of achievement of the planned benefits when the project solution has been live for some period. When the time is appropriate a Benefits Realisation survey is issued to the Project Sponsor to compare expected benefits with achieved benefits.

5.10.4 **Outcome**

Project closed and in support, with benefits realisation completed at appropriate point.