

HERTFORDSHIRE COUNTY COUNCIL

PROJECT STAGES & GATEWAYS

At the 2 April Local Transport Body Board meeting, and action was identified related to the gateway process and reporting of project progress against those milestones.

The LTB Assurance Framework sets out the following -

“..The Hertfordshire LTB will adopt the DfT’s staged process for reviewing and approving Major Schemes. This is as follows:

- *An initial approval stage, **Programme Entry (PE)**, to provide confidence to the scheme promoter that funds will be available and enable them to seek any necessary statutory powers.*
- ***Full Approval (FA)** – an irreversible funding decision to be made when the LTB (and subsequently the accountable body) has full confidence that legal powers, and any third party contributions are in place and costs are contracted.*
- *In some cases there may be an interim stage - **Conditional Approval (CA)** – usually following the granting of statutory powers but prior to commencement of a procurement process. CA may be appropriate in schemes where a commitment to funding is sought to facilitate continued financial investment in a project where complex or lengthy procurement procedures need to be completed before FA can be achieved. CA is in effect a commitment to fund, subject to cost estimates and risks remaining unchanged as well as the scheme being ready to commence within a certain period...”*

A full description of how these approval stages are incorporated within the overall HCC “Project Gateway” approach is set in the following document.

For the Major Schemes currently being progressed – A120 Bypass (Little Hadham) and Flood Alleviation Scheme and A602 Improvements (Stevenage to/from Ware) – the anticipated dates at which the above ‘approval stages (gates) are expected to be reached are –

A120

- Conditional Approval – Summer / Autumn 2016 (dependant on timescale of Statutory Processes, assuming for PI etc)
- Full Approval – Summer 2017

A602

- Conditional Approval – Spring /Summer 2016 (dependant on timescale of Statutory Processes, requirement for PI etc)
- Full Approval – Spring 2017

Regular progress reporting will be continued to the LTB leading up to and between these Gateway stages.

HERTFORDSHIRE COUNTY COUNCIL
PROJECT STAGES & GATEWAYS

Project Stages & Gateways	
Stages	Gateways
Stage 1: Initiation	
	Gateway 1: Inception
Stage 2: Option Testing	
	Gateway 2: Feasibility
Stage 3: Preferred Option Business Case	
	Gateway 3: Programme Entry
Stage 4: Design	
	Gateway 4: Conditional Approval
Stage 5: Procurement	
	Gateway 5: Final Approval
Stage 6: Delivery	
	Gateway 6: Completion
Stage 7: Maintain & Operate	

GATEWAY REQUIREMENTS

1 Gateway 1: Inception

1.1 Potential projects are identified during the Project Initiation stage. The project promoter will be required to provide evidence that the following criteria have been met within its request to pass through Gateway 1:

- Need Established
- Objectives Identified
- Policy Context In Place
- Options for Testing Identified
- Option Testing Methodology Identified

- Governance Framework Completed Quantitatively for Stage 2 and indicatively for later stages where possible.
- Indicative Programme to Gateways 2,3,4,5 & 6 identified
- Budgets, Funding and Cashflow in place for Stage 2.
- Consultation and Communication Strategy for Stage 2 agreed

2 Gateway 2: Feasibility

- 2.1 The options identified during Stage 1 are tested during Stage 2, with the aim of identifying the preferred option.
- 2.2 The project promoter will be required to provide evidence that the following criteria have been met within its request to pass through Gateway 2:
- Options Tested
 - Preferred Option Selected and Agreed
 - Consultation and Communication Strategy for Stage 3 Identified
 - Scope and Scale of Business Case Appraisal Identified and Agreed
 - Governance Framework Completed Quantitatively for Stage 3, Qualitatively for Stage 4 and Indicatively Stages 5,6 & 7
 - Budget, Funding & Cash Flow Requirements for Stage 3 in place
 - Indicative Budget, Funding & Cash Flow Requirements for Stages 4,5,6 & 7 Identified
 - Updated Programme to Gateways 3 to 6

3 Gateway 3: Programme Entry

- 3.1 The business case for the project is built and reviewed during Stage 3 together with the creation of key project building blocks.
- 3.2 The project promoter will be required to provide evidence that the following criteria have been met within its request to pass through Gateway 3:
- Business Case approved following independent review.
 - Updated Budget, Funding and Cashflow Requirements Identified for Stage 4
 - Indicative Budget, Funding and Cashflow Requirements Identified for Stages 5, 6 & 7
 - Approvals to Seek Statutory Powers Secured
 - All Legal Agreements Identified
 - Consultation and Communication Strategy for Stage 4 Identified
 - Post Completion Monitoring Regime Identified
 - Governance Framework Completed Quantitatively for Stage 4 and Qualitatively for Stages 5, 6 & 7

4 Gateway 4: Conditional Approval

- 4.1 Stage 4 involves the completion of detailed design and the attainment of all necessary approvals prior to starting the procurement process.
- 4.2 The project promoter will be required to provide evidence that the following criteria have been met within its request to pass through Gateway 4:

- Statutory Powers Achieved
- Asset Register in Place
- Project Risk Register and Quantified Risk Register in Place
- Updated Budget, Funding and Cashflow Requirements Identified for Stage 5, 6 & 7
- Health & Safety Duties Identified
- Governance Framework Completed Quantitatively for Stages 5, 6 & 7

5 Gateway 5: Full Approval

- 5.1 Stage 5 involves the procurement of the scheme, typically through a tender process.
- 5.2 The project promoter will be required to provide evidence that the following criteria have been met within its request to pass through Gateway 5:

- Tenders Returned and Evaluated
- Risk Register and QRA updated
- Funding Approvals Secured
- Legal Agreements in Place
- Governance Frameworks Completed Quantitatively for Stages 6 & 7
- Contract Management Governance Identified
- Communications Strategy for Stage 6 identified

6 Gateway 6: Completion

- 6.1 Stage 6 involves the completion of the scheme and the transfer into operation and maintenance
- 6.2 The project promoter will be required to provide evidence that the following criteria have been met within its request to pass through Gateway 6:

- Assets Adopted, Transferred and Accepted into Maintenance, as appropriate
- Contract Maintenance Period Completed
- Final Accounts Settled
- LEP & LTB Funding Responsibilities Discharged
- Monitoring Regime in Place