Tollgate Review Process

Process Flow

Prepare for Tollgate Review

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1  Status of Project Work, Open Issues → 2  Perform Risk Assessment → 3  Develop Agenda → 4  Schedule Meeting & Distribute Agenda
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Conduct Tollgate Review

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5  Conduct Tollgate Review
6  Mgt Approval?
   Yes, with exceptions → 7  Document Commitment and Exceptions & Assign Responsibilities
   No → 8  Document Issues & Assign Responsibilities
   Yes → 13  Document Approval
9  Stop Project
10  Resolve Exceptions, Issues
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Tollgate Review Follow-Up

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11  Mgt Approval?
    Yes → 13  Document Approval
    No → 12  Call Project Ref Flag Meeting
14  Document Lessons Learned → 15  Distribute Tollgate Review Documentation
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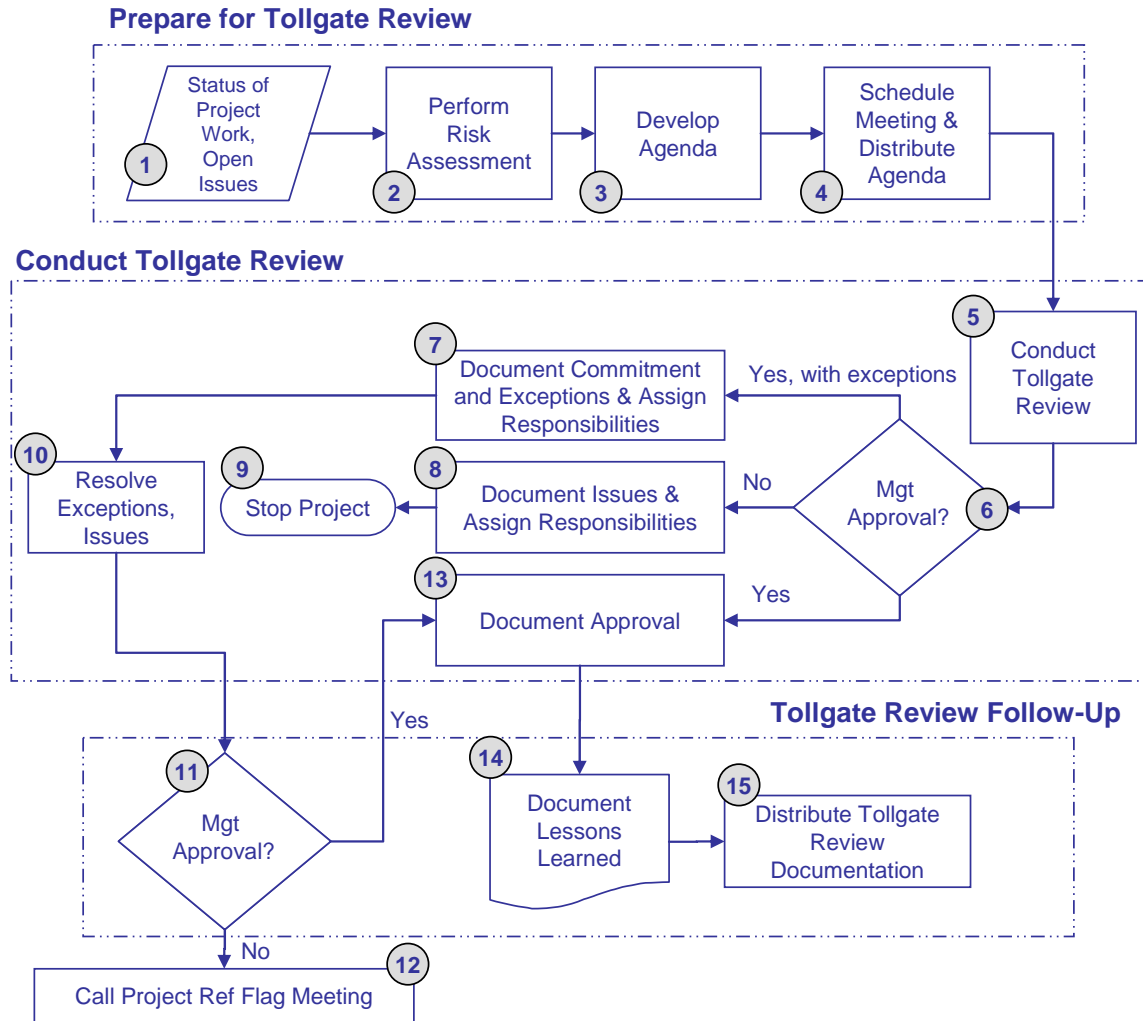
Process Flow Details

1. Collect Status of Work Products, Open Issues Project team members are responsible for providing regular updates on the status of project work and related issues to the project manager. These updates and open issues provide the basis for determining the likelihood of success in moving forward with the project.

2. Perform Risk Assessment The Risk Assessment is performed by the team prior to the Tollgate Review. The results are used by the team to identify areas that require resolution before the Tollgate Review.

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3. Develop Agenda Create an agenda geared toward action. Spend no more than ¼ of the time on project status. Spend the rest of the time reviewing critical issues and developing resolution plans.

4. Schedule Meeting and Distribute Agenda Because management attendance is required, it is critical to schedule the Tollgate Review with enough lead-time to reduce schedule conflict.   The agenda should cover only those items requiring management involvement: status and projection of project objectives and high-risk project work products.

5. Conduct Tollgate Review Use the following bullet points as a guideline for developing the agenda and managing the flow of the Tollgate Review:
- Utilize a meeting protocol, e.g. CARPO
  - Code of conduct
  - Agenda (distributed before meeting)
  - Roles and responsibilities
  - Parking lot (Issues / comments that need to be captured for action outside of the meeting)
  - Objective (What's to be accomplished by the meeting)
- Review status and projected status of project objectives
- Declare project team's recommendation
- Identify and review items requiring management review (typically, high-risk items)
- Request management approval
- Identify management exceptions and issues
- Develop resolution plan

6.   Management Approval One of three levels of management approval will be obtained: 1) Approval with no exceptions. The team is authorized to continue the project. 2) Approval with exceptions. The team is authorized to continue the project; however, management has exceptions that must be resolved within 30 days. 3) No approval. The team is not authorized to continue until the issues identified by management are resolved.

7.   Document Approval, Exceptions, Assign Responsibilities When there is management approval with exceptions, the project manager will document management's exceptions and facilitate assignment of responsibilities for resolution. Resolution must occur within 30 days when there will be a reconvening of the Tollgate Review meeting and a final request for management approval.

8.   Document Issues, Assign Responsibilities When there is no management approval, no additional expenditures on the project are allowed until the issues that management has (documented by the project manager and

assigned to individuals in the meeting) are resolved. Resolution should occur within a reasonable time frame (30 days on a large project) when there will be a reconvening of the Tollgate Review meeting and a final request for management approval.

9. Stop Project When there is no management approval, no additional expenditures on the project are allowed and all work must stop. The project manager will notify all affected parties.

10. Resolve Exceptions, Issues All exceptions and issues identified in the Tollgate Review must receive the highest priority by the assignees so that they may be resolved within 30 days.

11. Management Approval After all issues and exceptions are resolved or 30 days (whichever comes first), the Tollgate Review is reconvened and a final attempt to get management approval is made.

12. Call Project Red Flag Meeting If management approval cannot be obtained, a Project Red Flag Meeting is called by the project manager. This "last resort" meeting calls on executive management to assist in resolving project issues.

13. Document Approval When there is approval with no exceptions, this will be documented by signature of the management representatives present.

14. Document Lessons Learned In order to assist future teams in conducting Tollgate Reviews, lessons learned in the conducting of the Tollgate Review are identified by the project team and documented by the project manager.

15. Distribute Tollgate Review Documentation All information that was created or updated is distributed to the team members and other stakeholders as necessary.