



# **Liverpool Hope University**

## **Project Management**

### **Framework**

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# 1 Background

## 1.1 Scope

This framework covers all **major** University projects, however separate templates will be utilised for Estates projects. A major project normally may singly or in combination comprise of a significant complex undertaking, involve a significant amount of investment, time, and stakeholder involvement and have significant reputational and risk impact. It will normally have a distinct link to one of the strategic plan pillars.

## 1.2 Delegated Responsibility

The University Project Governance Group (UPGG) has delegated responsibility to ensure the effectiveness of the Framework implementation. Where defined by financial regulations, proposals that require University Council approval will be submitted accordingly for agreement, details of the delegation levels can be sourced at

<https://www.hope.ac.uk/media/aboutus/governancedocuments/WEB%20Hope%20Scheme%20of%20Delegation.pdf>.

UPGG will report to relevant Council committees.

## 1.3 The Project Management Framework

The Project Management (PM) Framework has been developed based on 3 key principles:

- **Standardised** – it facilitates use across all Hope's function areas and all projects, supporting competence and continuous improvement in project management.
- **Inclusive** – it addresses all aspects of the project lifecycle from project initiation to completion.
- **Aligned** – It supports key University Strategic aims.

## 1.4 Additional Support

Along with this framework the following additional support is available:

- **Project Framework Page** – Contains further guidance and advice
- **Training**

**Process Document Templates** - Provide support in completing key project documents.

<https://www.hope.ac.uk/gateway/staff/peopleservices/projectmanagementframework/>

Where it is relevant and appropriate, Internal Audit will employ the PM Process in its review and assessment of major projects.

# 2 Introduction

The Association of Project Management defines PM as 'the application of processes, methods, skills, knowledge and experience to achieve specific project objectives according to the project acceptance criteria within agreed parameters. Project management has final deliverables that are constrained to a finite timescale and budget.'

Projects are separate from business-as-usual activities and occur when an organisation wants to deliver a solution to set requirements within an agreed budget and timeframe. This should not be taken to imply that project and operational management should function in isolation - quite the reverse. Close co-ordination and co-operation are essential to resolve project and business as usual contentions.

This framework is to be used for projects that are defined as significant, after completion of the Assessment Tool, for identifying major projects attached at **Appendix one** and available as a template to be completed with the proposal document.

## 2.1 Project Management Process

The most effective way of managing a project is to utilize 'Project Lifecycle Stages'. Lifecycle Stages enable the Project Sponsor, Manager and Team to better manage the overall project by taking a logical, step-by-step approach and focusing on the key activities and deliverables associated with each Stage.

The Project Lifecycle comprises six Stages, each with clearly defined objectives, deliverables and exit criteria. The Stage exit criteria form a Gate Approval between Stages. By meeting the Stage exit criteria, the project is in a position to be approved to progress to the next Stage in the Project Lifecycle.

Figure 1 shows the Project Lifecycle Stages and the core objectives and deliverables of each Stage.

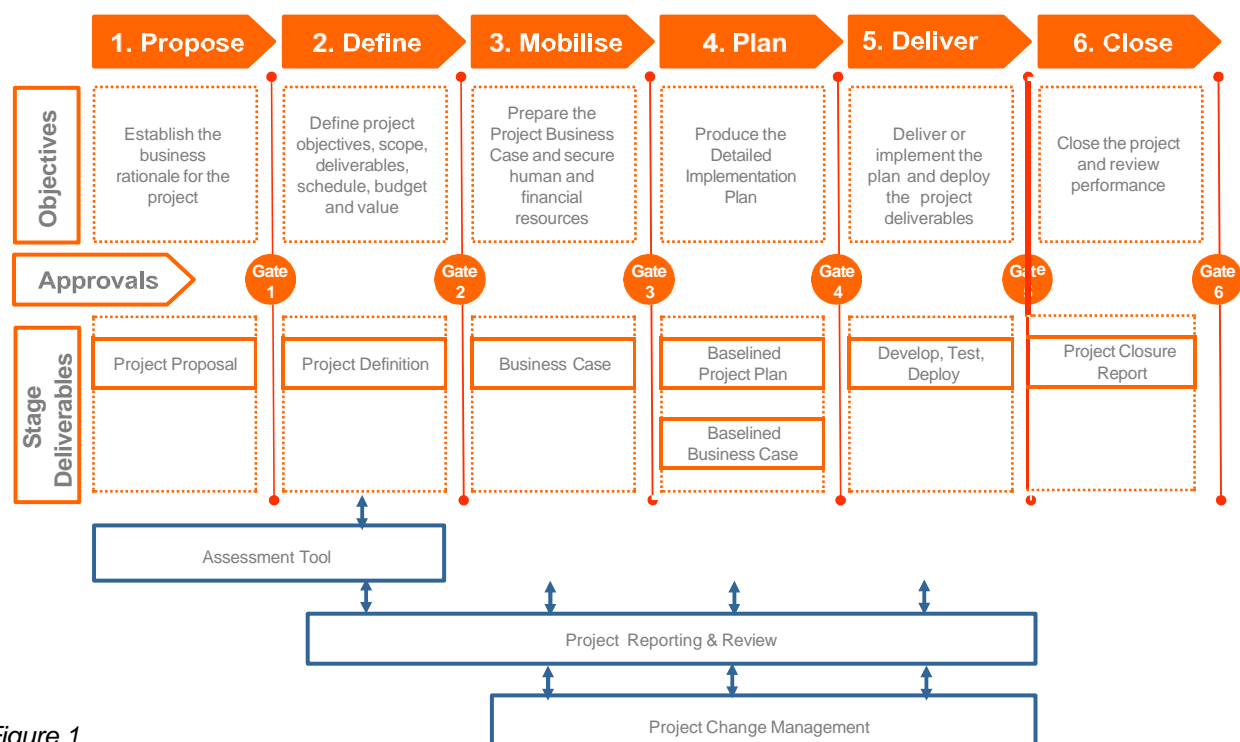


Figure 1  
Project Lifecycle - Objectives & Deliverables

The following sets out the roles of the main project participants and provides a summary of the purpose and deliverables of each Lifecycle Stage. A more detailed description of roles is provided on the Project Framework Page (link) and a more detailed explanation of the Lifecycle Stages is provided at Appendix 2 of this document.

## **2.2 Main Project Participants**

The PM Process defines 5 key participants in the management and oversight of a project. These are:

### **Sponsor**

The Sponsor is accountable for the successful completion of the project.

### **Project Manager**

The Project Manager is responsible for delivering the overall project on time, within budget and to agreed specification.

### **Work-stream Manager**

The Work-stream Manager is responsible for delivering a component Work-stream of the overall project on time, within budget and to agreed specification.

### **Supply Stakeholders**

Supply Stakeholders are responsible for providing services to the project - most notably resources and completion of project Work-streams. They are accountable for the successful completion of project Work-streams on time, within budget and to agreed specification, and are a key approving authority of the Project Definition and Plan. Supply Stakeholders may also comprise a representative from project supplier/vendor(s).

### **Demand Stakeholders**

Demand Stakeholders are responsible for specifying business requirements and using the capabilities created by the project and realising project benefits. They are a key approving authority of the Project Definition and Business Case. Ultimately the success of a project is dependent on the extent to which Demand Stakeholders realise the benefits targeted by the project.

## **2.3 Propose Stage**

This is the first Stage in the Project Lifecycle. A critical deliverable within this stage is the production of a Project Proposal. This document sets out, in as much detail as possible, the business rationale for undertaking the project. It also requires the assessment matrix to be completed to identify whether the project should be defined as a major one. Project Proposals are an invaluable tool, with which the University can assess and prioritise competing corporate and local projects. From a project management perspective, the key exit criterion from the Propose Stage is agreement to initiate the project. This means that the project has been prioritised, and the Project Sponsor, Project Manager and resources for the Define Stage have been confirmed and assigned. All project proposals should be approved by the University Project Governance Group (UPGG). It should be noted that where defined by financial regulations, proposals that require Council approval will be submitted accordingly for agreement.

## **2.4 Define Stage**

This is the second Stage in the Project Lifecycle. Building on the Project Proposal, the Define

Stage is focused on defining in substantial detail the purpose, scope and deliverables of the project.

The key output from the Define Stage is the Project Definition which details the objectives, scope, deliverables, solution design, resources (internal and external), costs and benefit KPIs (Key performance Indicators) of the project. The project structure, reporting and review procedures are also outlined in the Project Definition, and the project local governance input comprising Demand (beneficiary) and Supply (contributing) Stakeholders, is formally established at this Stage.

As the Project Definition is the definitive statement of the project purpose and scope, it is essential that it is thoroughly reviewed and approved by key Stakeholders and that any subsequent change or elaboration in the Mobilise, Plan or Execute Stages are reflected in the Project Definition through Change Control. Again, approval needs to be obtained by the UPGG before movement to next gateway.

## **2.5 Mobilise Stage**

The Mobilise Stage is the third Stage in the Project Lifecycle and is focused on completion and approval of the Project Business Case and on securing project funding and project resources (namely, the assignment of planning resources and agreements on future resources to complete the project). Where appropriate supplier/vendor selection and outline costs are finalised.

The Project Business Case sets out the costs and resources required to deliver the project, the benefits to be derived from it, and a financial appraisal of proposed project investment. The Business Case must provide clear, quantified statements on costs, resources and benefits. As with the Project Definition, the Business Case must be thoroughly reviewed and approved by the Project Sponsor and Stakeholders and signed off by UPGG.

The key exit criteria from this Stage are: an approved Business Case secured funding, assignment of resources to undertake detailed planning, and formal agreements on future resource availability to complete the project.

## **2.6 Plan Stage**

The Plan Stage is the fourth Stage in the Project Lifecycle, and is focused on production of a detailed Project Plan setting out all project activities and timelines. There are multiple components in the Project Plan, including: the Project Schedule, Communications Plan, Scope Management Plan, Resourcing Plan and Benefit Management Plan.

Within this Stage, implementation activities and timeframes are baselined for ongoing Reporting & Review. Additionally, where appropriate, supplier/vendor work plans and contracts are finalised and approved and finally the project Business Case is updated to reflect any changes arising from detailed planning and is also baselined for cost and benefit tracking.

Planning is a critical component of all projects. Investing time and effort at this Stage will significantly enhance the prospects of delivering the project on time, in budget, and of realising targeted benefits.

The key exit criteria from this Stage are a baseline Plan and Business Case, and the assignment of resources to execute the plan.

## **2.7 Deliver Stage**

The Deliver Stage is the fifth Stage in the Project Lifecycle and is focused on the development, testing and deployment of the project solution(s) and deliverables specified in the Project Definition and Project Plan. The thoroughness and quality of Project Definition and Planning will pay dividends in project execution.

The Project Manager and Team's focus on Reporting & Review is of particular importance in this Stage, as is the flagging of any required changes on costs, risks and deliverables to the Project Sponsor and Stakeholders. Failure on either of these fronts will cause significant issues in cost management, project sign offs and benefit realisation.

The key exit criterion from this Stage is acceptance of project deliverables by the Project Sponsor and Demand Stakeholders who will be accountable and responsible for realising the benefits of the project.

## **2.8 Close Stage**

The Close Stage is the sixth and final Stage in the Project Lifecycle and comprises the administrative tasks of closing the project and, critically, both the evaluation of project performance and the orderly handover to operational management.

Evaluation is focused on assessment of project delivery performance against time, cost and benefits, plus an open and objective review of the overall conduct of the project and lessons learnt. A Closure Report should be prepared by the Project Manager, taking significant input from the Project Team. This document must be signed off by the Project Sponsor and Stakeholders and forwarded to UGPP. UGPP will present the relevant closure documentation to University Council.

A structured handover to operational management is also important. Acceptance by operational management means that they are satisfied with the project deliverables (as per the approved Project Definition and Plan) and their ability to realise medium to long term targeted benefits from the capabilities created by the project.

## **3 Project Reporting & Review and Change Management**

Project Reporting & Review and Change Management extend across multiple Lifecycle Stages and are essential project management disciplines.

Project Reporting & Review entails continuous assessment of project progress against plan, the identification of issues and risks with solution options, and regular, consistent reporting to the Project Sponsor and Stakeholders.

Importantly, any change to the timelines, risk costs, scope or anticipated benefits of the project must be clearly documented, impact assessed and approved by the Project Sponsor and Stakeholders through the appropriate governance structure and ultimately be agreed by the UPGG. Failure to control project changes inevitably leads to serious difficulties at project completion.

## **4 Alignment with Hope Strategic objectives and other Processes**

The Project Management Framework and supporting documents do not, and cannot, operate in isolation from other business activities. Close alignment between the PM Framework and a number of key Hope processes is essential for the effective and efficient management of projects.



The type, size and complexity of a project will dictate where alignment with other processes is required.

#### **4.1 Oversight of Projects during the year**

The oversight and management of projects will sit with UPGG and focus on:

- Continuous assessment of plan performance at both individual programme and portfolio level to ensure that optimum business value is realised.
- Evaluation of viability and timing of proposed major projects against existing resource commitments and other live projects.

UPGG will provide updates to relevant Council committees or the University Council on major projects in line with the Project Management Framework.

#### **4.2 Finance Process**

Irrespective of type or complexity, all projects will incur cost. The funding of projects is based on approval and may come from current operational budget allocation or centrally approved fund including capital budget.

It is often the case that small projects require only the allocation of internal resources to complete project deliverables. This still has an opportunity cost and is not free. That a project budget is constructed and costs monitored is a basic tenet of good project management. Project Managers should seek guidance from their respective Accountant on what costs should be allocated for the use of internal resources.

The Finance Approval process is managed by UPGG and will be led by the Chief Accountant as a member of the group. It will ensure oversight of five major activities of relevance to the PM Process – Approval, Budget Setup, Variance Approval, Budget Closure and Project Closure.

#### **4.3 Finance Approval**

Approval must be secured in advance of investment commitments. Typically, this is done during the Mobilise Stage in the Project Lifecycle when the Project Business Case is produced.

#### **4.4 Budget Set Up**

Following approval for the project, the budgets will be set up during the Mobilise Stage in conjunction with the University Accountant who has responsibility for the area.

#### **4.5 Variance Approval**

The project has the authority to exceed an approved project budget without seeking further approval if the variance is below a designated tolerance level of 10%. It is important that such overspend is not planned or viewed as a contingency budget. The Project Manager should carefully monitor spend against budget and if an overspend is envisaged, the Project Sponsor should approve the overspend before it is incurred. It is also important to note that the overspend rules are solely at the discretion of the UPGG which has the authority to seek a review of a project at any juncture.

Where an overspend greater than a designated percentage of approved budget UPGG must be informed and their approval secured prior to spend commitments being made.

## 4.6 Budget Closure

On completion of the Execute Stage, and as part of the Close Stage, the project budget should be closed to avoid any potential errors or misappropriation. This should be arranged through the relevant Accountant.

## 4.7 Additional Information

Additional information on the finance processes can be found at XX.

## 4.8 Procurement Process

The objective of the Supply Chain Management Procurement Process is to maximise the value from supplier/vendor engagements. The Procurement Process consists of a structured set of activities focused on the following:

- Identification of appropriate products or services and prospective supplier/vendors.
- Selection of the most suitable supplier/supplier/vendor.
- Protection of Hope through robust supplier/supplier/vendor contract.
- Effective supplier/vendor performance management

The figure below sets out the full Procurement Process, key process deliverables/activities and the PM Process stages at which they are typically undertaken.

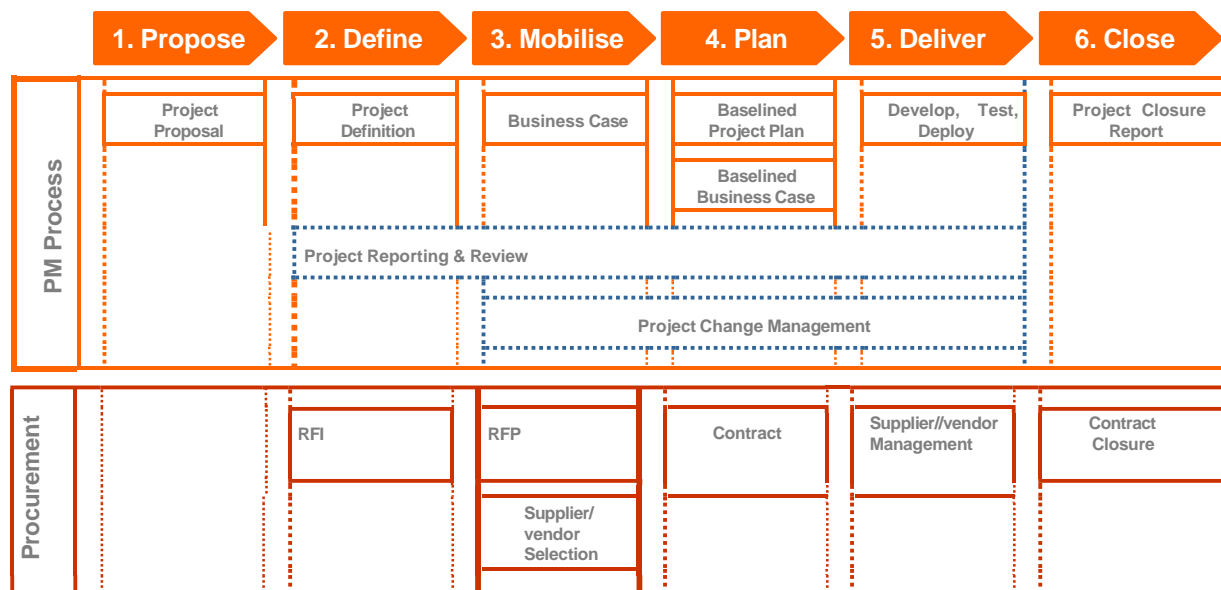


Figure 2  
PM Process & Procurement Alignment

The extent to which the full Procurement Process is applied will be determined by the nature of the services sought and the status of prospective supplier/vendors.

It is strongly recommended that the Project Sponsor and Manager actively engage with the Procurement Manager once a requirement for external support has been identified. The Procurement Manager will assist the Project Manager in navigating through the Procurement Process and in selecting the right supplier/vendor for the services sought.

## 4.9 Supplier/Vendor Selection

The final selection decision is clearly an important one and it is therefore essential that the Project Sponsor and Stakeholders are engaged in this decision. Typically, supplier/vendor selection will be concluded in the Mobilise Stage of the PM Process.

#### **4.10 Contract**

The contract terms describe the transaction between Hope and the supplier/vendor. It is important the Project Manager has a clear statement of work that describes the required deliverables from the supplier/vendor. In addition, the Project Manager needs to be clear about performance – what is to be delivered, to what quality and when and how Hope will align payments to those deliverables. The contract performance sections will describe these in detail and the consequences on both parties of failure to meet obligations (e.g., penalties).

In addition, the contract sets out the duration of the arrangement, what may cause breach of contract (and consequences), the warranties provided by the supplier/vendor, etc. A good contract is required to manage the project risk and needs to be in place prior to engaging the supplier/vendor in providing the products or services. The Procurement manager will work with the Project Manager to define the commercial terms with support from the Hope legal team as required. Typically contract activities, culminating in joint agreement, are aligned with the Plan Stage of the PM Process. Additionally administrative tasks such as supplier/vendor setup for new supplier/vendors, purchase orders setup, etc. must be completed at the Plan Stage. The Procurement Manager will provide guidance on completion of these tasks.

Importantly all supplier/vendor engagements are subject to delegated authority and the Project Sponsor and Manager must ensure that these are fully complied with.

#### **4.11 Supplier/Vendor Management**

The performance of the supplier/vendor is critical to the successful completion of project deliverables and the overall success of the project. An appropriate Supplier/vendor Management plan should be defined during the Plan Stage to align with project execution and governance. Supplier/Vendor specific reviews can be planned for and will be focused on supplier/vendor performance, deliverables status and overall contract performance. Additionally depending on the complexity of the project and the nature of the supplier/vendor engagement consideration should be given to the incorporation of a supplier/vendor representative on the Project Leadership Team. Such involvement can significantly improve communications and understanding and positively improve the overall management of the project.

#### **4.12 Contract Closure**

On completion of the project, and during the Close Stage of the PM Process, all contractual arrangements with the supplier/vendor must be closed and any outstanding contractual obligations completed.

#### **4.13 Additional Information**

Additional information on the Procurement Process can be found by following this [XX](#)

## **5 Information Technology**

### **5.1 IT Support**

Where a project requires IT support initial discussion should take place at the propose/define stage. Subsequent to this and aligned to the requirement for the project the IT project template should be completed and included at the mobilise stage business case proposal. The template can be found at XXXX

## 6 Project Management Process

The Propose Stage is the first step in the Project Lifecycle. The objective of this Stage is to facilitate a decision on initiating the project, based on an assessment of a Project Proposal. The exit criteria from this Stage are: prioritisation of the project, confirmation of Project Sponsor, assignment of a Project Manager and assignment of resources to complete the Define Stage of the project.

The Project Proposal sets out the business rationale for the project, the key deliverables, an indicative view on project costs, risks, benefits, and the resources (internal and external) required for completing the project and, more immediately, to complete the Define Stage of the project.

Typically, the Project Sponsor will be a senior manager. Depending on the size and complexity of the project, this will either be a member of UEB a SMT Manager. The Project Sponsor is responsible for assignment of the Project Manager. As accountability for the overall success of the project rests with the Sponsor, they should seek to match project size and complexity with candidate experience and knowledge.

### 6.1 Key Activities & Deliverables



#### 6.1.1 Prepare a Project Proposal

The Project Proposal defines the business rationale for the project and should provide sufficient information to make informed decisions on project prioritisation.

The Project Proposal contains the following components:

Component	Purpose
Project Context and Purpose	Sets out the business rationale for the project, the problem or opportunity addressed, and the expected business impact and benefits.
Project Definition and Scope	Provides an outline definition of the project scope and deliverables. This should identify the impact of the project on overall University business.
Project Schedule	Outlines the key milestones and timelines associated with production of project deliverables and project completion.
Project Resourcing	Provides an indicative estimate of resources to complete the project, the skill/competency profile of required resources and the anticipated business area source. Additionally, external resource requirements and their likely source should be identified. Where interim funding is required for early external support, the Project Proposal must provide details on the proposed supplier/vendor and the Procurement Process must be applied.

Project Team and local Governance Structure	Provides an outline of proposed project structure and interim local governance structure. The interim governance structure identifies the primary Project Stakeholders, i.e., who will be the suppliers of services to the project and who will use and benefit from the capabilities created by the project.
Project Costs and Benefits	Provides indicative project costs and benefits. Importantly the benefit category should be clearly identified and a confidence rating for all estimates should be provided (see below).
Project RAID	Outlines the key project risks, assumptions, issues and dependencies. As in the case of the outline Project Definition and scope, the Business Component Framework is a useful aid in identifying key assumptions and dependencies.

#### *Project Proposal Components*

Indicative benefits should be quantified along with the benefit category. The 5 pillars of the University Strategic Plan should be utilised. The following are other main benefit drivers that could be considered in Project Proposals and Business Cases;

	Category	Strategic/Business Driver
1	Cost Reduction	Financial Sustainability Pillar  Reduce operating cost in the business  Avoid/reduce capital expenditure  Avoid future business costs  <i>e.g., Process improvement, process automation</i>
2	Revenue Growth	Financial sustainability pillar
3	Student Enhancement	Improved student experience
4	Compliance	Mandated by a regulator or other authority
5	Support	Generic business capabilities  <i>e.g., Upgrade of a system</i>
6	Strategic	Establishing a platform for future growth  <i>e.g., Infrastructure development</i>

7	Business Risk	Reduce or avoid business risk Reputational considerations
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#### *Sample Project Business Case Drivers*

The key Project Stakeholders need to be identified at this Stage: namely those that will be required to support the project through assignment of resources, facilities, and completion of tasks, etc., (Supply Stakeholders), and those and who will use project created capabilities and be accountable for realising project value (Demand Stakeholders). Stakeholder support for the Project Proposal must be secured at this Stage through an interim Leadership Team (which will be formalised in the Define Stage). This approval is an exit criterion from the Propose Stage.

### **6.1.2 Templates**

The following Templates should be used during this Stage:

Template Name	Link
Project Proposal	Available via the PM Process web-site place link

### **6.1.3 Key Roles & Responsibilities**

The following defines the key roles and responsibilities at the Propose Stage (See Section 5 for project Roles and Responsibilities).

Role	Key Responsibilities
Sponsor (or delegated authority)	Produce the Project Proposal Secure project prioritisation Assign Project Manager
Supply and Demand Stakeholders	Approve the Project Proposal.
UPGG	Sign off approval of proposal

### **6.1.4 Stage Exit Gate Criteria**

The Stage can only be considered complete when the following exit gate criteria have been met, thereby formally initiating the project;

- Proposal produced and approved.
- Project Sponsor confirmed.
- Project Manager assigned.
- Interim Stakeholder established.
- Resources to complete Define Stage assigned (formation of the Project Team).
- Create the Project File and SharePoint site. Including lessons learnt log

- Compliance with other Hope processes completed.
- UPGG Approval with consideration of impact of other live projects or commitments on viability and approval to commence.

## 6.2 Define Stage

### 6.2.1 Introduction



The objective of the Define Stage is to specify in detail the purpose, objectives, scope, deliverables and solution design of the project. It will also set out the delivery approach, project structure, resourcing, schedule, project costs and a detailed project RAID (risks, assumptions, issues and dependencies).

The Project Definition should be viewed as the definitive statement of project objectives, scope and deliverables. It is therefore essential that it is thoroughly reviewed and approved by the Project Sponsor and Stakeholders and any future modifications are change controlled.

The local Project Governance structure, comprising key Demand (beneficiary) and Supply (contributing) Stakeholders and expert advisers (if appropriate), is formally established during this Stage. Additionally, resources required for mobilisation are assigned.

### 6.2.2 Key Activities & Deliverables

#### 6.2.2.1 Produce the Project Definition

The Project Definition is the core statement of project objectives, scope and deliverables in which the solution and design features of the project deliverables are detailed with risks, assumptions, issues and dependencies clearly documented. The Project Definition serves as a documented basis for a common understanding among all Stakeholders of objectives, scope and deliverables.

Set out below are the components of the Project Definition:

Component	Purpose
Project Purpose, Objectives and Success Criteria	The Definition sets out in detail the objectives of the project and the business context, namely, the problems or opportunities addressed and what success will look like – i.e., the criteria for assessing project success.
Project Solution	Provides summary detail on the proposed project solution, (i.e., how to address the problem or opportunity), sets out alternative options considered, and outlines why the proposed solution is preferred.
Project Scope Definition and Deliverables	The project scope and deliverables are defined in detail, and highlights what project assumptions are made and the dependencies that arise from each of the components.

Project Delivery Approach, Schedule, Resourcing and Structure.	Defines the project delivery approach, project milestones and a reasonably detailed delivery schedule. The approach and schedule are further refined and baselined in the Plan Stage. Based on the approach and schedule resources required, source, timings and project structure are also detailed. Particular focus is given to resource requirements, aligning tasks with resources and setting out roles and responsibilities using a RASI matrix (Responsible, Accountable, Support and Inform). Additionally, where external resources/contracted services are required, the approach to selection and contracting must be set out clearly. The resourcing requirements and approach set out in the Project Definition will form the basis of resourcing agreements secured in the Mobilise Stage.
Project Costs and Benefits	Provides a detailed breakdown of costs and benefit KPIs. for improvement by the project. The costs and benefits identified in the Project Definition will form the basis of the Business Case and funding submission undertaken in the Mobilise Stage.
Project Governance	Defines in detail governance structure, representation, roles and responsibilities, meeting frequencies, project review and reporting arrangements.
Project RAID	Defines the project Risks, Assumptions, Issues and Dependencies (RAID) and actions to manage/mitigate them. The RAID will be further refined in the Plan Stage.
Project Quality Assurance	Provides an outline of how quality will be monitored and assured. This will be addressed in more detail in the Plan Stage.

#### *Project Definition Components*

The Project Definition is a critically important document representing the definitive statement of what the project will deliver and how it will deliver it. Once approved, change to the Project Definition must be controlled through the Change Control process and the document should be updated to reflect approved changes.

### **6.2.2.2 Establish Team Structure**

Within the Define Stage, the Project Sponsor and Project Manager must formalise the Project Structure and local Project Operational Governance arrangements.

Typically, the Project Structure is dictated by project Work-streams. Nevertheless, it must be clearly specified, and the structure and management of the Project Team should cultivate focus on the common purpose of delivering a successful project.

The Leadership Team should include both Demand and Supply Stakeholders. Demand Stakeholders will be responsible for using the capabilities and realising the benefits created by the project, therefore it is essential that they approve the Project Definition and Business Case. Supply Stakeholders are responsible for providing services to the project and, given the criticality of resourcing to project success, it is essential that the main suppliers of resources to the project are represented on the Leadership Team and approve the Project Definition and Project Plan.



### 6.2.2.3 Establish RAID Logs and Document Repository

Within the Define Stage, Risks, Assumptions, Issues and Dependency logs should be established, and subsequently updated and reviewed on a regular basis by the Project Manager, Work-stream Manager and Project Leadership Team as appropriate. Risk and Issue logs are a good barometer of the health of a project and regular monitoring and actioning is an important means to avoid unexpected project troubles.

### 6.2.2.4 Specify External Support Requirements

The project Proposal will have identified requirements for external support (resources, consultancy, facilities, etc.). Normally, the specification of external requirements for project planning and execution will be undertaken as part of the Define Stage. Where external support is required to complete the Project Definition, this work together with supplier/vendor selection and contract approval will have been concluded in the Propose Stage.

### 6.2.2.5 Templates

The following Template should be used during this Stage:

Template Name	Hyperlink
Project Definition	Available via the PM Process web-site (type <i>PM-Process</i> into your browser)

## 6.2.3 Key Roles & Responsibilities

The following defines the key roles and responsibilities at the Define Stage

Role	Key Responsibilities
Project Manager	Prepare Project Definition
Work-stream Manager	Inputs to the development of the Project Definition
Sponsor	Approve the Project Definition
Supply and Demand Stakeholders	Approve the Project Definition

## 6.2.4 Stage Exit Gate Criteria

The Stage can only be considered complete when the following exit gate criteria have been met:

- Project Definition completed and approved.
- Resources assigned for Mobilise Stage.
- Project governance and structure finalised and established.
- Updated Project File including lessons learnt log

- Compliance with other Hope processes completed.
- UPGG approval.

## 6.3 Mobilise Stage

### 6.3.1 Introduction



The purpose of the Mobilise Stage is to secure the funding, resources and facilities required to develop and implement the project deliverables. The primary input to the decision to fund and resource the project is the Project Business Case.

The key deliverable from the Mobilise Stage is an approved project Business Case. Based on this, funds will be secured and made available to the project. While funding will cover resource costs, the actual securing of resources is not always straight forward. Within the Mobilise Stage, it is essential that project resourcing be finalised and commitments on resource availability secured. Importantly, the project delivery timelines, costs and benefit realisation set out in the Business Case should reflect finalised resource commitments, agreements and risks.

### 6.3.2 Key Activities & Deliverables

#### 6.3.2.1 Secure Project Business Case & Funding Approvals

The Project Definition is a key input to the Business Case providing the costs, resources, timelines risks and benefit KPIs of the project. The Business Case will provide a financial assessment of the project, detailing the return on investment and forming the basis of funding submissions.

The Business Case should clearly set out the costs of implementing the changes, and the KPIs that will be used to assess performance of the project deliverables against the mandate.

While the Business Case is not baselined until completion of the Plan Stage, (detailed planning), it must be thorough and complete, setting out costs, resourcing, risks and benefits (with sensitivities). Critically, the Project Sponsor and Stakeholders must review and approve the case.

Subject to approval of the Business Case by the Sponsor and Stakeholders it will be submitted for funding approval to UPGG.

#### 6.3.2.2 Finalise Project Resourcing

Failure to adequately resource projects or assign resources in line with plan is one of the primary reasons for project delays and failure.

As part of Project Definition, resources to complete the project will have been specified. Sign off by the Sponsor and Stakeholders implies a commitment to resource the project as per plan. In addition to securing funding for the project, the purpose of the Mobilise Stage is to translate resource commitments into formal agreements and resource assignments, specifically, the assignment of resources to complete planning and formal agreement from resource owners on resource availability to complete the project.

Importantly, securing approval for a Business Case where internal resourcing agreements have not been secured undermines the validity of the case. Equally, undertaking detailed planning with

uncertainty on resource availability will undermine the value of the plan and will inevitably lead to execution delays. The Project Manager is responsible for securing project resources, informing the Project Sponsor and Stakeholders of resource deficiencies and making explicit the impact of deficiencies on project delivery.

Due to the importance of resourcing to project success, resourcing agreements and assignments represent an exit criterion from the Mobilise Stage. The project should not proceed to the Plan Stage until resourcing has been finalised.

Based on resource commitments, the Project Definition resource plan should be updated, recording the agreements. This plan should be a key input to the Plan Stage.

### 6.3.3 Templates

The following Templates should be used during this Stage:

Template Name	Link
Business Case Template	Available via the PM Process web-site (type <i>PM-Process</i> into your browser)

### 6.3.4 Key Roles & Responsibilities

The following defines the key roles and responsibilities at the Mobilise Stage (See Section 5 for project Roles and Responsibilities).

Role	Key Responsibilities
Project Manager	Production of the Business Case. Production of resource plan and securing resourcing agreements.
Work-stream Manager	Contribute to the production of the Business Case.
Sponsor	Sign-off Business Case. Approval of resource plan.
Supply and Demand Stakeholders	Approve the Business Case. Approve Resource Assignment.

### 6.3.5 Stage Exit Gate Criteria

The Stage can only be considered complete when the following exit gate criteria have been met:

- Approved Business Case.
- Funding approved.
- Resources assigned for Planning.

- Resources secured for project completion.
- Updated Project File including lessons learnt log.
- Compliance with other Hope processes completed.
- UPGG approval.

## 6.4 Plan Stage

### 6.4.1 Introduction



The purpose of the Plan Stage is to complete the detailed planning of all aspects of the project and, if necessary, to update the Project Definition and Business Case with any schedule, cost or benefit changes that may have come to light during detailed planning.

The key deliverables from this Stage are a baselined Project Plan and Business Case. The scope, schedule, cost, risks and benefit KPIs set out in the Project Plan and Business Case will be used for reporting and review of the project. Importantly, once baselined, any proposed change to the Project Plan or Business Case (and the impact of the change on scope, schedule, cost, risk or benefits) must be thoroughly reviewed and approved by the UPGG.

### 6.4.2 Key Activities & Deliverables

#### 6.4.2.1 Produce Baselined Project Plan

The purpose of the Project Plan is to set out all activities associated with project deliverables including resources and timelines. Once the Project Plan is completed, the Project Sponsor and key Stakeholders must review, approve and formally baseline the plan.

The Project Plan will only change after this point via the defined Change Control process.

Typically, the Project Plan will involve elaboration of the Project Definition. It contains 8 components, (as set-out in the table below) and, while the level of detail required for these elements will vary depending on the size and complexity of the project, all should be addressed for both major and non major/local projects. This is in addition to the standard components, where appropriate, change plans, marketing plans, etc., should also be included.

Component	Purpose
Schedule	A schedule must be finalised for the project identifying key milestones and delivery dates. It will identify the sequence of activities that need to be performed on the project, inter-dependencies and completion timelines. Critically, the Project Schedule must consolidate all project deliverables into one coherent plan..
Resource Plan	Updates as necessary the resource plan set out in the Project Definition.
Quality Management Plan	Defines how quality will be measured, managed and monitored on the project and associated deliverables, and how the project will be Quality Assured.

Change/Scope Management	Defines how scope, schedule, cost and benefit changes will be managed on the project via the Change Control process and in particular identifies any exceptions/deviations from the standard Change Control process.
Communications Plan	Describes how Communications will be managed on the project and in particular will identify; <ul style="list-style-type: none"> <li>• All stakeholder groups.</li> <li>• The information that should be communicated.</li> <li>• How and when the information will be communicated.</li> </ul>
RAID	Updates as appropriate the Risks, Assumptions, Issues and Dependencies (RAID) logs established in the Define Stage.
Benefit Management Plan	Updates as appropriate the benefit KPIs in the Project Definition and Business Case and sets out how the project benefits will be measured and reported during the project and after completion.
Supplier/vendor Management	Sets out how any ongoing procurement activity and external supplier/vendors will be managed. This will be completed with the input and agreement of Supply Chain Management (Please see Section 3.6 on the Procurement Process).

#### Project Plan Components

### 6.4.3 Templates

The following Templates should be used during this Stage:

Template Name	Link
Project Plan Template	Available via the PM Process web-site (type <i>PM-Process</i> into your browser)
Business Case Template	Available via the PM Process web-site (type <i>PM-Process</i> into your browser)
Project Definition Template	Available via the PM Process web-site (type <i>PM-Process</i> into your browser)

### 6.4.4 Key Roles & Responsibilities

The following defines the key roles and responsibilities at the Plan Stage

Role	Key Responsibilities
Project Manager	Produce Project Plan. Change Request Project Definition as appropriate. Update Business Case as appropriate.

Work-stream Manager	Contribute to production of Plan, Project Definition and Business Case updates.
Sponsor	Approve and Baseline Project Plan. Approve Change Request to Project Definition. Approve and Baseline Business Case.
Supply and Demand Stakeholders	Approve and Baseline Project Plan. Approve Change Request to Project Definition. Approve and Baseline Business Case.

### 6.4.5 Stage Exit Gate Criteria

The Stage can only be considered complete when the following exit gate criteria have been met:

- Baselined Project Plan.
- Approved Project Definition changes.
- Baselined Business Case.
- Resources assigned for Execute Stage.
- Updated Project file including lessons learnt log.
- Compliance with other Hope processes completed.
- UPGG Approval.

## 6.5 Deliver Stage

### 6.5.1 Introduction



The Deliver Stage comprises 3 major components - Develop, Test (when required) and Deploy.

The Develop component is focused on building the project deliverables according to the Project Definition and Project Plan. The Test component if required is focused on ensuring that deliverables meet design specification and quality standards. The Deploy component implements the project deliverable into operational use and provides post deployment support as required.

Project Reporting & Review assumes key importance at this Stage of the project. The Project Manager should rigorously review all activities in this phase. The Project Manager must keep the Sponsor and Stakeholders informed of progress and, in particular, of risks, changed assumptions, issues or dependencies that might impact scope, schedule, costs or benefits.

### 6.5.2 Key Activities & Deliverables

#### 6.5.2.1 Development

Development is focused on creating the deliverables set out in the Project Definition and Plan. This may involve new structures, new software, new operational processes etc. Development is the acid test of the completeness and quality of the Project Definition and Plan. If the Project Definition and Project Plan are comprehensive and of high quality, development should follow a well chartered roadmap in which potential problems and issues will have been anticipated and resolved. In

practice, this is rarely the case. Almost inevitably, issues will arise, though the completeness and quality of previous deliverables will certainly reduce the number and complexity of issues uncovered in Development.

The Project Manager has a critical role to play in the identification, reporting and resolution of issues. Through rigorous and consistent review of activities with Work-stream Managers and the Project Team, early identification of issues and solution options will be considerably enhanced. Any issues, and the approach to resolution, must be flagged to the Sponsor and Stakeholders and, importantly, to the whole Project Team. Prior to implementing a problem solution, the Project Manager should assess the impact on key elements of the project, including: scope, cost, timelines, risks and anticipated benefits. If the proposed solution materially impacts delivery of the project, the Change Control process must be applied and Sponsor and UGPP approval secured prior to implementation.

#### **6.5.2.2 Testing**

When testing is identified as a key component its purpose is to prove the effectiveness of the outcomes set out in the Project Definition and Plan. During this phase, the deliverable should be tested against an agreed set of test cases and only signed out of test when it passes these tests or an agreed set of workarounds.

As in Development, the Project Manager needs to rigorously monitor both the application of test cases and their results.

Depending on the nature, size and complexity of a project the effort associated with testing Work-stream and project deliverables will vary considerably.

#### **6.5.2.3 Deployment**

Deployment is focused on implementing project deliverables into operational use. Deployment is the culmination of all previous project activity and a major milestone in the Project Lifecycle. Depending on the nature and complexity of project deliverables, Deployment may be straightforward or may be a large and complex event executed in phases. The approach to Deployment will have been set out in the Project Definition and confirmed during Planning. Importantly, the Project Manager carries responsibility for Deployment, although frequently, a critical dependency on operational support will arise. The latter is a key reason why the local project governance/team structure should have strong operational management representation.

While not always the case, post Deployment support by the Project Team may be required. Where required, such support should have been previously specified in the Project Definition and Project Plan, and the purpose, timelines and completion criteria should be clear.

The final, critically important task in the Deployment phase of Execution is Operational sign off. Typically, this should be formalised within the project Leadership Team. Sign off means that the project has deployed deliverables to scope and specification and that Operational Management is now accountable for realising the benefits targeted and agreed for the project.

Issues in securing Operational sign off are invariably due to either a failure to apply Stage exit criteria and approvals or deficiencies in Project Leadership Team representation - or both. This underscores the importance of rigorous application of good project governance. The operational sign off should then be forwarded to UPGG for sign off.

#### **6.5.3 Templates**

There are no specific PM Process Templates for this Stage in the Lifecycle. However, it is essential

that RAID logs are kept up to date and are regularly reviewed and standardised reporting and review with the Leadership Team is undertaken.

### 6.5.4 Key Stage Roles & Responsibilities

The following defines the key roles and responsibilities at the Execute Stage (See Section 5 for project Roles and Responsibilities).

Role	Key Responsibilities
Project Manager	Manage Development, Testing and Deployment of deliverables as per Project Definition and Plan.  Ensure external stakeholders and suppliers/vendors have contractually delivered.
Work-stream Manager	Undertake and complete Development, Testing and Deployment activities associated with a Work-stream.
Sponsor	Review and approve Project Deliverables.
Supply and Demand Stakeholders	Review and approve Project Deliverables.

### 6.5.5 Stage Exit Gate Criteria

The Stage can only be considered complete when the following exit gate criteria have been met:

- Develop, test and deploy project deliverables as per agreed scope, definition and plan.
- Deliverables approved by Sponsor and Stakeholders.
- Updated Project File including lessons learnt log.
- UPGG approval.
- Compliance with other Hope processes completed.

## 6.6 Close Stage

### 6.6.1 Introduction & Background



The final Stage in the Project Lifecycle is the Project Closure Stage. There are 3 elements to Project Closure as follows:

- **Administrative Closure** – This involves closing budgets, compiling the project file and the release of project resources.
- **Project Performance Review** – This comprises an evaluation of project performance against project KPIs including schedule, cost, risks and benefits.
- **Project Management Review** – This comprises an overall review of the conduct of the project including lessons learnt.

The Closure Stage requires the production of a Closure Report which comprises the last two items



above and a confirmation that Administrative Closure has been completed. This should be forwarded to UPGG

## **6.7 Key Activities**

### **6.7.1 Complete Administrative Closure**

The purpose of this activity is to complete the Administrative Closure of the project and in particular closure of budgets and release of resources.

There are 3 main elements of Administrative Closure as follows;

#### **6.7.1.1 Compile the Project File**

The Project File must contain all relevant project documentation, namely:

- Project Proposal
- Project Definition
- Business Case
- Project Plan
- Closure Report
- RAID logs
- Key approvals and monitoring documents including reports
- Change Request documentation
- Lessons learnt

The Project File has two functions - it is the primary information source for inputs to the Project Closure Report and, in providing a record of the overall project, it is a valuable information source for future projects.

#### **6.7.1.2 Release Resources**

As a project is a temporary endeavour, the Project Team should be formally stepped down once operational acceptance of project deliverables and any post deployment support has been concluded.

#### **6.7.1.3 Close Budgets and Contracts**

The Budgets if on Agresso should be closed to ensure no further costs are allocated to the project. Any contracts that are in place with suppliers should either be closed or moved to the Operate Stage of the contract.

### **6.7.2 Complete the Closure Report**

The project Closure Report assesses how well the project performed (Project Performance Review) in delivering to the project scope, definition and delivery plan. Additionally, it provides an overall assessment of how the project was managed (Project Management Review), what challenges arose, how they were addressed, what key lessons were learnt and what would be done differently in the future.

The Project Performance Review element of the Closure Report is largely quantitative in nature, setting out actual performance against project baselined targets on timelines, costs, resources etc. Additionally, the Closure Report must reference where Change Control was employed and the

impact of changes on the original project scope, costs and KPIs.

In most cases, full review of benefit realisation will only be possible sometime after project completion this could be at a 12 month period for example.. However, the Closure Report must provide a comprehensive assessment of the achievability of benefits, clearly identify how benefit realisation will be monitored, when benefits will be reported on, (and to whom), and who is responsible for this monitoring/reporting.

The Project Management Review element of the Closure report is less quantitative but equally important, and provides an overall assessment of the project by the Project Manager, Work-stream Manager and Team, highlighting both positive and negative aspects and key lessons learnt. The main value of the Project Management Review centres on continuous improvement. An inclusive and frank review of the project provides an opportunity for all involved to apply the key learning to their next project assignment. Additionally, a well-constructed Project File including lessons learnt can be an invaluable source of information and support to future projects.

The Project Closure report must be reviewed and approved by the Project Sponsor. Typically, it will be completed within four weeks of Execution completion, and review and sign off should constitute the closing meeting of the Project Leadership Team.

### 6.7.3 Templates

The following Templates should be used during this Stage:

	Template Name	Link
1	Project Closure Report	Available via the PM Process web-site (type <i>PM-Process</i> into your browser)

### 6.7.4 Key Stage Roles & Responsibilities

The following defines the key roles and responsibilities at the Close Stage (See Section 5 for project Roles and Responsibilities).

Role	Key Responsibilities
Project Manager	Production of the Project Closure Report and administrative closure of the project.
Work-stream Manager	Actively participate in Project Reviews
Sponsor	Review and approve Project Closure Report
Supply and Demand Stakeholders	Review and approve Project Closure Report.

### 6.7.5 Stage Exit Gate Criteria

The Stage can only be considered complete when the following exit gate criteria have been met:

- Administrative Closure completed.
- Project Closure Report completed and approved.
- Completed Project file.
- Operational acceptance of project deliverables
- Compliance with other Hope processes completed.

Process	Link
Benefit Review	<u><a href="#">Hyperlink to be inserted</a></u>
Close Budget	<u><a href="#">Hyperlink to be inserted</a></u>

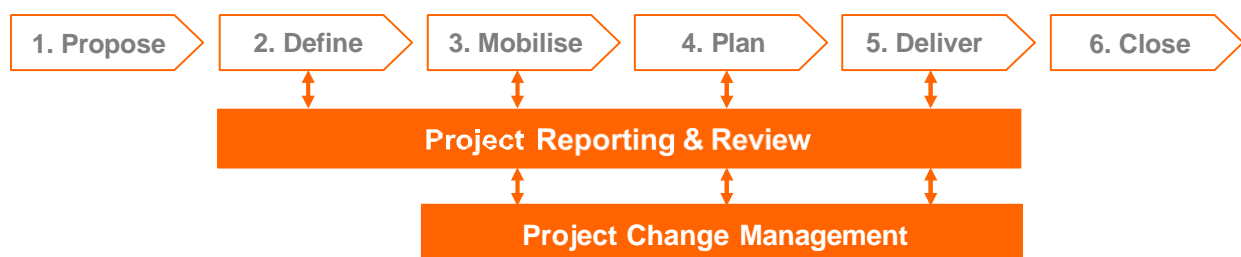
### 6.7.5.1 Procurement

If the project involves external supplier/vendor procurement then following must be completed at this Stage;

Process	Link
Contract Closure	<u><a href="#">Hyperlink to be inserted</a></u>

## 7 Project Reporting & Review and Change Management

### 7.1 Introduction



The PM Process requires continuous review of the project across multiple Lifecycle Stages and the application of rigorous Change Control. Once a project has been initiated it is the responsibility of the Project Manager to undertake regular reviews and prepare progress reports.

The purpose of Reporting & Review is to track progress against plan and to take effective action to address risks, issues and dependencies. At a frequency agreed with the Project Sponsor, (typically every one or two weeks), projects will produce a standard Project Report covering project schedule, budget, value delivery, resources and risks, issues and dependencies. This report should be reviewed at Project Leadership Team meetings.

Any proposed changes to the project that materially impact what is being delivered, by when, at what cost, or targeted project benefits will require a Change Request from the Project Manager. The Project Sponsor and Leadership Team must approve all Change Requests prior to final approval being sought at UPGG. The approval should include agreement on the allocation of

required resources, risk and budget to execute the change.

The PM Process defines the minimum requirements for reporting on all projects. Additional reporting metrics or requirements may be defined for particular projects and the reporting format may vary where a project is part of a larger programme. These requirements must be defined in the Project Definition. The UPGG will review projects normally on a monthly basis but may dependent on circumstances apply a shorter period of reporting. Reporting will be required by the external supplier as defined and required.

### **7.1.1 Key Activities**

#### **7.1.1.1 Reporting & Review**

The objective of Project Reporting and Review is to assess actual versus planned progress on the project, (facilitating the taking of corrective action), and to provide regular reporting of status to the Sponsor, Stakeholders and Leadership Team.

The purpose of status reporting is to:

- Provide accurate and timely information on the project status, resources, costs and schedule.
- Outline future activities and expected progress.
- Outline potential risks, dependencies and mitigating actions.
- Inform on project issues, their impacts and options for resolution.

#### **7.1.1.2 Status Report Content**

To ensure consistency of comparison across projects and performance over time, it is essential that a common approach is applied to project reporting. The PM Process is not prescriptive on reporting format etc., but does set out an information standard for reporting as follows:

- Overall RAG rating (schedule, cost, and value).
- Project narrative for reporting period (project summary, prior period major deliverables/activities status, summary, highlights, lowlights and outlook).
- Overall Schedule (schedule versus plan), key milestone status and major deliverable status.
- Total Budget (costs), budget to date, actual costs to date, estimate to complete, estimate at completion, variance at completion.
- Risks, Assumptions, Issues, Dependencies (RAID) Updates.
- Resourcing status (internal/external).
- Updates from external supplier/s
- Lessons learnt
- Next period major deliverables/activities.

Particular projects may require additional detail in the project status reports, but whatever format is used, or additional information sought, the minimum information outlined above should be included.

#### **7.1.1.3 Project RAG Status**

RAG is a well-established technique in Hope for signalling project status and should be used in all project reports. The following are the RAG definitions that should be applied;

<b>Red</b>	Behind schedule, budget or value delivery and not recoverable within plan.
<b>Amber</b>	Behind schedule, but either the delay is recoverable or does not materially impact project scope, cost or value delivery
<b>Green</b>	On track to complete on time and within budget, delivering targeted value.

If a project status is Red, it can only be re-classified as Green after a re-planning exercise and approval of a Change Request by its Sponsor and Leadership Team and UPGG. Council should be notified of such a change as soon as practicable.

#### 7.1.1.4 Project Review

Regular project review meetings are necessary to communicate project progress to the Sponsor and Stakeholders and to inform them of risks, issues, dependencies, etc.

It would be expected that, for most projects, a monthly Leadership Team Review is the minimum required. However, Sponsors may request more frequent review meetings - particularly where a project is at risk or entering the critical Execution Stage.

#### 7.1.1.5 Change Management & Control

The purpose of Change Management is to ensure that there is a transparent and consistent process for reviewing, impact assessing and approving proposed changes to project scope, deliverables, costs, risks, benefits and timescales. It should be applied when:

- The environment in which the project operates changes, requiring an adjustment to the scope, targeted benefits, costs or timelines of the project.
- An issue arises in the project which impacts scope or cost or schedule or benefits.

In either event the Project Manager is required to undertake the following:

- Identify need for change (external or internal factors).
- Assess the impact and consequences of the change.
- Complete a project Change Request.
- Obtain Sponsor and Stakeholder approval, followed by UPGG,
- Update Project Plans etc., to reflect the decision of the Leadership Team.

Project Changes (and formal approvals) are essential inputs into the Project Closure process.

These should be thoroughly documented and retained in the Project File.

#### 7.1.2 Templates

The following Templates should be used during this Stage:

Template Name	Link
Project Reporting (Sample)	Available via the PM Process web-site (type <i>PM-Process</i> into your browser)

Change Control	Available via the PM Process web-site (type <i>PM-Process</i> into your browser)
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### 7.1.3 Roles & Responsibility

Role	Responsibility
Sponsor	Monitor progress. Clear roadblocks for the Project Team. Address escalated risks and issues. Approve Change Requests for UPGG decision
Project Manager	Track Project progress against plan. Take corrective action as necessary. Manage Project Issues. Communicate with Sponsor and Stakeholders. Produce Project Change Requests.
Work-stream Manager	Track Work-stream progress against plan. Take corrective action as necessary Manage Work-stream Issues. Communicate with Sponsor and Stakeholders. Produce Work-stream Change Requests.
Demand and Supply Stakeholders	Review progress reports and approve changes

## 7.2 Project Cancellations and Postponements

### 7.2.1 Introduction

The initiation of a project implies intent on the part of the Project Sponsor and Stakeholders to complete the project. However, there will be cases where a project is cancelled or further development is postponed. It is essential that project cancellations and postponements are appropriately managed.

### 7.2.2 Project Cancellations

Cancellation of a project can arise for multiple reasons: changed market conditions, unanticipated complexity, unexpected costs etc. The decision to cancel a project is never easy. However, continuing to invest in an unviable project is extremely wasteful of finite University resources.

Once a project has been initiated, the decision to cancel a project must be ratified by the Project Sponsor and Stakeholders and confirmed via UGPP and VCAG. The Project Manager must formally

close the project and complete a Project Closure Report. The report should set out clearly:

- Reason for cancellation.
- Stage deliverables produced up to cancellation.
- Project deliverables produced (if any).
- Costs and risks incurred.
- Accounting treatment of incurred costs (agreed with the designated Accountant).
- Lessons learnt.

The reason for project cancellation and lessons learnt are very important elements of the Closure Report, providing invaluable information and experience for future projects, Sponsors and Managers.

In addition to the Closure Report the Project Manager must also complete the Administrative Closure of the project including budget closure, compilation of the Project File and release of project resources. The Project Manager should also inform others impacted of the cancellation of the project.

### **7.2.3 Project Postponement**

The decision to postpone a project (temporarily deferring further action) may arise for a number of reasons: such as dependencies outside of the control of the project, etc. Postponement is not the same as cancellation. Postponement implies that the project remains viable and that the conditions prompting postponement are temporary and resolvable within a reasonable timeframe.

The Project Sponsor and Stakeholders must agree to postponement and report to UPGG. This decision should be based on an assessment of the following:

- Conditions causing proposed postponement.
- Probability of resolving these issues.
- Costs and risks of postponement.
- Estimated timeframe for project re-commencement.
- Impact assessment on Project Plan and Business Case.
- Proposed approach to project resourcing during postponement and on re-commencement.

The key inputs to a decision to postpone rather than cancel a project are an assessment of the conditions preventing progress, the degree of difficulty in resolving issues and estimated timeframe to resolve.

While it may be easier to postpone rather than cancel a project, it is important that a project is not left to languish for an extended period of time with a high degree of uncertainty as to whether it will re-commence.

## **7.3 Governance, Roles & Responsibilities**

### **7.4 Project Governance**

Governance refers to the set of policies, regulations, functions, processes, procedures and responsibilities that define the establishment, management and control of projects. Key within this is gateway completion and approval, the recording of decisions and clarity on roles.

The University Project Governance Group (UPGG) is responsible for project oversight, direction and support to the Project Sponsor, Manager and Team.

For very small, straightforward projects, the UPGG may delegate governance arrangements. In such cases, the Project Sponsor must agree an appropriate project reporting and governance structure with the Project Manager and Stakeholders and get sign off from the UPGG.

#### **7.4.1 University Project Governance Group - Role and Representation**

The role of the UPGG is to review and approve the project scope, definition and solution specification, delivery schedule, resources, costs and, critically, the targeted value to be realised on project completion.

The UPGG must review and approve all Project Stage deliverables and agree on the project exiting a Project Lifecycle Stage. The UGPP performs a number of tasks to monitor, review and report to VCAG/UEB quarterly on progress of ongoing projects. It also can determine the priority status of University projects. It is also tasked to produce an annual return for Council.

In addition to Reporting & Review, UGPP assess Change Requests for projects and determine approval or not.

#### **7.4.2 Project Leadership Team - Responsibilities and Structure**

The Project Leadership team plays a significant role in ensuring the effective operational governance of the project. The Leadership Team should comprise: the Project Sponsor, the main Demand Stakeholder (the individual(s) who will use the capabilities created by the project and will be responsible for realising targeted benefits), and the Supply Stakeholder (the individual(s) who is responsible for supplying services and accountable for completing project Work- streams). The primary role of this Leadership Team is to ensure the successful completion of the project.

To be effective, the Leadership Team should comprise managers of sufficient seniority and operational accountability so that the majority of decision making can be made without further escalation. The size, complexity, risk and cost of the project will dictate the appropriate seniority of the Leadership Team. The Project Sponsor should make the decision on this.

The following are the main Project Leadership Team responsibilities:

- Agree Project purpose, scope and deliverables
- Identify KPI's
- Agree project Work-streams, resource plan, budget and implementation plan
- Monitor plan and assess performance
- Ensure alignment with Project Management Processes
- Resolve escalated issues and risks and propose Project Change Requests as appropriate to UPGG
- Ensure successful re-integration of Project staff into the business

It is essential that Demand Stakeholders, who will be responsible for using capabilities created by the project and realising project benefits, approve the Project Definition and Business Case. It is equally essential that Supply Stakeholders, who are responsible for providing services and completing Work- streams for the project, approve the Project Definition and Project Plan.

Formal sign off by Stakeholders at Project Definition, Business Case and Planning must be understood as meaning: a commitment by supply stakeholders to provide specified resources and facilities and complete Work-streams on time, within budget and to specification, and a commitment by Demand Stakeholders to use the capabilities created as specified and realise the value targeted for the project.



## 7.5 Project Roles and Responsibilities

A clear and agreed definition of project roles and responsibilities is essential for project success. Project failures are frequently due to a failure to define and agree roles and responsibilities at an early stage in the project.

A RASI Matrix is a useful aid to defining project roles and responsibilities and bringing essential clarity to project responsibilities and accountabilities. The RASI is applied to the main project tasks and uses the following definitions:

- **R (Responsible)** - The individual who performs the task. There may be multiple people involved in completing a task but generally there is one individual with overall responsibility for the task. The Project Manager is responsible for delivering the project on time, within budget and to agreed specification and the Work-stream Manager is responsible for delivering the Work-stream on time, within budget and to agreed specification.
- **A (Accountable)** - The individual who is ultimately answerable for the correct and thorough completion of the task. The Sponsor is accountable for the successful completion of the project and subsequent value realisation while the Supply Stakeholder is accountable for the completion of project Work-streams on time, within budget and to specification.
- **S (Support)** - The individual(s) who provides an essential support to the individual Responsible for completing the task (which may involve responsibility for completion of substantial sub- tasks) and/or must approve the task outputs.
- **I (Inform)** - The individual(s) who have an obligation to inform on the progress of a task and in particular of task risks and issues.

Set out below are 13 generic project tasks. Employing the definitions above, the RASI is completed for the Project Sponsor, Stakeholders, Project Manager and Project Work-stream Manager.

Key Project Tasks	Sponsor	Supply Stakeholder	Demand Stakeholder	Project Manager	Work-stream Manager
Project Definition and Initiation	A & R	S	S		
Production of Project Stage Deliverables (post project initiation)	S	S	S	A & R	S
Approval of Project Stage Deliverables and Stage Exits	A & R	R	R	S	S
Project Funding and Financial Management	A	S	S	R & I	S & I
Project Resourcing and Assignment	A	S & I	S	R	S
Project RAID Management	S	S	S	A & R	S
Project Change Management	A & R	S	S	R	S
Project Reporting and Communication	A	S	S	R	S
Completion of Project Work- stream Deliverables	S	A	S	S	R

Key Project Tasks	Sponsor	Supply Stakeholder	Demand Stakeholder	Project Manager	Work-stream Manager
Completion of Project Deliverables	A	S	S	R	S
PM Process Compliance	A	S	S	R	S
Compliance with relevant Enterprise Processes and Controls (e.g., PDP, SDLC etc.)	S	A	S	S & I	R & I
Project Value Realisation	A	S	R & I	S	S

The following should be noted:

- *Responsibility* can be delegated.
- *Accountability* cannot be delegated.
- Support is not passive. Often, those supporting the individual responsible for a task do the bulk of the task work.
- *Inform* is not confined to the roles or tasks identified above. All project participants have an obligation to keep the broader Project Team informed on progress, issues and risks on all tasks and activities and particularly those identified above.
- *Individuals* may perform multiple roles, e.g., a Demand Stakeholder may also be a Supply Stakeholder and a Stakeholder may represent multiple users or suppliers.
- In the Project Definition, the Project Manager must detail a project RASI that is in alignment with the PM Process RASI.

Further details of each role are available on the Project Management Guidance Page

## Appendix 1

### Definition of a Major Project

<b>Project:</b>	<i>A set of activities that are managed and coordinated to deliver a specific outcome in a defined timescale</i>
<b>Major Project:</b>	<i>A project that has a significant financial, operational, or reputational impact on the University or a Faculty, Professional Service Area or School</i>

This definition of a major project covers many different types of projects. For example:

- Capital and refurbishment projects
- Projects with significant information technology components
- Projects to change the way the institution conducts its business, processes and operations
- Organisational change projects

Different projects will have a different profile across these factors. For example, a large capital project in Estates has a significant financial cost, but the impact on staff and students may be relatively straightforward. A significant change to the curriculum could have a large impact on staff and students, but the cost of delivering it may be modest. A project involving a number of external partners, and which involves organisational change, could be complex and challenging without necessarily having a high financial cost.

Major projects will primarily be those that impact on the whole institution and where a greater degree of coordination is required to deliver success.

A simple assessment tool to help determine whether a project should be classified as major is provided below **Assessment Tool for Identifying Major Projects**. The tool may be used as is or adjusted to meet the needs of the individual institution.

### Assessment Tool for Identifying Major Projects

This tool is used to identify major projects and is based on the following characteristics:

- Total cost of the project
- Impact of the project on students and staff
- Complexity of the project
- Reputational impact on the University or College if the project runs into difficulties

The tool may be used as is or adjusted to meet the particular needs of the individual institution.

Characteristic		Mark	Project Score
<b>Cost of Project</b> Costs must include all time/resource spent on the project and not just the dedicated project team. A total cost of ownership approach is used which	2m or over	15	
	250k or over	7	
	50k or over	5	

includes all project costs over 48 months including recurring costs	20k or over	3	
	Under 20k	2	
<b>Duration of Project</b>	Over 12 Months	3	
	Between 6-12 months	2	
	Less than 6 months	1	
<b>Impact on Staff and Students</b>	Direct impact on students and/or staff across the institution	4	
	Direct impact on students and/or staff across a Faculty or large Professional Service Areas	3	
	Direct impact on students and/or staff at a School or single Professional Service Area	2	
	Impact on some students/staff within School or Professional Service area	1	
<b>Complexity</b> <u><b>High</b></u>  Four or more external stakeholders or partner organisations including external suppliers and/or  Affects a large number of diverse stakeholders with significant changes to roles, business processes, IT systems and ways of working  <u><b>Medium</b></u>  One to three external stakeholders or partner organisations including external suppliers and/or  Affects a large group of people having similar roles or expertise with some significant changes to business processes, IT systems and ways of working  <u><b>Low</b></u>  No external stakeholders or partner organisations and/or  Affects few people with little or no change in business processes, IT systems and ways of working			
	High Impact	4	
	Medium Impact	2	
	Low Impact	1	

<b>Reputational Impact</b>  If project gets into difficulties or its not delivered	Potential for impact UK and/or international profile	4	
	Potential impact on national profile only i.e., OFS	2	
	Potential for local impact	1	
<b>Project Score</b>			
<b>Major Project – Yes/No</b>			

If score is 11 or over then the project will be considered Major

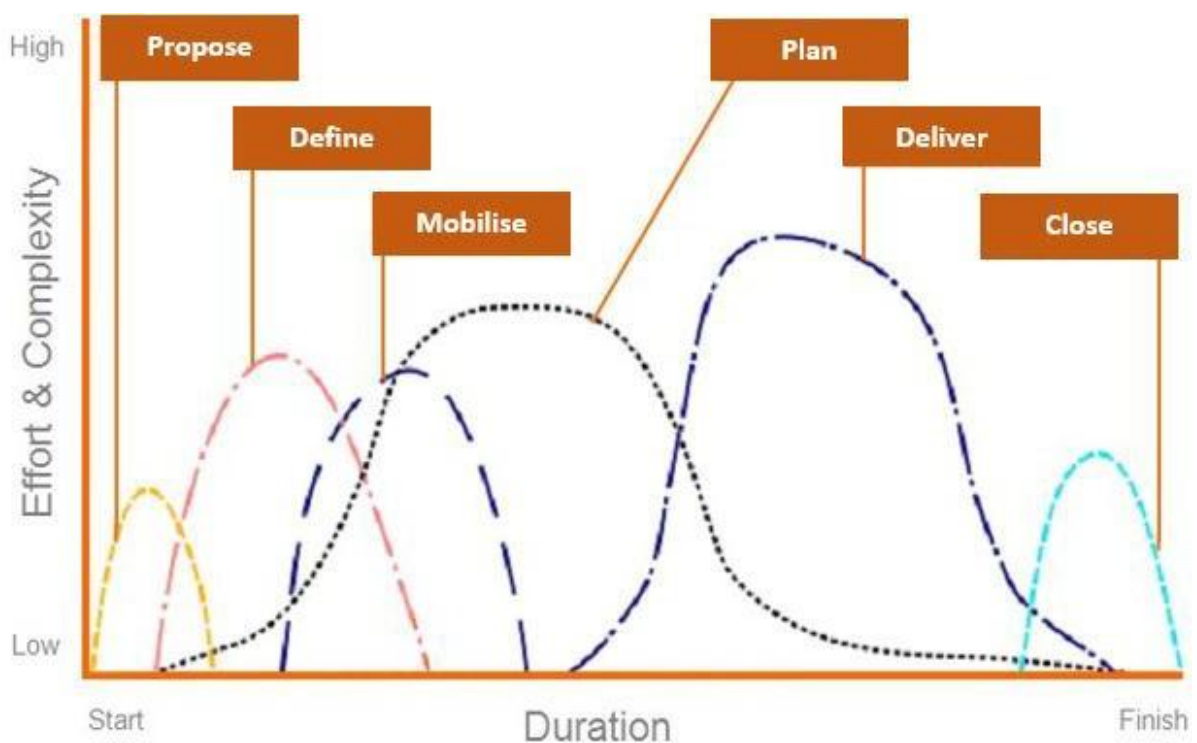
## Appendix 2

### Lifecycle Stage Interaction

Each Project Lifecycle Stage serves a distinct purpose and has a defined Gate Approval with exit criteria. However, it is important to emphasise that the complexity and effort associated with each Stage varies considerably, and associated Stage processes will not necessarily operate completely sequentially. For example, in reality, Planning will extend over a substantial part of the Lifecycle, (and not exclusively within the Plan Stage), as project plans are continually refined from the Propose Stage up to baselining, and can even be modified under Change Control in the Execute Stage.

Notwithstanding the interaction and activity overlaps between the Lifecycle Stages, it is essential that clear Approval Gates between the Stages are established and applied by the Project Sponsor and Leadership Team. For example, the Execute Stage should not commence until the Project Definition has been approved and the Project Plan and Business Case are baselined.

The figure below illustrates the potential complexity, duration and activity overlap between the various Lifecycle Stages.



*Project Lifecycle Stages Interaction*

The above is for illustrative purposes only, however it does provide a reasonable view of the level of interaction between Stages and the relative complexity and duration of each stage.