



# Project Management Handbook

Delivering your projects to time, cost and quality



Version 4: June 2015

**Performance and Programme Management Team**

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# 1. Introduction

This Handbook provides a standard framework for project management within the Council. **The guidance in the Handbook needs to be followed for all projects where total project costs are £40,000\* or above. Compliance with this guidance is required by the Council's Financial Regulations.** Its overall aim is to achieve a consistency of approach and adoption of best practice, by providing clear guidance on what is required to successfully manage a project throughout the project lifecycle. i.e.

- Identifying the key phases of a project lifecycle
- Describing the essential components and processes of each Phase
- Providing generic templates
- Describing structures, roles and processes that ensure proper project governance
- Putting an emphasis on early planning and decision-making, to ensure that projects only proceed when there is a good business case, sufficient resources and adequate pre-planning.

**Who needs to use it?** The Handbook is a reference for anyone who needs to be involved with a project within the Council:

- Project managers - responsible for developing & day-to-day management of the project
- Members of the project team
- Senior managers responsible for authorising projects, giving strategic direction & support
- Corporate project support staff, who will use the Handbook to disseminate good practice

**Structure of the Handbook.** The sections of the Handbook describe what is required at each phase of a project, preceded by a section on roles & responsibilities within a project structure:

- Project Organisation & Governance – roles & responsibilities, structures for delivery & decision-making
- Project Start-up – Establishing a business case, confirming objectives, intended benefits, early planning
- Project Initiation – Detailed planning, producing the Project Initiation Document (PID)
- Managing Project Delivery – Implementation phase; managing delivery, monitoring & reporting progress, dealing with issues
- Closing a Project – Review of performance against PID, lessons learned.

Appendices provide information on project management tools and on Lewisham templates, structures & requirements.

This Handbook has been produced by the Programme Management Team, whose role is to provide support to Lewisham's project management community. Contact the Team for further advice about this Handbook or on other aspects of project management. The Handbook, templates and further guidance will be maintained on the [Capital Delivery Board sharepoint site](#).

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*Note: The £40,000 figure applies to external project costs, i.e. not including staff costs covered by existing revenue budgets. Also note that senior managers may determine that initiatives below this level need to be managed as projects due to their high impact / sensitivity.*

## 2. The Lewisham Approach to Project Management

### Why do we need a project management framework?

Most public sector organisations now recognise programme and project management as central to the successful delivery of their key programmes of work. Project activity in Lewisham represents a very substantial investment of public money and is critical to our work as a Local Authority, but inevitably involves an element of risk. To ensure projects are delivered on time, on budget and with the intended outcomes for our community, it is vital that we have an effective project management methodology.

The approach described in this Handbook is founded on well-established principles of project management and broadly follows the PRINCE2 model. PRINCE2 is now recognised as the preferred framework for public sector project management and many Authorities are adopting an approach based on this model. Where appropriate, PRINCE2 terminology has been adopted to provide a common language and enable communication with external organisations and consultants.

The Lewisham Approach has been developed in response to:

- An increasing need to manage a wide range of complex projects (construction, regeneration, ICT, service re-configuration) more effectively through all Phases
- A need to support project managers working within Lewisham
- A need to define and strengthen the senior management role in project development and delivery
- The results of Best Value Reviews, other internal reviews and lessons learnt from project delivery in LBL
- The Gershon review of Efficiency
- Other initiatives / pressures from Central Government, requiring the public sector to further improve its project management performance

### Principles of Good Project Management

A structured project management methodology helps the project manager deliver effectively and significantly improves the likelihood of project success. It's starting point is reaching a common understanding of the project's objectives & scope, how it is to be organised and delivered, the resources required and the risks involved. The Council's approach is based on gaining a thorough appreciation of a project before committing substantial resources.

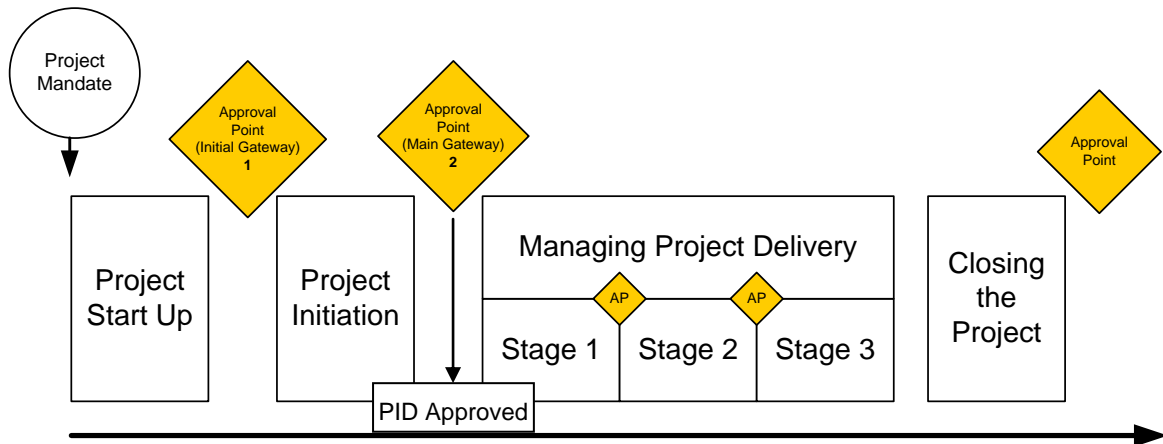
Using a structured approach will ensure:

- A controlled and organised start, middle and end
- Clearly defined Roles & Responsibilities
- A governance structure than provides adequate control & support, appropriate decision points, management by exception
- Regular reviews of progress against the project plan and Business Case
- The involvement of key stakeholders at the right time during the lifecycle
- Active management of Risks
- Early warning of issues / deviations from the plan and the means to manage these
- Adequate control of changes
- Good communications within the project, with senior managers and with other stakeholders



## The Project Lifecycle

The project lifecycle diagram below shows the 'management' phases of a project, the boundaries between them represent decision / approval points (Gateways), i.e. getting agreement to the commitment of resources and the authority to proceed from the Project Board and Project Review Group. For large or complex projects the 'Managing Project Delivery' phase may involve a number of stages with additional approval points.



**Key project management outputs ('deliverables' / 'products') from each phase:**

Project Start-Up	Project Initiation	Managing Project Delivery	Closing the Project
<ul style="list-style-type: none"> <li>Objectives &amp; Scope</li> <li>Outline Business Case</li> <li>Project Approach</li> <li>High level Plan</li> <li>Initial Risk assessment</li> <li>Overview of Costs</li> <li>Initial Stakeholder Analysis</li> <li>Project structure</li> </ul> <p><i>The above will be produced as a <u>draft PID</u> or <u>Project Brief</u></i></p>	<ul style="list-style-type: none"> <li>Project Plan</li> <li>Updated Risk Register</li> <li>Refined Business Case</li> <li>Cost Plan</li> <li>Project Controls</li> <li>Communications Plan</li> </ul> <p><i>Produced as part of the <u>Project Initiation Document</u></i> The PID &amp; Project Brief templates can be found on the <a href="#">Project Management Template site</a></p>	<ul style="list-style-type: none"> <li>Highlight (progress) Reports</li> <li>Exception Reports where required</li> <li>Change Requests</li> <li>Updated Project Plan, Risk Register, Lessons Learned Log &amp; Issues Log</li> </ul>	<ul style="list-style-type: none"> <li>Closure / Lessons Learned Report</li> <li>Plan for Post Completion Review (where appropriate)</li> </ul>

*These 2 phases are often combined in small, non-complex projects*

Figure below shows how project activities might fit within these management phases. Note that this is only an example.

	Project Start Up	Project Initiation	Managing Project Delivery	Closing the Project
<b>Major I.T. Procurement Project</b>	<ul style="list-style-type: none"> <li>-Initial Scoping with SRO</li> <li>-Soft market testing</li> <li>-Option Appraisal work</li> <li>-Outline Bus. Case, incl. initial view of Costs, Risks.</li> <li>-Start work on assembling a Project Team &amp; Board</li> <li>-Produce a consultant's brief</li> </ul>	<ul style="list-style-type: none"> <li>-Select / appt consultant</li> <li>-Stakeholder Analysis</li> <li>-Set up Project Team / Board</li> <li>-Confirm Objectives / Scope with Board</li> <li>-Capture detailed requirements (spec.)</li> <li>-Refine pre-tender estimate of costs</li> <li>-Define procurement route, prepare tender documentation</li> <li>-Produce detailed Project Plan &amp; Risk Register</li> </ul>	<p>Tender Process: Shortlisting - M&amp;C Contracts Evaluation – M&amp;C C (award)</p> <p>Install Customise &amp; Configure Data Load &amp; test Pilot &amp; Launch</p> <p><i>Project Mgr monitors delivery, provides Highlight reports to Board/PRG. Uses Exception Reports / Change Control to deal with issues &amp; requested changes</i></p>	<p>Project Mgr completes a Closure report for the Board, including Lessons Learned</p>
	<p>Seek approval to proceed, incl. appt of consultant</p>	<p>PID Approval</p>		<p>Approval to close project</p>

## Lifecycle Overview

### Phase 1 - Project Start-Up

During this phase the objectives & draft scope are confirmed & some work will usually be started on specifying the 'deliverables' (tangible outputs / products). Key stakeholders will be identified and work may start to engage with them. The project organisation structure and roles / responsibilities for delivering and governing the project will be clarified. An outline Business Case will need to be produced, dependant on the nature of the project this may need to include an options analysis and a justification for the chosen approach. A high level delivery plan (timetable) will be drafted and an initial view formed on likely costs and risks. All this information is presented for approval (Initial Gateway) in the form of a draft PID or Project Brief. See p15 for further details on Start-Up.

*Note: Start-Up and Initiation phases are often combined in small projects, without the need for an Initial Gateway. A separate Start-Up Phase with an Initial Gateway is required where further development of the project requires commitment of significant resources. The purpose of an Initial Gateway is to ensure that the project business case is valid, i.e. further investment of resources appears worthwhile and to tease out the key issues. An Initial Gateway is mandatory whenever the project wishes to bid for external funding.*

### Phase 2 - Project Initiation (Initiation Stage\*)

This is the detailed planning phase/stage, further defining requirements for project deliverables and benefits. More detailed work will be done on planning tasks, timescales, costs and risks and the Business Case will be reviewed and refined in light of all this work. Resources will need to be allocated to the identified project tasks and any necessary procurement process started to obtain external expertise. The project controls will be designed; i.e. how progress / quality is to be monitored and reported, documents & data controlled, how issues are to be escalated and changes kept under control. In many cases it will be necessary to carry out a more thorough stakeholder analysis and design a communication plan that ensures that needs / expectations are addressed. **The key output from the Initiation Stage is the Project Initiation Document (PID).** This document provides the basis for the decision to proceed and **no project can go ahead without a PID that has been signed off by the project's Senior Responsible Officer (SRO) and then by the Chair of the Capital Delivery Board – at the Main Gateway.** See p23 for further details on Initiation.

*Note: The SRO or Council processes may require more 'approval / decision' actions after PID approval, see overleaf for a note on financial / other approvals.*

*\* Note: This phase is the Initiation Stage in the PRINCE2 model*

### Phase 3 - Managing Project Delivery

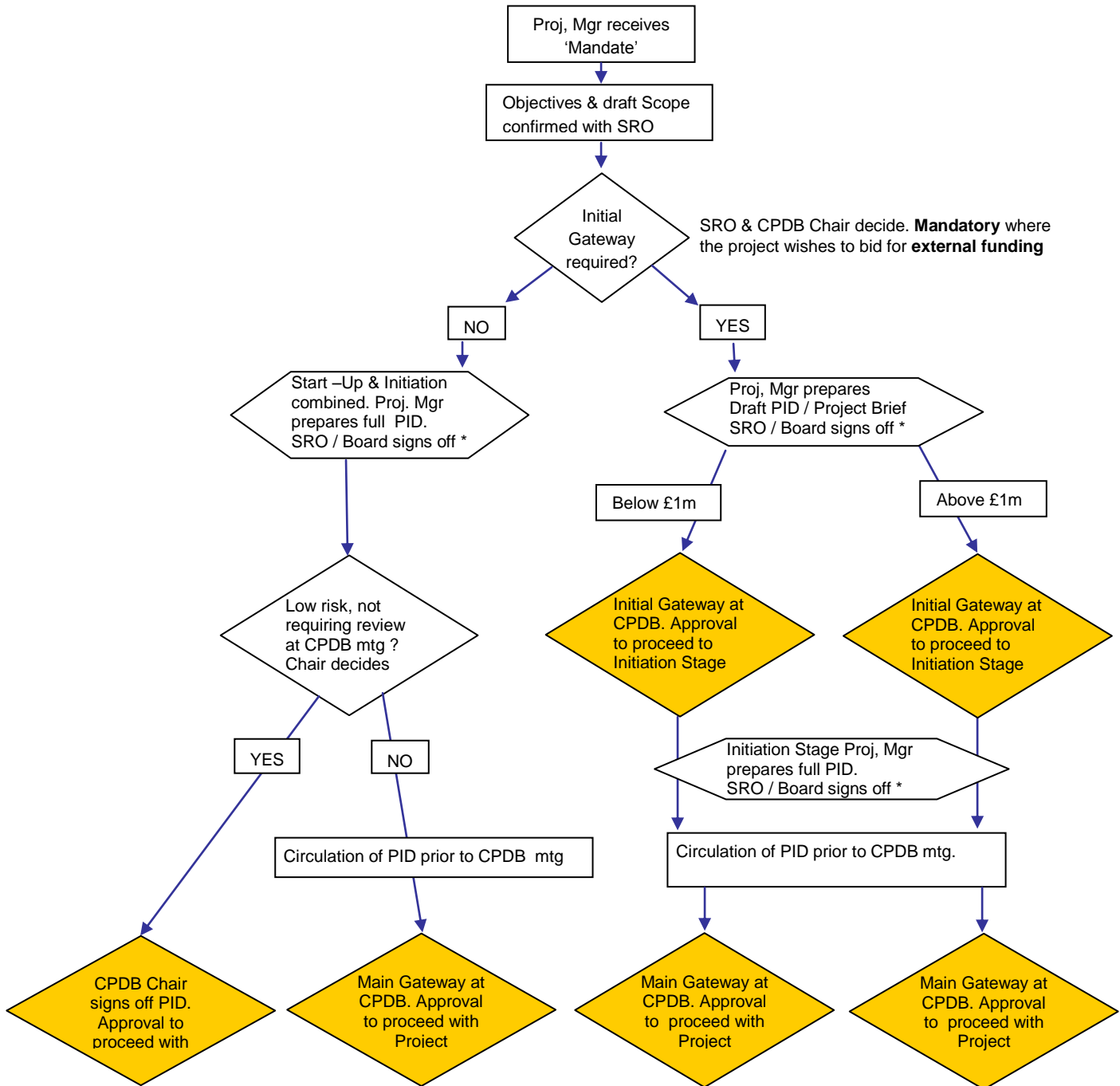
This is the implementation phase of the project, delivering the specialist work of the project as detailed in the PID. The project manager will be initiating & co-ordinating the work, monitoring and reporting delivery against the Project Plan and agreed quality criteria. Issues and Risks are logged as they arise & escalated where necessary. An appropriate change control system will be used to ensure that the impact of requested / required changes is understood and appropriate decisions are made. It is important to recognise that the PID is a live document, used to manage the project. Key elements of the PID must be updated to reflect any slippage / changes in scope / costs / risks etc. See p27.

### Phase 4 - Closing the Project

This phase involves ensuring the project deliverables have been handed over, accepted as meeting the requirements and identifying any follow-on actions required. It may also require arranging for support / maintenance / operation of the deliverables. Arrangements need to be made for archiving of project documentation. The project manager will review performance against the PID and document this in the Project Closure Report. This includes 'Lessons Learned' unless a separate exercise is commissioned. The formal end to the project is sign-off of this report by the SRO, confirming project closure. In some cases, there will be a need to plan for a subsequent, post-completion review, in order to evaluate the extent to which the planned benefits from the project were realised. See p32.

## Approval of Projects

The process of project approval is flexible to account for projects of differing sizes and complexity. The flow diagram below gives an overview of the different routes. Further detail is given in the sections on Start-Up and Initiation.



Note: **Gateway Reviews** at CPDB may require the attendance of other officers / those with specialist expertise. For some very large schemes an alternative Gateway mechanism may be used (e.g. OGC process using an external team)  
 \* SRO / Board decisions to sign off a draft / full PID are clearly an essential part of the Gateway process. These are included as part of 'PID preparation' merely to simplify the flow diagram

Note: **Financial & other approvals.** Other approvals may be required in order to allow your project to proceed, e.g:

- External Funding Bids (Ex. Dir or M&C)
- Tender Shortlist & Contract Award approvals, to M&C (Contracts) or Exec. Direc. dependant on nature / size of project
- Approval to commence appointment of consultants
- Approval for 'single tender action' (an exception to the general requirement for open tenders)

For further information see the [Desktop Guide to Procurement](#) or [Financial Procedures](#) as appropriate

Officers must build-in appropriate timescales for these approval processes and those regarding any statutory consents required (e.g. planning permission)

## Lewisham's definition of Projects & Programmes

### Project

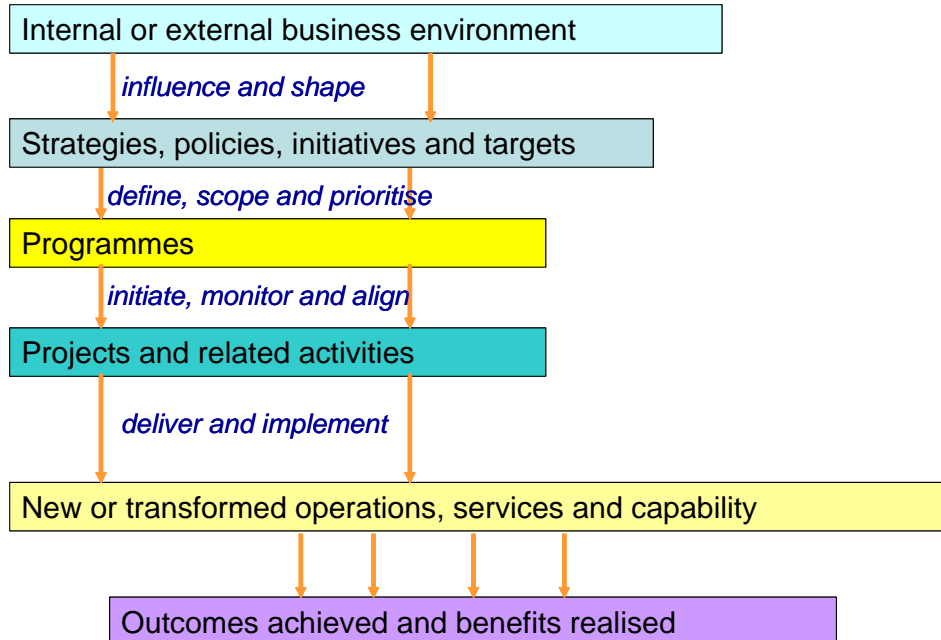
**“A series of co-ordinated activities planned to achieve a clear objective within a defined time-scale, within a defined budget & to the required quality.”**

It is also often also described in terms of a *temporary structure* that is disbanded when the work has been completed. Projects will normally have the following characteristics:

- clear objective(s) & business case
- specified end product meeting a business need
- produces benefits
- temporary Organisation structure
- clear start & end dates
- defined budget
- involves a change
- unique, non-recurring

### Programme

A programme is a portfolio of projects that share a set of strategically important desired outcomes and benefits. Programme management involves organising, directing and implementing these projects in a co-ordinated way to maximise overall benefit realisation. There are very often interdependencies between projects in a programme and there may be shared resources. With this in mind, it will usually be clear whether a group of projects needs to be managed as a programme. Where the above conditions exist, the need for and advantages of a having a level of strategic overview, co-ordination and control above the project level are self-evident. The Programme Manager / Board will be sufficiently detached from the detailed project activities to focus on the overall vision / outcome and will have a grasp of the bigger picture.



### Work package

A term used in PRINCE2 to describe the information given to an individual / Team who are producing a project product. It will contain a 'Product Description(s)' / specification for the product, including quality criteria, agreed timescales, reporting requirements to the project manager (called Checkpoint Reports in PRINCE2) and any special instructions.

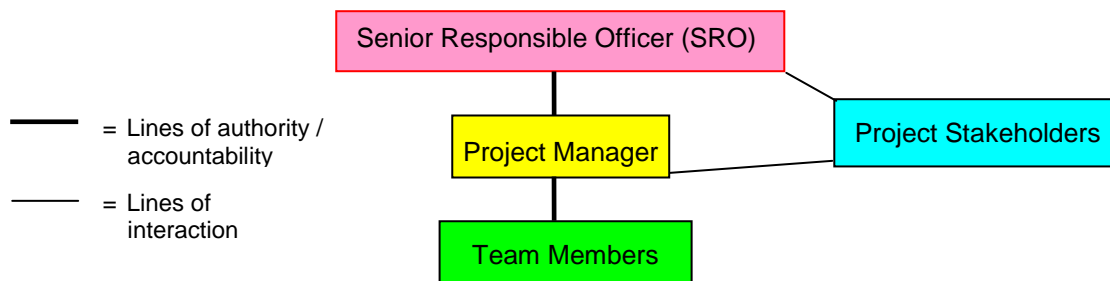


### 3. Project Organisation and Governance

For every project, the structures for delivery and decision-making need to be established at an early stage and be appropriate to the project's scale and complexity. Roles and responsibilities need to be clear, documented in the PID and signed up to by all concerned.

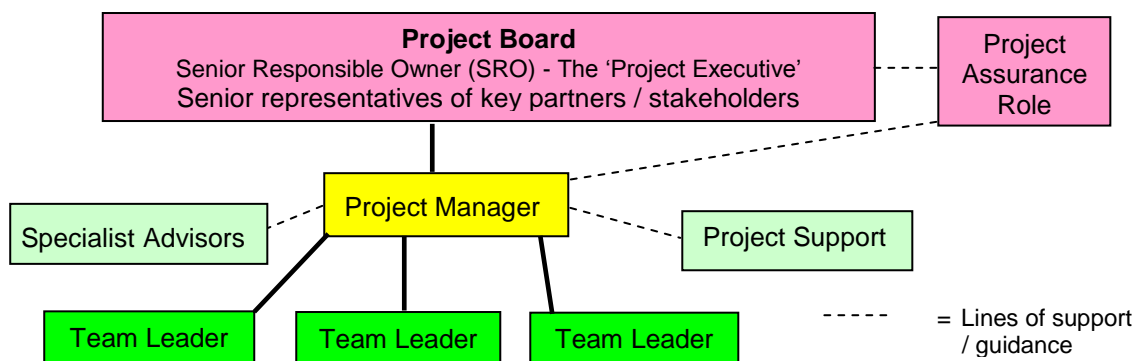
**As a minimum, all projects must have a Senior Responsible Officer** (also often referred to as the *Project Sponsor*) **and a Project Manager** (an LBL officer – see p13). The diagrams below show typical, basic structures for small and large projects. The remaining parts of this section describe the responsibilities of the main roles.

#### Small Project Organisation



In a small project, a full Project Board is often not required and approvals / key decisions will be dealt with by the appropriate senior manager acting as the project's Senior Responsible Officer. This will usually be at the Group Manager / Head of Service level. Both the SRO and the Project Manager are likely to need to engage with stakeholders. In this example the Project Manager is carrying out the role of Project Support.

#### Medium / Large Project Organisation



In larger projects, a full Project Board is more likely to be required, typically where different interests from key partners / stakeholders need to be represented. The SRO, representing the major corporate or service interest, acts as the Chair / 'Project Executive' i.e. the ultimate decision-maker. The Board may decide to delegate their 'project assurance' role to others. In this example there are 3 'workstreams' and the Team Leaders will represent the teams at meetings with the Project Team Meetings.

*\* Note: The term 'Project Team' as used here includes the Project Manager and Team Members (or Team Managers as appropriate) with responsibility for delivering elements of the Project (products). It is these who will meet on a regular basis to plan, discuss issues & to enable the Project Manager to assess progress. Note that PRINCE2 uses the term 'Project Management Team' in a wider sense to describe the complete project organisation structure, including the SRO / Project Board.*

## Project Roles and Responsibilities

### Senior Responsible Officer (SRO)

The SRO is the senior manager having overall responsibility for ensuring that a project meets its objectives and delivers the expected benefits. He/ she will own the Business Case for the project. The role needs to be filled by a manager from the relevant area who has sufficient authority to take key decisions. Dependant on the scale of the project, this will usually be a Head of Service or 3<sup>rd</sup> tier officer. For large / complex projects, the role will often operate within a Project Board, where the SRO will Chair as the ultimate decision-maker (the 'Project Executive' role in PRINCE). SROs should receive training in order to undertake this role.



Main features of the SRO role:

- Confirming project Objectives & Scope
- Ensuring there is a sound Business Case for the project (ensuring good strategic fit with corporate / directorate objectives).
- Ensuring there is a coherent organisation structure for the project. Appointing the project manager
- Being a champion for the project, both externally and within the Council, including briefing senior colleagues
- Providing leadership, direction and support for the project manager
- Ensuring that the project is technically and financially viable / sustainable
- Taking key decisions / giving approvals above the project manager's level of authority (e.g. approval of PID & at other key stages, committing resources, dealing with issues and changes)
- Providing adequate financial and human resources to the project manager, throughout the project lifecycle
- Engaging with key stakeholders / partners at a senior level
- Reviewing progress on a regular basis (monthly Highlight Report as a minimum)
- Actively engaging in the management of project risks, including providing resources to implement risk management measures
- Authorising project closure
- Consider need for and commission post project review.

It's clear from the above that the SRO role is not a passive, figurehead one. The role does however, operate on a 'management by exception' basis. That is, the SRO will agree authorisation points (the default, mandatory one being PID approval at the Main Gateway) and may set tolerances for the Project Manager to work within (e.g. for time, cost & quality). Apart from providing the SRO with routine Highlight (progress) reports, the Project Manager will only need to refer to the SRO for decisions on problems / required changes that are above the PM's level of authority.

Quotes from LBL Project Managers:

***“ The SRO for my project was accessible and supportive. They were at the right level to be able to deal with blockages and made an enormous contribution to the success of the project”.***

***“The SRO turned up at the opening, but was fairly invisible until then. I got very little support & found it difficult to get him to take the key, tough decisions. His apparent lack of ownership caused real problems”.***

## Should I be the SRO ? - Checklist

1. The project contributes to my objectives and those set for me
2. The project is part of the service plan for my department / directorate
3. I am confident that this project is justified and will deliver benefits for the organisation
4. I have an understanding of the product or service that will be delivered as a result of this project
5. I have some budgetary control over this project
6. I am in a position to take the key decisions necessary to drive the project forward
7. I am in a position to pursue the resources necessary for this project and address any potential obstacles
8. I will be able to sell this project to senior stakeholders
9. Can make time to be the SRO, including being accessible to the project manager
10. I have the authority to take action to cancel the project, if appropriate
11. I am aware of the key risks for this project

**If you score 7 or over you should be the SRO.**

## Project Board

As indicated earlier, for larger projects the SRO may operate within a full Project Board structure. The decision as to whether a Project Board is required will rest with Executive Directors on the advice of the SRO. A Board should always be established where there are external delivery / funding partners. The overall task for Board members is to promote and maintain focus on the desired outcome. A Project Board will collectively undertake the functions outlined on p10, taking the key decisions, resolving issues etc. All Board members need to have sufficient authority to make decisions. Board responsibilities should not be delegated. The SRO will represent the main 'business' interest, usually from the service area concerned and be the ultimate decision-maker. Other Board members will be senior representatives of partners or other stakeholders with an interest in the project. Interests that typically need to be represented are 'end users' and 'suppliers'. The latter will be a senior representative of those designing, developing or implementing the project outputs. They will often be the specialist in the project activity area and will be accountable for the quality of supplier products. Ideally, all Board members also need to be able to stay with the project throughout its lifecycle. Numbers of Board members need to be kept low, typically between 3 & 6, even for a large project.

All Project Board members always have a 'Project Assurance' role, i.e. monitoring the continued validity of the Business Case against external events, ensuring that evidence of satisfactory progress is adequate, agreed standards are being adhered to etc. In very large projects this function is often delegated to others acting on the Board's behalf, but is always independent of the Project Manager and overall responsibility remains with the Board. Project assurance roles within the Board are aligned to the main Board roles. The representative of 'end user' interests would need e.g. to check that the specification of user requirements was complete, accurate & unambiguous, to check that the developing project is on track to provide a usable product and that any changes weren't drastically affecting this. From the supplier perspective, the relevant Board member would need to be confident that relevant standards are being adhered to in making the project products & e.g. relevant quality control measures are in place & being used.

### Summary of SRO / Board decision-making:

- Signing off Business Case / Project Brief (where separate Start-Up Phase)
- Signing off PID (authority to proceed) – a responsibility shared with PRG Chair
- Reviewing Highlight (progress) reports on a regular cycle
- Making decisions on Exception Reports (problems / issues), approving the chosen course of action
- Identifying & committing resources where required
- Approving / rejecting Change Requests after considering the impact on the project
- Reviewing the Project Closure Report, applying any lessons learnt within their part of the organisation and assisting with wider dissemination within the Authority. Considering the need for post-project review.

## Project Manager

The Project Manager is responsible for delivering the end product of the project on behalf of the SRO / Board. The Project Manager leads and manages the Team Managers/members with the authority and responsibility to run the project on a day-to-day basis. The Project Manager's key responsibility is to ensure the project delivers the right outputs, to the required level of quality and within the specified constraints of time, cost and resources. Actively managing project risks will be key to achieving this. It is essential that the project manager is experienced and trained to a level appropriate to the scale of the project.



Key aspects of the project manager role include:

- Build the Project Team, including the appointment of external staff
- Identify, evaluate & monitor project Risks, keeping Risk Register up to date
- Confirm Objectives, Scope and Business Case with the SRO
- Manage all the pre-planning and produce the PID, (incl. the Project Plan, Cost Plan, Stakeholder Analysis).
- Ensure compliance with the [Construction \(Design & Management\) Regulations 2007](#), where these apply
- Communicate effectively with key stakeholders
- Manage all approval processes, both SRO / Board & other Council requirements
- Schedule and co-ordinate project work, issuing 'work packages' to individuals / teams
- Manage delivery as detailed in the PID, monitor delivery of outputs against the Project Plan & quality requirements. Monitor spend.
- Produce Highlight Reports for the SRO / Board to give regular progress reports at the agreed frequency.
- Control proposed changes to the project (e.g. to scope or requirements), seeking decisions from the SRO / Board
- Escalate problems / issues to the SRO / Board via Exception Reports
- Update Plans to reflect changes, slippage etc
- Manage project administration, including maintaining configuration control of project outputs, adequate version control of all key documents and generating all required project records to maintain an audit trail.
- Manage project closure, preparing Closure / Lessons Learnt report for the SRO / Board

## Use of external consultants for project management functions

In large and complex projects an external consultant will often be appointed to carry out project management functions\*. **An LBL officer must however still be designated as the Project Manager and will retain overall responsibility for the project within LBL.** They may indeed hold budgets / manage activities that are not within the remit of the external consultant. This LBL officer, often previously referred to as the 'Client Officer' or 'Scheme Manager', may be from the service area concerned. In some cases an internal project manager with appropriate expertise may be given this role (e.g. from within the Property & Programme Management Division).

In these circumstances, it is particularly important to detail the extent of delegation / split of responsibilities between the LBL Project Manager and an external consultant carrying out some of the project management functions. A Responsibility Matrix may be helpful for detailing whether tasks are the responsibility of the LBL Project Manager, the consultant or other team members.

*Note 1: \*In PRINCE2 terms, the external consultant will be a 'Team Manager'.*

*Note2: Employment of external consultants requires the prior approval of your Directorate Head of Resources. A written business case must be submitted justifying the need for an external consultant. See Procurement, p14.*

Activities that will remain the responsibility of the LBL Project Manager (the Client) where an external consultant has been employed to carry out some of the project management functions:

- Identifying requirements, agreeing project objectives (*with SRO*)
- Identification of Strategic Risks (*with SRO*)
- Ensuring compliance with the [Construction \(Design & Management\) Regulations 2007](#), where these apply
- Securing financial & human resources (*with SRO*)
- Securing a budget for additional, ongoing revenue costs (*with SRO*)
- Preparation & obtaining approval for the PID
- Inter-directorate agreements, incl land transfers
- Site acquisitions, agreements to lease
- Identifying & agreeing insurance requirements
- Communication & negotiation with external funding partners.
- Identifying critical interdependencies
- Agreeing project organisation / governance structures
- Agreeing chosen option, procurement route (contract type) etc (*with SRO*)
- Providing information on project funding & any conditions to this
- Providing Highlight Reports to the SRO / Board
- Preparation of reports to CPDB & M&C
- Preparing Stage / Gateway reports
- Escalating Issues to the SRO
- Obtaining agreement to changes in scope, timescales, budget.

### Team Members

It is very important for roles & responsibilities of Team members to be clear, to ensure all concerned have a common understanding of exactly what they are being asked to contribute. It is essential for example, to describe the project 'products' that individuals / teams are responsible for creating and to detail responsibilities for progress / issue reporting, financial management etc.

*Note, appointment of the wrong people is one of the commonest causes of project failure, it's vital to check that project staff have the appropriate skills & experience.*



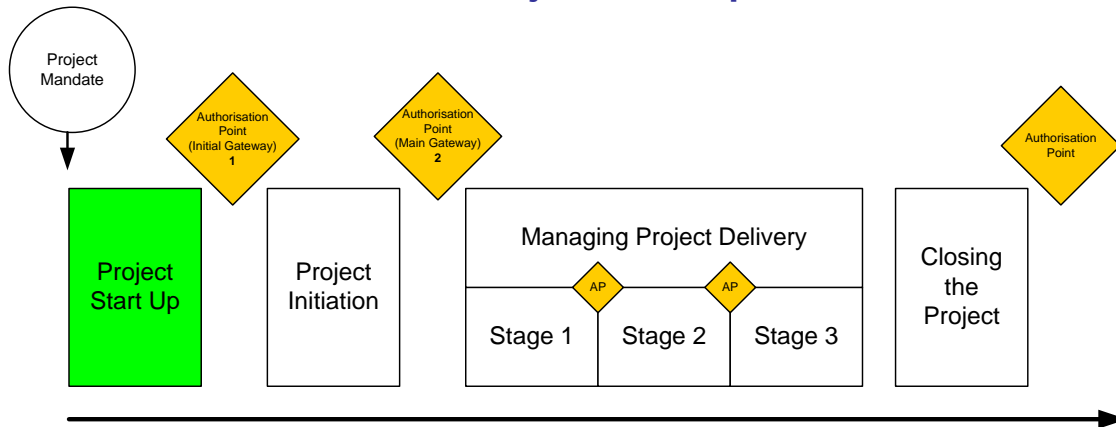
It is usually very important to indicate the extent of the time commitment involved for key staff.

**Procurement:** Approaches to and responsibilities for procurement will need to be addressed. Consider the need for advice from the corporate Procurement Team, who are able to offer a range of services dependent on the nature & scale of the project. In large, complex projects consider the need to include a member of the Procurement Team on the Project Team. The [Shared Document Library](#) on the [Procurement Team's SharePoint site](#) contains a lot of helpful information on procurement processes, including the [Desktop Guide to Procurement](#) and the [Approval Process for the Appointment of Consultants](#)

You also need to consider potential environmental effects arising from procurement activities. See LBL's [Guide to Green Procurement](#) & the [Carbon Reduction & Climate Change Strategy](#)

## 4. The Project Management Process

### Project Start-Up



Projects are born in many different ways, the initial idea or 'mandate' may be verbal or there may be extensive detail from earlier discussions / plans / feasibility work / programme-level approvals.

The main work during Start-Up is to establish the objective / scope, to confirm that there is a sound rationale for the project, that it appears deliverable and to identify who will fulfil the main roles (SRO / Board and Project Manager). At the end of Start-Up the Project Manager will be seeking approval to proceed with detailed planning and definition (see below).

#### Start-Up Tasks:

- Identify the SRO for the Project, appoint Project Board members where required
- Appoint a Project Manager and identify Project Team members
- Start Project Definition, e.g. confirm the Objective(s) and draft Scope
- Produce an outline Business Case
- Examine options & deciding on the approach to be adopted to deliver the objective
- Produce a high level Project Plan
- Carry out an initial Risk Assessment
- Produce an initial estimate of project Costs
- Carry out a Stakeholder Analysis

The process used to carry out these tasks will vary according to the scale and nature of the project, it is often helpful to hold an initial project workshop including the SRO. **The main output document from Start-Up will be a draft PID or Project Brief**, submitted first to the SRO / Project Board for sign-off. Corporate templates are available for a Project Brief, PID, Risk Register and a Stakeholder Communication Plan on the [Project Management Templates site](#). The extent of detail required at this stage will also vary. Either use the Project Brief template or where a draft PID is more appropriate, include as a minimum the items listed on p5 under the Start Up column of the Project Lifecycle.

Formal approval to proceed with detailed planning (to fully developed PID) is via the **Initial Gateway review**, conducted at the Capital Programme Delivery Board.

*Note: Other Gateway Review mechanisms may be required for very large projects or programmes.*

**For small / non-complex projects, the Start-Up Phase will usually be combined with the Initiation Phase, without the need for an Initial Gateway.** It isn't realistic to prescribe a financial limit to determine whether a separate Start-Up Phase is required, but an important factor will be the level of resources required to develop a full Project Initiation Document (PID). If significant resources need to be committed to fully define needs, explore options, produce initial estimates / plans etc, then a separate Start-Up Phase should be carried out and approval sought to proceed before this detailed planning work is carried out (the Initiation Stage). The decision as to whether a separate Start-Up Phase is required is to be made by the SRO in consultation with the Chair of the Capital Programme Delivery Board. **An Initial Gateway is mandatory where the project wants to bid for external funding. In this case use the Project Brief template.** Also note that after CPDB Chair clearance, sec. 14 of [Financial Procedures](#) also require formal clearance of such a bid, either by Mayor & Cabinet or by the Executive Director with the Head of Business Management & Service Support, dependent on the amounts involved.

The rest of this Chapter gives guidance on completion of the draft PID and other key documents required during this Phase. Further information on the role of the CPDB is given in Annex 3, section 3.4

## Project Definition

### Project Objectives, Deliverables and Scope

In some cases the initial idea / mandate will require some clarification with the SRO to ensure the project objectives etc are understood from the outset in order to avoid detailed planning of the wrong project. It is also vital at this early stage to ensure that all key stakeholders have a common understanding of the project.

#### Objectives

What is needed is a clear description of what the project aims to achieve, the overall desired outcome(s). This information will usually be expressed in service rather than technical terms. Objectives should be SMART – specific, measurable, achievable, relevant and timebound. In documenting objectives, avoid words like improve, optimise, clarify, help etc. These are vague words that are likely to mean that the result won't be measurable. Objectives must be relevant to corporate priorities / directorate objectives and underpinned by a valid Business Case (see below).

#### Deliverables

In most cases it should be possible even at this early stage, to provide an outline description of the tangible things that the project will need to produce in order to achieve the objectives. Also described as 'outputs' (or 'products' in the PRINCE model). Important documents that need to be produced during the project should be regarded as deliverables. Deliverables need to be quantified and quality / performance requirements understood. For construction-related projects or others creating tangible products / assets this is where the detailed specification would be referenced. In many cases the detailed requirements will be worked up during the Initiation Stage.

#### Scope / Exclusions

The boundaries / parameters of the project, what's included & what is specifically not the responsibility of the project (the work to be done, client groups involved etc). For some projects this will be clear from information in the previous two sections, but in other cases it will be important to clarify scope issues here, e.g. to avoid differing expectations among stakeholders.

### Example of a completed PID section 2 for Objectives, Deliverables, Scope

#### Project Objectives

The Objectives of the project are to:

- rebuild the primary school as by the deadline set – Dec 08
- to the requisite design and quality standards (BB93 AND 99) and within the budget set
- There should be as little disruption to the School as possible during the project and in particular the building phase and the level of teaching or attainment should not be affected

#### Project Deliverables

A new two form entry primary school with attached nursery delivered in Q1 2009 for a net cost to the Council of no greater than £7.5m.

The School must meet the DFES design standard BB99.

In addition as the School houses a hearing impairment unit (a SEN capability) the acoustic design of the School must comply with the DFES standard BB93

#### Project Scope/ Exclusions

In project scope are all tasks, activities and actions to rebuild the new primary school to the standards and quality set out in the business case.

Out of the project scope currently is the provision of hard and soft Facilities Management services for the new primary school



## Business Case

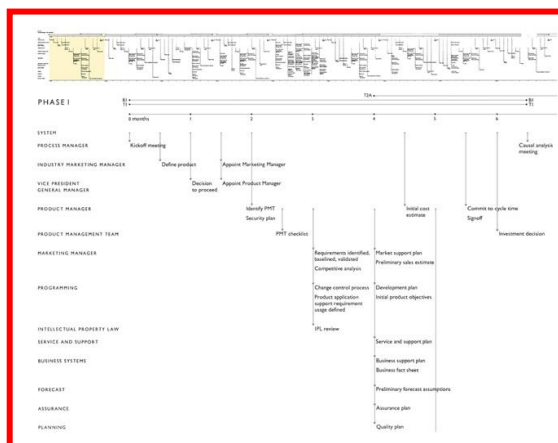
Identifying a business need and providing a justification for the proposed project is a vital early task. At the Start-Up Phase this may only be an outline and will be refined during the Initiation Stage as more information is obtained. In any event an outline Business Case must always demonstrate that investing in an Initiation Stage to further develop the project is justified. In constructing a Business Case, consider the following areas as appropriate to the project:



- **Drivers** for the project - (e.g. operational, legislative, financial ) what is creating the need to pursue the project
- **Strategic / policy context** - A Business Case will need to demonstrate that the project fits well with existing relevant policies / strategies (Central Government, LBL corporate priorities, directorate objectives, etc).
- **Option Appraisal / Commercial(Project) Approach.** Where different options exist, the preferred option / approach needs to be justified including justification for the commercial approach including the procurement route being adopted. This may include explaining the implications of the 'do-nothing' option. Reference any preliminary feasibility work done to examine options / approaches. For large scale capital projects it will often be necessary to demonstrate that the proposed option provides the best solution & value for money on a whole life costing basis. Deciding on the project approach will involve considering e.g. :
  - Bespoke product development or off the shelf
  - In-house or outsourced development / provision
  - Going it alone or collaborative development with another Authority
  - Refurbishment / upgrade or replacement
  - Construction procurement: Traditional, design & build, partnering, construction management
- **Service benefits**, (quantitative & qualitative), including a reasoned argument that the benefits outweigh the risks (for the chosen option / approach). Benefits might include improved service delivery or efficiency savings in terms of staff time, transaction costs, running costs, elimination of waste etc. These are directly linked to the project objectives and need to be measurable, often expressed as a target.
- **Affordability**, an initial view, (funding available set against preliminary estimates of whole life costings)
- **Stakeholder analysis** & how they are / will be engaged. Results of any consultation.
- **Service data** (or other relevant data) that demonstrates the need for the project.
- Where appropriate, some evidence that the project objectives / approach represents current **best practice**.
- An indication that the project benefits are **sustainable** & help meet wider LBL sustainability objectives. As a minimum, there needs to be clarity that any asset created can be financially sustained, i.e. any ongoing extra revenue expenditure can be met.

## Project Plan

Details of all the key tasks to be undertaken, scheduled against a timeframe. At the Start-Up Phase, it will usually only be possible to give an indicative delivery timetable for the overall project, but it will be necessary to give a more detailed picture of the timescale for the next (Initiation) Stage. A Project Plan is often represented as a **Gantt Chart**, showing the duration of major project work areas. A Gantt Chart template is available on the [Project Management Template site](#). As a minimum, a list of estimated dates for major milestones should initially be given. These are particularly significant events in the project lifecycle, e.g. completion of a key task / Stage / phase. This may include approval points to move to the next stage (e.g. approval of Gateway reports for very large projects). The Project Plan is a key tool for managing the project & for assessing progress and when fully developed needs to be sufficiently detailed to fulfil this function.



A guideline for level of detail required when project planning: break down work areas into tasks/work packages that will be allocated to discrete teams/officers as appropriate. This activity should be informed by key milestones and the level at which the project manager needs to monitor progress.

**See Annex 1 for some project planning tools.**

A common fault with project plans is not allowing enough time for the planning itself, for lead-in / set up and not allowing for the possibility of slippage. Also consider timescales for:

- Statutory consents
- LBL funding approval processes
- Procurement timescales (including EU requirements where applicable) see p14
- Internal & External provider timescales (utilities, ICT \*, other suppliers)
- Activities needed to make a property ready for occupation and arranging accommodation moves. This includes e.g. ICT installations, voice, data & alarm lines, fire safety. **It is vital to consider timescales for these items at a very early stage. Early consultation with Property Services is essential.** See [Guidance Note on LBL Requirements for Inception of Capital Projects involving Property and ICT installations \(excluding schools & housing\)](#)

Quote from an LBL Project Manager:

***“The more I pre-planned the luckier I got”.***

## Risk Management

Risk can be defined as:

**'Uncertainty of outcome'** (Office of Government Commerce)

or

**'The chance of exposure to adverse consequences of future events'.**

(PRINCE 2)

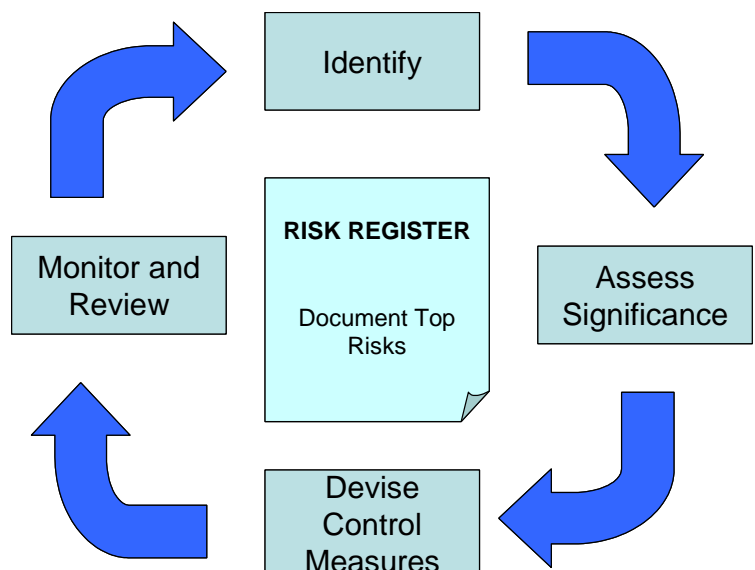


All projects carry an element of risk, since they are unique, non-recurring events with no practice or rehearsal.

Having an early appreciation of risks to a project is essential. It will inform the decision on whether to proceed, help choose the best option, inform resourcing levels etc. An initial analysis of risks should therefore be carried out during Start-Up and it may be helpful to have a **dedicated Risk Management Workshop** involving those with the relevant specialist knowledge. In any event, except for very small projects, it's unlikely that a project manager alone will be able to identify and assess all project risks.

### Risk Management Process

Note that whilst there are several potential responses to project risks, (Terminate, Treat, Transfer or Tolerate), **ignoring the risk is not an option**. Also note that where an external project manager is appointed, it is not appropriate to delegate complete responsibility for risk identification/assessment to them. LBL officers may be aware of issues that an external project manager will not be. The results of a risk analysis are documented in a Risk Register, which needs to be added to as the project develops. The Risk Register



template is located on the [Project Management Template site](#). The Risk Register becomes an integral part of the PID. **When the PID is signed off, giving approval for the project to proceed, the SRO / Board are indicating their acceptance of the level of risk involved.**

Risks should be owned by the person best placed to monitor them and with the authority to implement the appropriate control measure. Where this involves committing resources, this is unlikely to be the project manager. High level strategic / business risks are owned by the SRO. Risk Registers and the effectiveness of control measures need to be reviewed regularly at Project Team meetings.

For some projects, team leaders will maintain their own risk register for the area of work they are completing - however all risk registers will need to feed into the overall risk register maintained by the project manager. It is suggested that the top 15 risks should be communicated to the SRO /Board to make this process manageable.

**Top tip: If you don't know your top 5 risks - you're not managing the project effectively!**

Further information on project risk management, including a Risk Identification Questionnaire the corporate project Risk Register template and completed examples is available [here](#)

## Project Costs

At the Start-Up Phase it will often only be possible to give preliminary estimates of project costs, but a basic cost breakdown needs to be provided that includes all items of project expenditure. This breakdown also needs to profile the spend projection over the financial years in which it is likely to be spent. The basis of the costings needs to be explained (e.g. results of feasibility work, quotes, historical costs, officer estimate etc) to give an indication as to the reliability of estimates. Details also need to be given of any assumptions made in estimating costs.



The full costs of delivery of the project outcome are often underestimated in the Initial Business Case / draft PID (Project Brief) produced at this Phase. Specific cost items to consider:

- Realistic Contingency Sums that reflect cost uncertainties (*Note: the PRINCE2 model assumes a contingency budget is set aside for a specific contingency plan / risk response.*)
- Allowance for inflation for longer duration projects
- Recruitment costs
- Training costs
- For building projects, site specific issues ('abnormals') such as asbestos removal
- Compliance with CDM Regulations (appointing CDM Co-ordinator)
- Costs relating to making a property ready for occupation and arranging accommodation moves. This includes e.g. ICT connectivity costs, software testing, installation of voice, data & alarm lines, fire safety. **It is vital to consider costs for these items at a very early stage. Early consultation with Property Services is essential. See [Guidance](#)**

Note: If the project outcome creates (or increases) an ongoing revenue commitment (e.g. increased maintenance costs, line rentals, software licences etc) this needs to be quantified and a revenue budget source agreed, in order to demonstrate that the project is financially sustainable.

## Project Funding

At the Start-Up Phase, proposed funding sources for the project need to be identified and detailed in the draft PID.

*Note that there are different bidding processes & routes for funding within the Council. (See Annex 3)*

**See further information on Project Costs / Funding in the Initiation Chapter- p24.**

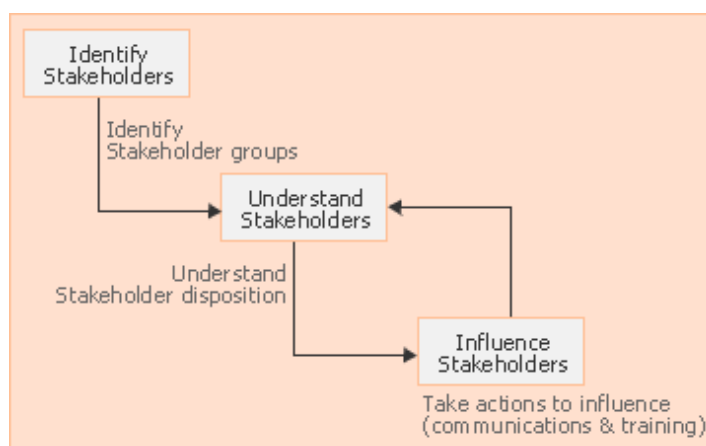
## Stakeholder Analysis

Stakeholders are defined as any individual, group or organisation that has an interest in the project or is affected by the project. It is vital to the success of all projects that stakeholders are recognised, their impact on the project understood and that they are managed correctly. Failure to consult or inform on changes / progress will invariably have a negative effect on a project. It is important to carry out an analysis at this early stage as this may e.g. highlight lack of vital buy-in. It is self-evident that insufficient early consultation may adversely affect project content or direction. **Always consider the need to report to Members on any high profile project, seek the advice of the SRO.**



The basic process for a stakeholder analysis is:

- Identify Stakeholders & the interest they represent
- Assess their impact on / importance to the project
- Develop a communication plan to ensure they are engaged with appropriately



This doesn't have to be complicated or onerous, but some time invested in it will certainly pay dividends. The timing of engagement with stakeholders will clearly vary widely according to the nature of the project. It is likely that for some projects, development of a mature Communications Plan will occur slightly later in the project's development, i.e. in the Initiation Stage.

Having an effective Stakeholders Communications Plan will:

- Identify audiences, plan how, when and what to communicate to them
- Schedule regular updates to ensure stakeholders are kept informed of the progress of the project from start to finish
- Positively influence perception about the project and ensure buy-in from stakeholders
- Minimise risks to the project by providing open, effective communication channels that are able to quickly identify and deal with problems that arise
- Build in evaluation to make sure that key decisions are agreed and to check that communication is working/getting through

The [Stakeholder Analysis and Communications Plan template](#) includes advice on carrying out a Stakeholder analysis and developing a communication plan. It's available on the [Project Management Template site](#)

*Note: For some projects, where interests and impacts are easy to identify, it will be possible to create a Stakeholder Communication Plan directly without the preliminary steps of mapping their interests & assessing their impact.*

*Note: For major projects, in devising your communications plan, consider the need to involve **LBL's Communications Unit**.*

## Equalities and Projects

When designing / planning your project you must consider the impact on different groups within local communities and / or staff. A [Project Equalities Checklist](#) is available to help determine potential impacts and to decide whether a full EIA is required. It is recommended that before the Equalities Impact Assessment section of the PID is completed (sec11), the Checklist is referred to & also that the **Scoping Grid** in that Checklist is used to record your initial assessment. Should the Equalities comments in the PID be queried, the information recorded on the Scoping Grid will provide further detail and e.g. justify a decision that undertaking a full EIA was not required. Note that a full EIA will be necessary where project activities:

- will result in a major service change
- involves a considerable amount of money (large capital project)
- will impact on a large number of people
- will result in a major organisational change

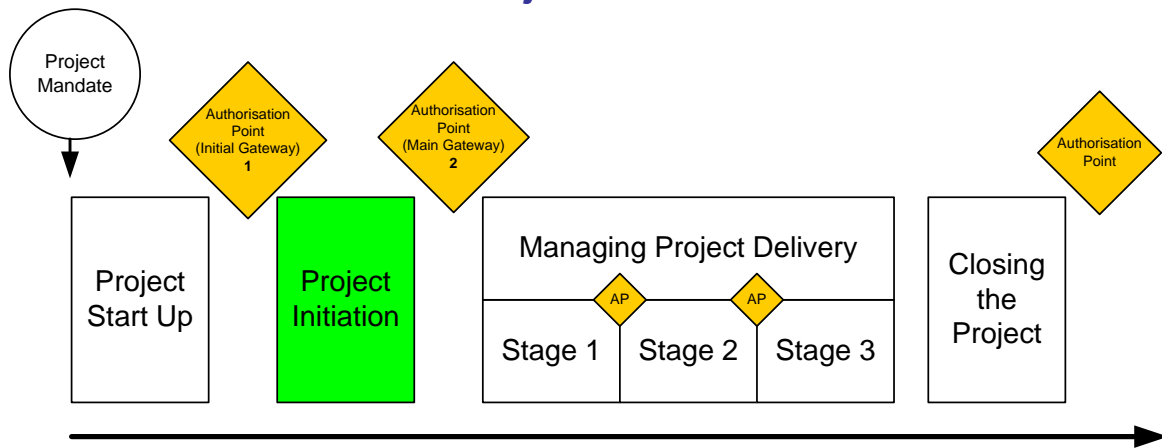
Further advice is also available in the [Equalities Impact Assessment Toolkit](#), or contact your Directorate equalities representative, their details can be found [here](#)

## Start-Up Checklist

As a minimum the Start-Up work and draft PID should have addressed the following:

- |   |                          |
|---|--------------------------|
| Objectives & Scope confirmed  | <input type="checkbox"/> |
| Organisation structure established, key roles appointed             | <input type="checkbox"/> |
| Initial view of Costs   | <input type="checkbox"/> |
| External resources & funding source identified, any gaps identified | <input type="checkbox"/> |
| Likelihood of additional, ongoing revenue costs identified          | <input type="checkbox"/> |
| Key stakeholders identified / consulted                             | <input type="checkbox"/> |
| Outline Business Case completed                                     | <input type="checkbox"/> |
| Proposed Project approach determined, including procurement route   | <input type="checkbox"/> |
| Compliance with Council procedures established                      | <input type="checkbox"/> |
| Milestones identified / Outline Project Plan completed              | <input type="checkbox"/> |
| Initial risk analysis conducted, Risk Register created              | <input type="checkbox"/> |
| Approval to proceed to Initiation Stage (at Initial Gateway)        | <input type="checkbox"/> |

## Project Initiation



### Overview

This Phase (also a PRINCE2 *Stage*) builds on the work carried out in the Start-Up Phase and will involve further definition and detailed planning.

**The output from the Initiation Stage will be the fully developed PID**, comprised of a number of documents for large projects. The PID is the most critical document in the project as it brings together the key pieces of information and provides the basis for authorisation to continue the project. Other documents required to support the implementation of the project will often be produced at this stage. These may include functional and technical specifications, initial designs, contract documents etc. There may also be the need at this point to set up facilities for the Project Team.

It will often be helpful to hold a project workshop / kick-off meeting to explore the work required to fully develop the project and to ensure that the appropriate level of resources / skills are made available. There will also be a need to brief relevant Council services (particularly Procurement and Legal Services) and external partners on the likely requirements that the project will place on their resources.

The process of project development will clearly vary widely according to the nature of the project and there is no generic process that describes how this needs to be conducted or exactly what will be required. The following areas will however need to be covered:

- **Defining requirements** e.g. producing functional and technical specifications, product descriptions
- **Quality** setting quality criteria for project deliverables and determining how quality levels will be controlled / monitored
- **Procurement** confirming procurement route & timescales
- **Project & Resource Planning** Scheduling and identifying resources for project tasks, producing a more detailed Project Plan
- **Costs** producing a more accurate view of project costs (often as a pre-tender estimate)
- **Reporting** confirming progress reporting arrangements
- **Business Case** As further detail becomes available the B.C. needs to be revisited to ensure it remains valid - and refined
- **Risk** Updating the Risk Register and e.g. adding the more 'operational' risks as technical detail becomes available
- **Stakeholders** engagement / development of the Communication Plan
- **Controls** e.g. agreeing tolerances where appropriate, agreeing a process for escalation of problems & for controlling changes to the project

Several of these areas have been covered in the previous chapter. Further advice on project finances, Quality Assurance of project deliverables, Project Controls and base-lining / approval of the PID is given below.

## Project Costs & Funding

- Further, more detailed cost estimation work will normally have been carried out between the completion of the Start-Up Phase and the assembly of the PID documentation.
- The PID template includes cost headings that are examples only, headings can be added or removed to be project specific. Avoid including large, unexplained sums, give a breakdown that demonstrates costs have been thought through, all cost items included & all costs represent value for money. The template asks for information on the basis of costings, to give an indication as to the reliability of estimates. Profiles of projected spend need to be realistic.
- For very large projects a more detailed cost plan will support the PID cost table.
- Cost plans for major capital projects will usually have been developed via feasibility / affordability exercises, often involving option analysis. For capital projects over £1m, estimated costs should be prepared on a **whole life costing basis**, to demonstrate that the chosen option does provide value for money (though costs may not be the only factor determining choice).
- Even for smaller projects, if the project deliverable creates an ongoing revenue commitment (e.g. increased running costs, line rentals, software licences etc) the PID template prompts for these details to be identified & funded, in order to demonstrate that the project is financially sustainable. See Note on p20.
- Specific cost items to consider are contained within the Start Up Phase chapter.
- For some projects the major staff 'costs' will be input from staff paid from core revenue budgets. It may be helpful to quantify this (e.g. hrs per week / team member) in order to flag up impact on other work, need to backfill etc.
- Insurance implications - For Capital schemes, these need to be considered and the Council's Insurance Section contacted at an early stage. (See PID Guidance Notes)
- Funding: The funding table included within the PID should show all funding sources contributing to meeting project costs. Total funding must match total estimated expenditure and there should be no funding gaps at the Initiation Stage. The template prompts for the status of funding to be made clear. Any uncertainties / risks regarding funding should be reflected in the project Risk Register. The template also provides for entering dates of funding approvals.

*Please note that for capital projects, codes will not be issued by the Capital Team where there is a funding gap.*

## Quality Assurance

Quality expectations (criteria) for key project outputs need to be specified, since relying on implied needs in relation to quality is open to interpretation and creates uncertainty. Setting out quality criteria will help ensure project outputs are 'fit for purpose'. This needn't be complicated and is often an integral part of specifying requirements (e.g. to a particular standard). Project managers will usually have the benefit of expert advice for technical products.

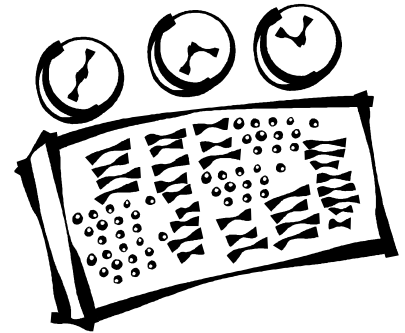
The methods to be used to assess whether the desired quality levels have been achieved also need to be established (e.g. inspection, testing, customer evaluation) and responsibilities assigned for this. For small scale projects with 1 main deliverable this will be an integral part of progress monitoring. Large projects will require a formal Quality Plan to document quality assurance arrangements and a Quality Log to document the performance of quality checking activities & the results. Templates for these are available on the [Project Management Template site](#).



Note that for projects where Product Descriptions are utilised (typically for more complex projects with multiple products / work packages) the quality criteria / assessment method will be an integral part of each Product Description.

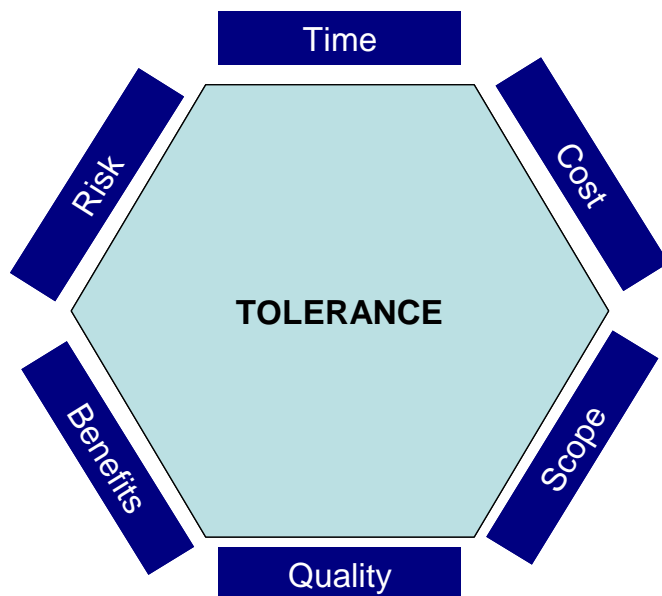
## Project Controls

Many of these are covered elsewhere in this Handbook, (organisational structure, authorisation points, risk management, quality assurance). Several others will be covered in the following Chapter on Managing Project Delivery (progress reporting, dealing with issues & problems, controlling changes to the project). Some others need considering at this point:



## Tolerances

Consideration needs to be given at this point as to the setting of any tolerances, the SRO agreeing these with the Project Manager & documenting them in the PID. Tolerance in project management is: ***'permissible deviation above and below a plan's estimate of time or cost without escalation to the next level of management'***. Tolerances can also be set for quality, scope, benefits & risk.



The PRINCE2 model for project management recognises that SRO / Board 'manage by exception' i.e. the project manager is given the freedom to manage the project within these agreed boundaries, just giving routine progress (Highlight) reports whilst the project remains within tolerances. Matters are only escalated to the SRO (via an Exception Report ) when it is clear that a project is forecast to exceed an agreed tolerance. (See 'Managing Project Delivery' Chapter, p27)

Setting project tolerances therefore avoids unnecessary references to the SRO for authorisation of small variances and allows a project manager to get on with their job. It will also help ensure that large variances are reported.

## Project Records & Document Control

It is at this stage that project files will normally be set up, responsibilities for maintenance assigned and the system for storage and retrieval communicated to those concerned. Poor record-keeping is a common problem with projects, often causing significant problems further down the line.

**For a generic list of project records, see Annex 4**

**Top Tip:** The Sharepoint Project Workspace template offers greatly improved opportunities for document control & for sharing documents

Key project documents such as the PID are baselined' (i.e. 'frozen') when they are agreed and authorised. A degree of formality needs to be established to control changes to them and it is clearly important to ensure that everybody is working to the current version of key project documents. A simple system of document control (i.e. version control) will need to be established and in large projects a distribution list for project documents created. Document control & distribution list sections are built into the PID template.

The need to change project documents will arise from requests / the need to change the project itself. Processes for controlling changes to the project (e.g. to scope, specification etc) are covered in the following Chapter, 'Managing Project Delivery'.

## The Project Initiation Document (PID)

The final task of the Initiation phase is assembly of the project PID. The PID serves several functions:

- It is a baseline document, a definitive statement of project objectives, deliverables, costs & risks. This enables all stakeholders to have a common understanding of the project and is essentially the 'contract' between the SRO / Board & the Project Manager.
- It enables an informed decision on whether the project should be allowed to proceed
- It is a working document that will help to manage and track the project (particularly the Project Plan & Risk Register elements)

When completed, the PID must be signed off and baselined / 'frozen' as Version 1. The PID provides a baseline that can be compared to what is actually delivered at any time during the project, but specifically at the end of the project. All subsequent, proposed changes to the project will need to be managed via a form of change control to ensure their impact on the project is understood (see next Chapter). Approved changes will result in new /subsequent versions of the PID, having change & document control will enable these changes to be tracked and eventual delivery compared against the original PID. Note that changes such as additional financial resources, significant changes to the spend profile / delivery timescale (e.g. spend changing across financial years) will always require a new version of the PID to be approved.

### PID Approval – The Main Gateway

See flow chart on p7. All PIDs need to be first considered and signed by the SRO (within the Project Board structure where established). SROs / Boards must ensure that they fully understand the project they are signing up to including the level of risk involved. The PID then has to be reviewed and signed by the Chair of the Capital Programme Delivery Board (CPDB). The Board is chaired by the Director of Regeneration and Asset Management and serves as an independent check that e.g. the project is viable and adequately resourced. In PRINCE2 terms, CPDB carries out a 'Project Assurance' function. PIDs for large projects will normally be reviewed at bi-monthly CPDB meetings, requiring prior circulation to members. The Chair may determine that PIDs for projects that can be readily identified as low risk may be signed off by them between meeting cycles without prior circulation or presentation at a PRG meeting. *See section 3.4 of Annex 3 for further details of CPDB.*

**All PIDs, once signed off by the SRO and the PRG Chair, must be uploaded by the Project Manager onto the [CPDB sharepoint site](#).**

**Note that there may be other approvals required** to progress your project, e.g. in order to bid for external funding, to seek single tender action, to approve a tender shortlist or to award a contract. These may be Member decisions or officer decision, depending on the nature of the approval sought, the amount & the Scheme of Delegation in the Directorate concerned. See [Desktop Guide to Procurement](#), or for external funding bids, [Financial Procedures](#). For Capital projects, a copy of the signed PID must be supplied to the Capital Team. Capital codes will not be issued without a signed-off PID.

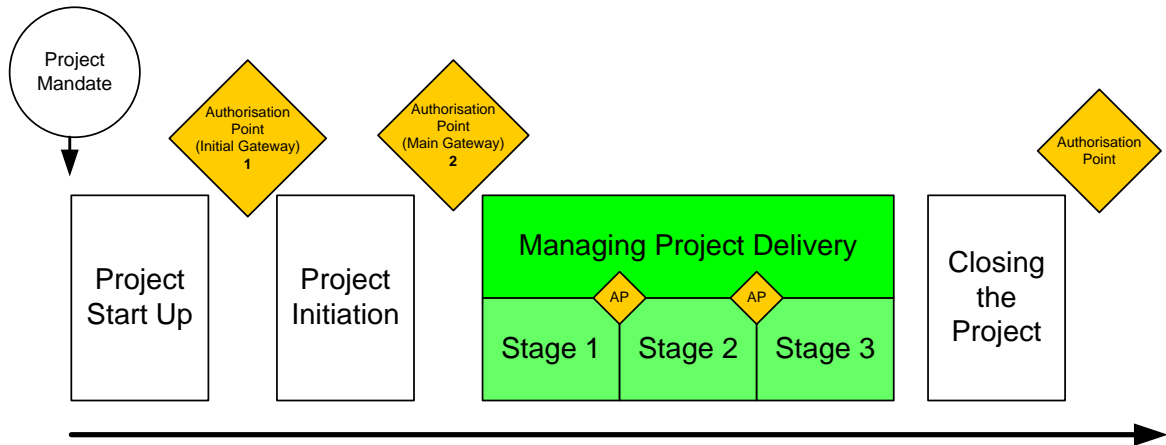
### Initiation Stage Checklist

	tick
Requirements defined / specified	<input type="checkbox"/>
Business Case refined	<input type="checkbox"/>
Approach / Procurement route confirmed	<input type="checkbox"/>
Project Plan refined	<input type="checkbox"/>
Project Team in place, resource planning conducted	<input type="checkbox"/>
Facilities for Project Team available	<input type="checkbox"/>
Stakeholder Communication Plan in place	<input type="checkbox"/>
Detailed Cost Plan available	<input type="checkbox"/>
Funding confirmed ( <i>including any additional ongoing revenue funding</i> )	<input type="checkbox"/>
Risk Register updated	<input type="checkbox"/>
Quality criteria / controls established (Q. plan)	<input type="checkbox"/>
Change control procedures in place	<input type="checkbox"/>
Other project controls (e.g. tolerances) established	<input type="checkbox"/>
Project Files set up	<input type="checkbox"/>
PID assembled and approved by SRO	<input type="checkbox"/>
} Main Gateway	

PID approved by CPDB Chair



## Managing Project Delivery



### Overview

Once approval to proceed has been obtained the project manager can focus on managing the project through its specialist delivery stage(s).

The benefits of breaking this phase into stages are:

- To assess the project viability at key points throughout the phase, thus preventing 'run-away' projects
- To build in major decision points, such as contract payments and capital investment, and linking these with the delivery of quality products
- To allow more accurate planning on a stage by stage basis
- To ensure that the SRO/Project Board remain in control of the project

*Note that the above model assumes that there are 3 management stages for delivery, i.e. further 'approval points' have been established once the project PID has been approved. **This is an illustration.** In simple projects this phase may consist of one stage only, whilst in large & complex projects there is a definite need to have further management stages with approval points (Project Board meetings).*

In projects where an external consultancy organisation is delivering all the specialist products of the project, management stages within the Project Delivery phase will correlate with contract payment points. A formal gateway could be planned for each end of stage.

For projects representing new innovations, the unique work of the project can be divided up into management stages and correlating milestone decision points can be planned at the end of each stage within this phase. At each of these decision points, the Project Board will give authorisation for more capital spend, based on the on-going viability of the business case.

The Project Manager's tasks during this Phase are:

- Directing the Project Team, allocating work (packages) to produce project products
- Monitoring delivery of products (to time, cost & quality)
- Reporting Progress and continuing to engage with Stakeholders
- Managing & monitoring Risks, updating the Risk Register
- Controlling Changes to the project, managing cost & impact on the Business Case
- Dealing with Issues / Problems, escalating to the SRO as required
- Rescheduling / updating Project Plan
- Recording Lessons Learned

The formality required for allocation of work to Team members will vary widely. In any event it is strongly recommended that requirements / agreed delivery arrangements are put in writing, to ensure clarity. Work packages should include the Product Description(s) / specification for the product(s), including quality criteria, agreed timescales, progress reporting requirements (including any need for formal Checkpoint Reports) and any special instructions.

### Monitoring

Project Managers are responsible to the Project Board for the delivery of their project within agreed budget, time, quality and scope parameters. The Project Manager must therefore monitor delivery of project products against planned timescales (the Project Plan) and scope, track expenditure and also ensure that quality of products is checked against agreed quality criteria. For more complex projects, quality criteria, checking methods / responsibilities are planned and documented in Stage and Team Quality Plans & the results of quality checks carried out are recorded in the Quality Log. See below for what to do where the results of monitoring indicate a problem.

**Under the Council's Financial Regulations, project managers are under a specific duty to ensure that their project doesn't overspend (See Annex 3). In order to monitor spend effectively, project managers should have access to the Council's financial information system 'Oracle'.**

For many projects, an important vehicle for assessing progress will be the Project Team meeting, set at an appropriate frequency. It may be helpful to have more frequent Team meetings initially. Consider alternative means of communication / reporting from Team members to avoid unnecessary meetings (e.g. use of written 'Checkpoint' progress reports).

### Risks

The project Risk Register must be regularly reviewed and updated, e.g. at Project Team meetings, to:

- Assess whether risks have materialised (i.e. become an Issue)
- Establishing whether means of controlling risks are proving effective
- Establishing whether any new risks are now apparent

### Progress Reporting

The minimum reporting requirement is bi-monthly completion of a [Highlight Report](#) for the SRO and for the Capital Programme Delivery Board members. The current template for this report will always be found on the [Project Management Template Site](#). Where applicable the relevant programme manager must also be sent a copy. **It is essential that these progress reports contain all the appropriate current status information on performance against agreed timescales, any emerging risks or quality issues as well as accurate current spend / forecasts.**

[The Regeneration and Capital Programme Delivery Board](#): The Regeneration and Capital Programme Delivery Board has responsibility and accountability for the delivery of all Regeneration and Capital projects and programmes (of the built environment) and ensuring that all projects and programmes are adequately and appropriately resourced. For further details of the functions of the R&CPDB, see section 3.4 of Annex 3.

**Top Tip:** Use of Project Workspaces within SharePoint will allow officers to receive alerts that a report has been produced and avoid unnecessary e-mail traffic.

### [Capital Team reporting requirements](#)

Project Managers for capital projects are also required to provide the following forecast information to the Capital team on a quarterly basis via your directorate representative:

- the forecast spend position for the life of the project (based on spend reconciled to Oracle, commitments and forecast future project spend profiled over future quarters). There is a template to assist in the compilation of this information;
- the current project status (initial budget estimate, pre-tender estimate, on-site, practical completion, completed) at the end of the quarter i.e. June, Sept, Dec, Mar;
- forecast project completion date;
- a paragraph of explanation for any overspend forecast or completion date slippage;
- a paragraph of explanation of any large variance (>£50k) from the previous quarter forecast position.

You are also required to update the Capital team of any changes to the project, such as additional resources, change of spend / budget profile, etc. - a revised PID may be required so that these changes can be registered in the capital programme. (see below for changes to the project)

### **Dealing with Issues**

An Issue is defined as:

*'A problem, query, concern or change request that affects the project and requires management intervention to resolve'.*

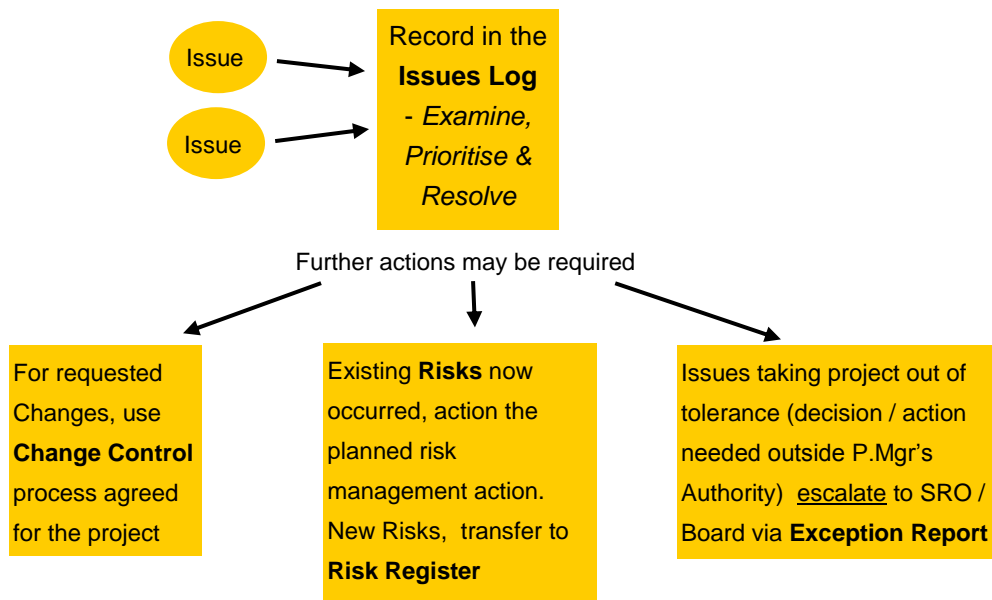
#### [Overview](#)

Issues that arise need to be handled in a structured way in order that they don't get ignored and derail the project. Issues arise in a multitude of ways, but basically fall into 3 broad categories and these determine how the issue should be handled:

- A problem or concern (e.g. an indication that a project won't be delivered to time, cost or to specification / scope, loss of a key team member etc)
- A request to change to some aspect of the project
- A previously identified risk that has now happened

All issues should be entered in the Issue Log and examined / prioritised to determine how they need to be handled. The Issue Log template is available on the [Project Management Template Site](#).

The diagram below illustrates the routes / actions required for dealing with project Issues:



Even before any formal escalation / change processes are implemented, common sense dictates that Project Managers should inform the SRO promptly (and where applicable the relevant programme manager) of any serious issues / forecast changes to the agreed parameters for time, cost or scope that are likely to impact on the project and that are outside the project manager's level of authority to resolve. The Issue Log should be reviewed on a regular basis to ensure actions are followed up.

#### Exception Reports

The Exception Report template should be used to seek a decision from the SRO / Board on resolving a problem (Issue) that is forecast to take the project outside agreed parameters , usually of time, cost, or scope. The template is available on the [Project Management Template site](#) & is self-explanatory. It requires a description of the problem, its impact on the project, options to resolve and a recommendation from the project manager. The decision is likely to require amendment to Plans, specifications, cost plan / budgets, or other elements of the PID. The SRO is required to formally note their decision on the report.

#### Change Control

It will usually be necessary to have some form of change control to deal with requested changes\* to the project. These may come e.g. from end users, requesting changes to functionality or from the SRO / other senior managers requesting changes to the scope of what the project is being asked to do. Uncontrolled changes to a project, particularly 'scope creep', can spell disaster for a project and at the very least can make it very difficult for a project manager to deliver within agreed parameters.

The approach needs to be scaled appropriate to the project, e.g. using a simple Change Log where it is only necessary to record brief details to enable tracking, or a Change Request template where more in-depth analysis (of impact etc) needs to be recorded. These templates are located on the [Project Management Template site](#). Requests for a change will first be entered in the Issue Log. The Change Log / Change Request template is then completed by the project manager to record assessment of the request, (i.e. its priority and its impact on cost, timescales & quality) and the decision made.



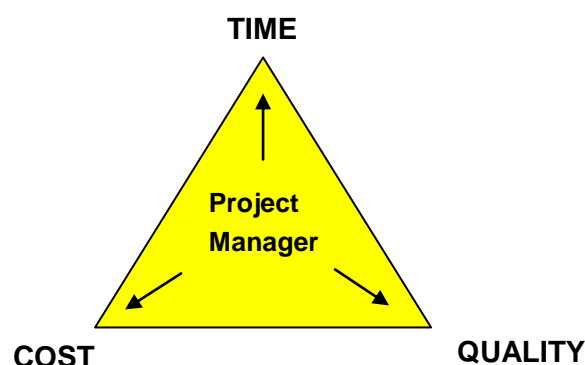
Changes will be prioritised as follows:

- Must Have
- Important
- Nice to have
- Cosmetic, of no importance
- Not a change

Decisions on minor changes that do not materially affect the timescales, costs, quality / functionality and therefore don't take the project 'out of tolerance' will be taken by the project manager. Where this is not the case, the SRO will have to make the decision & sign off the Change Request.

*\* Note: Necessary changes resulting from dealing with a problem (Issue) are dealt with using an Exception Report, this will record a decision to make a change (e.g. to reduce the scope or quality of a product). It isn't necessary to also use the Change Control route, use this for controlling requested changes. (All changes, from either route, need to be recorded in the Closure Report)*

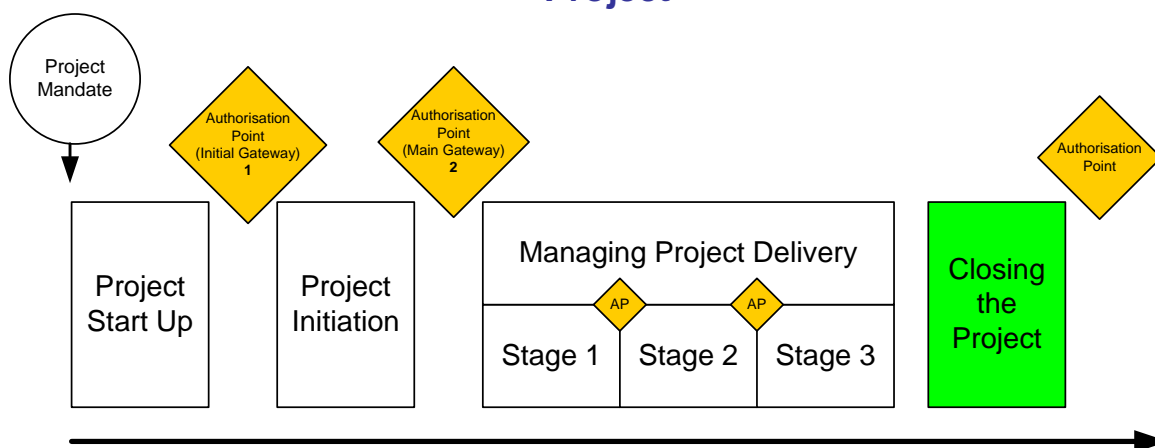
#### Time, Cost & Quality



In considering options / recommendations for taking action on problems or Requests for Change, project managers need to balance the interaction between time, cost & quality. Recommendations to reduce the scope or change products must take into account user requirements and the extent to which the project's original objectives (or indeed Business Case / vfm) are affected.

*Note: In all cases where the budget for a capital project has changed, the Capital team will require an updated PID to be provided, signed by the SRO / R&CPDB Chair to confirm that an extra allocation has been made.*

## Closing the Project



Closing a project properly ensures that the project has a distinct endpoint, with effective handover and identification of follow-on tasks. It also ensures that lessons learned are recorded for future projects.

The actions for project closure are:

- Confirm that all outputs have been delivered according to their specification, product descriptions
- Confirm the outputs have been formally accepted by the customer and have been handed over to the relevant managers
- Finalise all project documentation & arrange for archiving.
- Identify & record any follow-up actions, including any outstanding issues that cannot be resolved by the project, handing these over to appropriate people for resolution
- Ensure recipients are able to use the project products (training)
- Ensure suitable arrangements for ongoing support and any maintenance are in place
- Note the Lessons Learned during the project and making these accessible to other project teams
- Decide whether a Post-Project Review is required, to examine the extent to which the expected benefits have been realised.

The [Project Closure Report template](#) provides the basis for recording that the above actions have been carried out. The report is completed by the Project Manager & signed off by the SRO at Practical Completion, once the project has achieved its objectives and can be closed down. This will include disbanding the project team and closure of the project cost centre (except for [retentions](#) in capital projects). Once the Defects Liability Period has expired, the closure report may need to be revised in order to record and communicate the key outcomes from this final process. For larger projects, the Project Closure Report is usually considered at a final Board meeting.

The Closure Report template includes a section for noting **lessons learned**, compiled from the [Lessons Learned Log](#) used throughout the project. These templates are available on the [Project Management Template site](#). In large and complex projects, particularly where a number of perspectives need to be captured or where there have been difficulties, it may be necessary to carry out an independent Lessons Learned exercise. The output from this would be a separate Lessons Learned Report, normally accompanying the Closure Report.

After sign-off by the SRO / Board, a copy of the Project Closure Report is sent to the Chair of the R&CPD Board and to the Performance & Programme Management Team (to help ensure lessons are shared).

*Note: Projects may be closed down at any point, if there is no longer a Business Case for continuing or if other circumstances dictate it should be terminated. **In this case it is particularly important***

***that a Closure report is completed that details the reasons & lessons learnt.***

## Annex 1 Project Management Tools

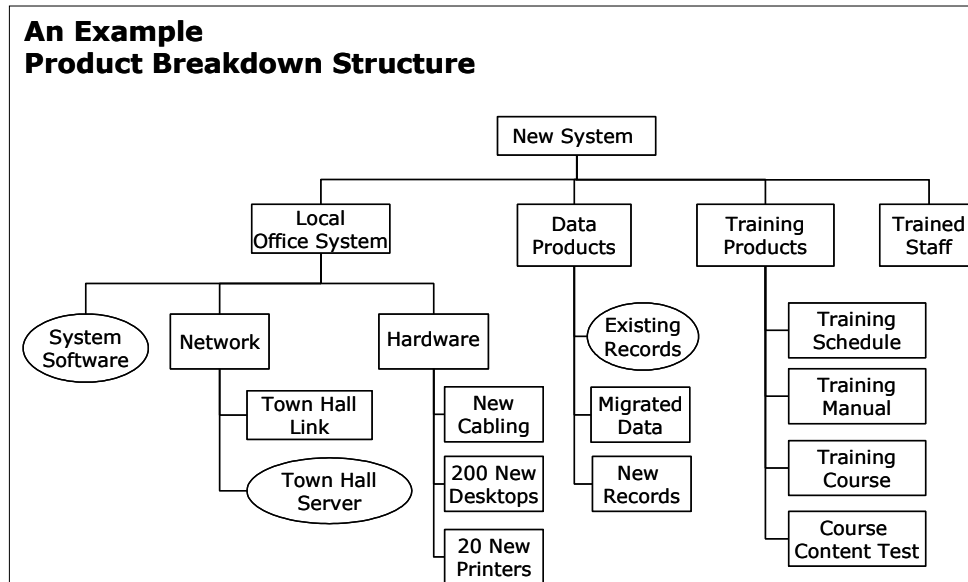
Typical planning tools used by Project Managers are

- Product Breakdown structure
- Product Descriptions
- Product Flow Diagram
- Work Breakdown Structure
- Activity Networks
- Gant Charts

The following diagrams represent the set of planning tools used by experienced PRINCE2 Project Managers.

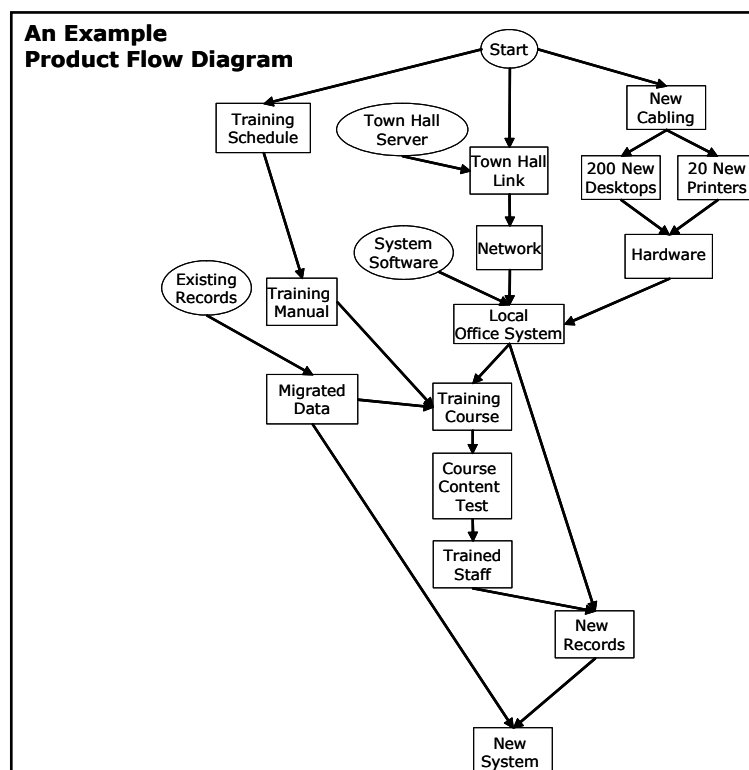
### Product Breakdown Structure

The Product Breakdown Structure identifies the scope of products that need to be created by the product.



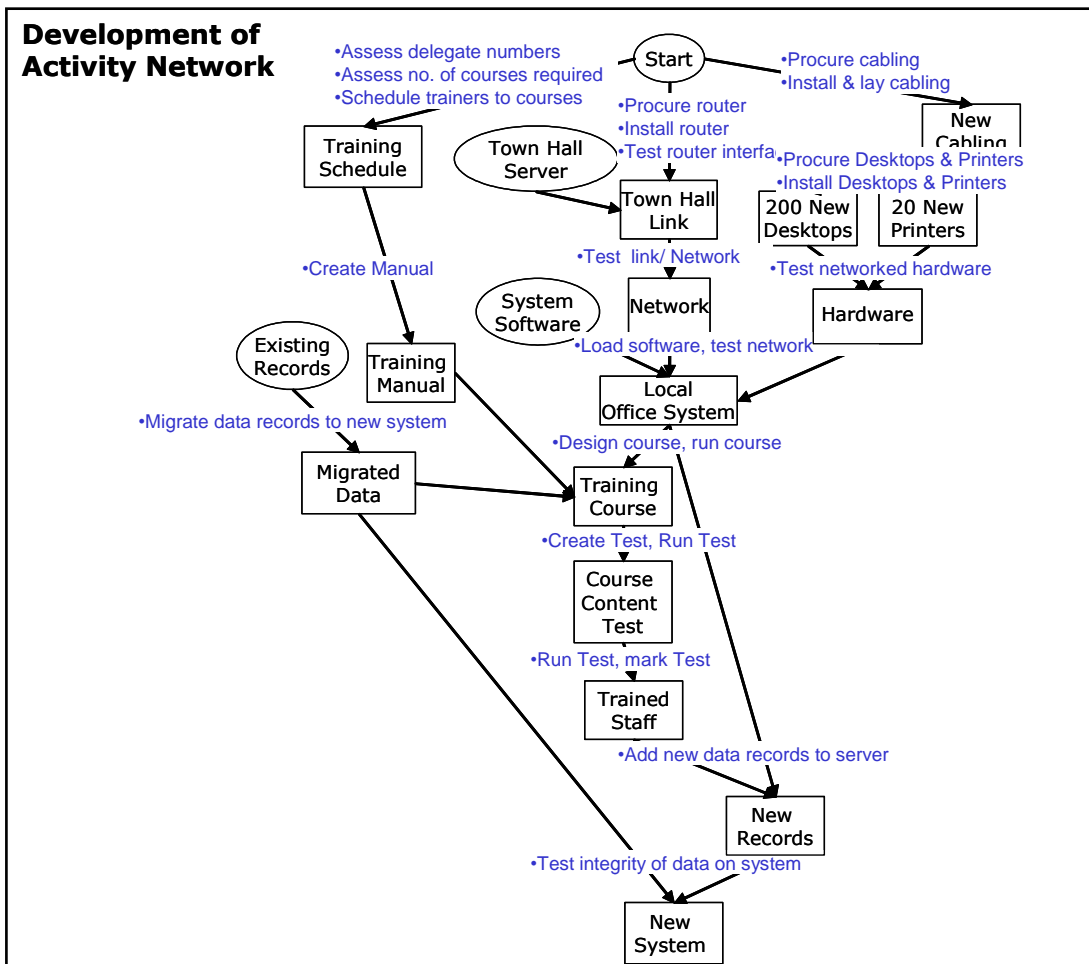
### Product Flow Diagram

The purpose of the Product Flow Diagram is to show the sequence in which the products will be created. This helps the Project Manager to identify any products that may have been omitted in the original Product Breakdown Structure and ensures that the full scope of products to be created is identified..



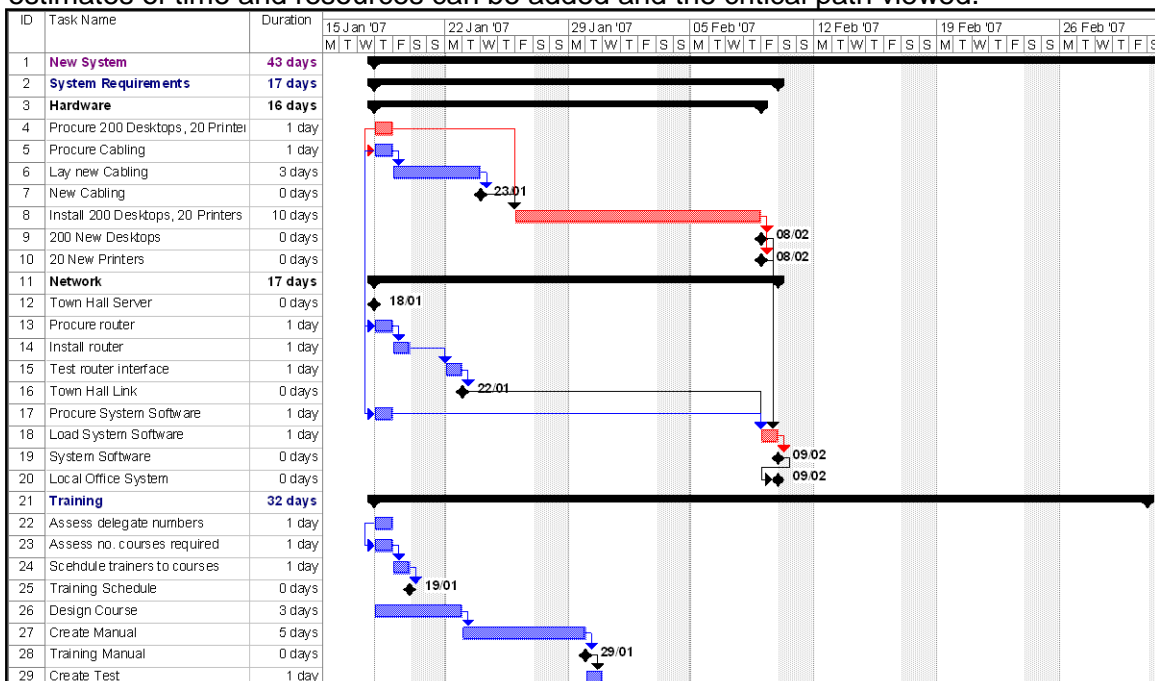
## Work Breakdown Structure

In this step, activities are added on each arrow of the Product Flow Diagram to indicate the activities needed to create the products identified in the Product Breakdown Structure.



## Gantt Chart

The information about products and activities are translated into a Gantt Chart so that estimates of time and resources can be added and the critical path viewed.



## ANNEX 2 PROJECT MANAGEMENT TEMPLATES

The following templates are stored on a SharePoint site [Project Management Templates](#), so that access is always to the current version.

Project Brief – Initial Gateway Approval

Project Initiation Document (PID) & Guidance \*

Risk Register & Guidance \*

Highlight Report \* (*Routine progress reporting*)

Issue Log (*Initial logging of all problems, change requests, risks that occur*)

Exception Report (*Escalation of problems that the project manager hasn't the authority to resolve*)

Quality Plan

Quality Log

Lessons Learned Log

Gantt Chart tool – Excel

Change Control Log

Change Request Form

Stakeholder Communication Plan

Project Closure Report \*

\* Indicates that use is mandatory

### 3.1 LBL Financial Regulations & Financial Procedures

Financial Regulations and Financial Procedures form part of the Council's regulatory framework alongside the Constitution and compliance with them is mandatory. The Regulations give the overall framework and the Procedures give the detail.

#### 3.1.1 LBL Financial Regulations

Several sections are relevant to project managers. Sections B5/6 for example, refers to the general responsibility for budget holders to monitor their budgets on a regular basis and ensure that expenditure does not exceed the budget. Section B17 requires income & expenditure transactions to be recorded accurately on the Council's financial information system. Project managers therefore need to ensure that effective project finance systems / records are set up & maintained. The other main requirement of relevance to project managers is section B14: '**Capital and revenue projects will be managed in accordance with Lewisham's Standard for Project Management as contained in the Financial Procedures**'.

#### 3.1.2 LBL Financial Procedures Extract

##### **Section 30 - STANDARD FOR PROJECT MANAGEMENT**

###### **PURPOSE**

1.1 To provide guidance on structures, procedures and processes for project management.

###### **SCOPE**

1.2 These requirements apply to all individual capital and revenue projects or aggregated programmes of £40k and over in value.

1.3 A project is defined as an activity with specific objectives and deliverables, a specific budget, specifically allocated resources with defined roles and defined start and end dates.

###### **PROCEDURE**

###### **Project inception (Start up and Initiation stage/s)**

1.4 A Project Initiation Document (PID) must be produced for all individual projects or aggregated programmes of work over £40,000 in value. The PID must be signed off before the project is allowed to proceed.

1.5 The content of the PID must comply with current guidance issued by the Authority. It will identify the Senior Responsible Officer (SRO), the project manager (an LBL officer) and any external project management staff appointed. The corporate PID template is to be used in all cases, adapted to suit the scale and nature of the project.

1.6 Guidance consists of the current LBL [Programme Management Handbook](#) and associated [Templates](#).

1.7 The PID must be signed off (Main Gateway) by the project's SRO and by the chair of the relevant directorate's Project Review Group (PRG) – a member of DMT.

1.8 Alternative Gateway approval processes will be applied to large projects and programmes in line with current guidance issued by the Authority.

1.9 For all projects, a detailed initial budget estimate must be produced prior to tenders being sought.

- 1.10 The allocation of expenditure codes to capital schemes will be subject to the approval of the Executive Director for Resources (Capital and Treasury Team) upon receipt of an approved PID or Gateway report.
- 1.11 All tenders must be approved in accordance with the Contract Procedure Rules (Section I of the Constitution).

### **Project Delivery and Monitoring requirements**

- 1.12 Project managers are responsible for delivery of their project within agreed budget, time, quality and scope parameters.
- 1.13 Project managers are to provide monthly progress information to the SRO in the form of a Highlight Report, using the current corporate template. This information is to include current status of the project on spend / forecasts against agreed budget, performance against agreed timescales, quality criteria or scope. Information on current risks and issues must also be provided
- 1.14 Project managers are also under a duty to inform the SRO promptly (and where applicable the relevant programme manager) of any changes (or forecasts) to the above parameters that are outside the project manager's level of authority/agreed tolerances.
- 1.15 Each directorate must operate a Project Review Group (PRG), chaired by a member of DMT. The terms of reference for each PRG will include approval of PIDs prior to project initiation and monitoring of projects in delivery at a frequency determined by current corporate/directorate requirements.
- 1.16 The PRG chair will nominate a lead officer for each directorate who will collate project performance information for the PRG at the required frequency. Project managers are required to copy Highlight Reports provided to the SRO to the directorate PRG lead officer.
- 1.17 The PRG lead officer must also produce monitoring information on capital projects for the Capital and Treasury Team in accordance with Financial Procedure 7.
- 1.18 Progress on projects over £500,000 in value is to be reported to the Corporate Project Board (CPB) in the required format and at the required frequency. The Director for Programme Management and Property (Chair of the CPB) may determine that projects of a lower amount are to report to CPB. PRG lead officers are required to provide directorate reports for CPB to the Performance and Programme Management Team.

### **Closure**

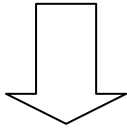
- 1.19 On completion of a project, a [Project Closure Report](#) is to be completed in the format required by current guidance. The SRO is to review this report and consider how any lessons learnt can inform future project delivery within the Authority.



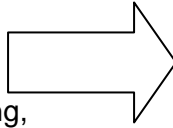
### 3.2 Capital Code set-up – Capital & Treasury Team

#### Capital Code set up: Process guide

PID received by Capital and Treasury team

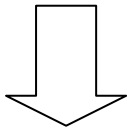


Documentation checked  
(has the PID been signed,  
is there confirmation of funding,  
is the risk register complete, etc.)



Any errors or omissions, PID  
sent back to project manager / SRO.  
A copy is also sent to the  
Performance & Programme  
Management Team

C&T Team set capital codes up.  
(Internal control processes involved).



Email sent by C&T Team to project manager, PRG Chair and other relevant stakeholders to confirm that the budget has been included within the Capital Programme and the expenditure codes have been set up.  
This also specifies the reporting requirements for the project.

### 3.3 Bidding processes

Text to be added by C&T Team

## 3.4 LBL PROJECT REVIEW & REPORTING STRUCTURES

### Corporate Overview

#### Regeneration and Capital Programme Delivery Board (RCPDB)

The RCPDB is responsible for agreeing initiation and monitoring progress of capital and revenue funded projects (£40k and above, total project cost). The bi-monthly meetings are chaired by the Director of Regeneration and Asset Management. The operation of the Board is underpinned by the Council's Financial Procedures. Note that the principal reviewer of the PID and progress (Highlight) reports is the project's SRO, who bears ultimate responsibility for the project's success. The RCPDB has a **project assurance** role.

#### The Role of the RCPDB

- To undertake Initial Gateway reviews of project proposals for projects up to £1m in value, where agreed necessary by the SRO & the PRG Chair and for bids for external funding.
- To undertake Main Gateway reviews of fully developed Project Initiation Documents. Chair to sign off the PID to agree initiation of new projects (the project's Senior Responsible Officer having first signed it). This serves as an independent check that all proposed projects have a Project Initiation Document that demonstrates:
  - the project is in line with corporate & directorate strategies
  - Objectives, scope & deliverables are clearly defined
  - Roles & Responsibilities have been clearly defined
  - Relevant stakeholders have been identified
  - the project has been planned adequately & is deliverable within the planned timescale.
  - Risks to the project have been identified & are manageable
  - Resources have been identified to deliver the project
- To monitor progress of projects (via Highlight Reports, also sent to the SRO) within the relevant directorates on a monthly cycle, with a focus on those that not performing as planned or are deemed to be at risk.
- To report on the progress of schemes (£500k & above by default) to the Corporate Project Board (summary RAG report). Chair to attend CPB.
- To review Post Completion Review Reports and ensure 'lessons learned' are taken on board for future projects.
- Generally, to promote good practice in project management within the relevant directorates
- To be instrumental in ensuring that members are fully aware of the status of projects within the directorate.
- To comment on project closure reports and share lessons learnt.

#### Attendance at RCPDB

DMT member – Chair

Directorate Heads of Service where appropriate

Corporate Performance & Programme Management Team representative

Finance representative

Project managers as directed by the Chair.

#### Role of the Commercial and Investment Delivery Team at RCPDB

The PPM Team attends & supports each of the PRGs. Its remit is to:

- Participate in the approval of PIDs, (Initial & Main Gateways) acting as a source of independent challenge & offering advice on where the project proposal can be improved to maximise the likelihood of success
- Participate in the review of project progress reports, to assist in ensuring that problems are identified & appropriate actions are agreed
- Generally, to ensure that the Board is operating effectively in respect of PID approval & progress review.
- To offer assistance to the Chair in developing tools / processes to enable the Board to operate effectively
- To identify the root causes of project problems, to make appropriate recommendations to inform Lewisham's PM methodology/standards and roll out best practice
- Review the completion of PM templates, to inform support and guidance available to project managers. Improve / develop new templates.

- Responsibility to inform the Board on current developments and best practice in the field of project governance and management.
- To assist with 'project rescue' exercises

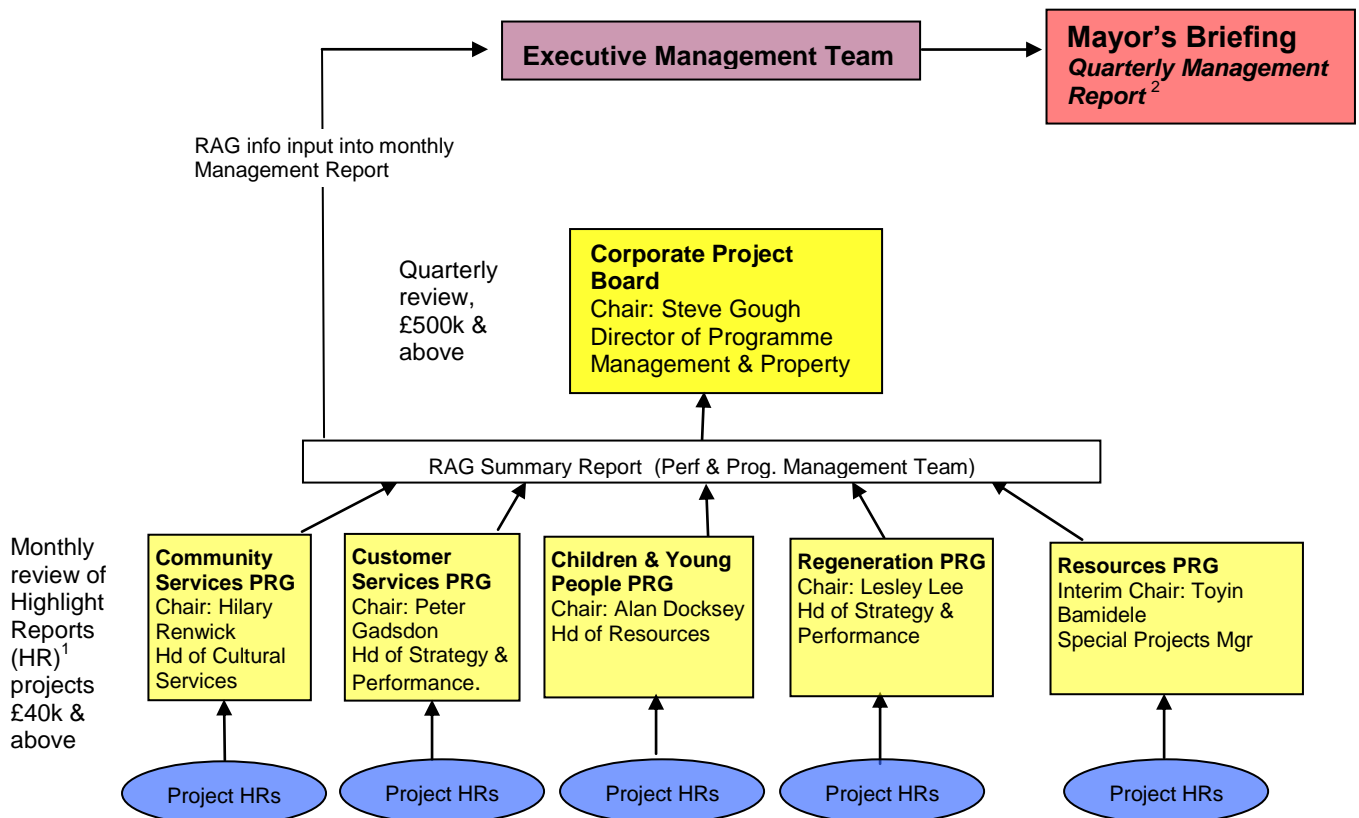
## Corporate Project Board (CPB)

The CPB's remit is:

- Carry out Initial Gateway reviews on project proposals over £1m in value, using additional expertise where deemed necessary. (Also Main Gateway Reviews where deemed necessary).
- To review progress on all the Council's capital and revenue programmes and projects over £500,000 and of lower value where deemed necessary (high profile / impact, politically sensitive).
- To focus attention on those projects at significant risk of late delivery, of overspending or of not achieving primary objectives and recommend appropriate action to resolve issues
- Take corporate responsibility for ensuring that project and programme management arrangements conform to good practice, agreed corporate arrangements and for ensuring there are proper controls across the Council
- To help promote & share good practice in project management e.g. by encouraging the continuous roll-out of project management training
- Ensure that senior management take ownership and responsibility for projects and programmes within their areas

The CPB meets quarterly and its monitoring role provides an opportunity for a corporate view & 'early warning' about issues in major projects. It is chaired by the Director of Programme Management & Property (Regeneration Directorate). The other members of the CPB are the Chairs of the PRGs, a representative from the PPM Team and a representative from the Capital & Treasury Team. The progress information considered by the CPB is in the form of a summary 'Red/Amber/Green' report collated by the Programme Management Team. Information from the 'RAG' report is then incorporated into the quarterly Management Report that goes (via Executive Management Team) to members at Mayor's Briefing.

## Summary of directorate / corporate project reporting



Note 1: The primary recipient of monthly Highlight Reports is the SRO / Board, the above merely describes the process for directorate / corporate overview (project assurance roles)

Note 2: The Management Report covers a wide range of Council performance information, including

*project performance information. For projects, it contains summary information on all projects (RAG status) with more detailed information on issues for 'Red' projects. The Management Report is produced monthly for Executive Management Team and every quarter goes to Mayor's Briefing. It is also made available to the public via the Council's website.*

## ***Project Records***

Maintenance of project records is a responsibility of the project manager. All too often project records required for audit, proper hand-over to operational staff, future learning etc cannot be found – don't let this happen to your project. Below is a generic list of suggestions for the type of records that need to be maintained, though not all will be appropriate for all projects. These records may be one file or a whole filing cabinet depending on the scale of the project. Many can be kept electronically, as long as the integrity of the data can be assured. Hard copies will need to be kept of contractual documents, documents bearing authorisation / approval signatures and other working papers.

### **General project information**

Project background information, context

Proposal documents, funding bids

Feasibility studies, option analyses

Consultation exercises

Environmental Impact Assessments

Equalities Impact Assessments

Stakeholder Analysis / Communication Plan

#### ***Project Initiation Document (and updates):***

- Objectives & Scope
- Business Case (inc evidence that supports need)
- Project Team, roles & responsibilities, (organisation charts & interfaces with operational managers where appropriate)
- Risk Register with updates
- Outline Project Plan
- Quality Plan
- Performance Indicators (progress & outcome), inc. any agreed targets
- Tolerances agreed with SRO / Board

### **Plans**

Work breakdown structures / Product Breakdown Structures

Network diagrams / Critical Path Analyses / Product Flow Diagrams

Detailed Project / Work Plans (Gantt charts etc)

Task allocation records / Work Packages

Project Team procedures / protocols (where required)

Inc. updates to all the above

### **Financial Records**

Cost Plans / Estimates (*inc updates*)

Budgets / Funding details, External Funding Agreements

Financial Management structures (Budget headings / Codes)

Budget monitoring reports, commitment records

Income and expenditure records (inc. spend and payment authorisations)

### **Technical Data**

Specifications

Equipment / product Operating Manuals

Health & Safety considerations

## **Tenders, Contracts, Authorisations & Orders**

- Tender Evaluation records
- Original (signed) contracts
- Works / purchase orders
- Statutory consents
- Mayor & Cabinet / Officer approvals

## **Monitoring**

- Progress / performance measurements, monitoring Records, Quality Log (outputs / milestones / quality checks), including site visits, inspections, etc
- Other reports or measurements into the Team
- Audit reports
- Issues Log
- Lessons Learnt Log

## **Reporting**

Project progress (Highlight) reports: (reports from Project Manager to SRO / Project Board, PRG, Corporate Project Board, Management Report to the Mayor / EMT etc)

## **Document & Data inc. Change control**

- Document location and distribution list for key items
- Document change / issue records (inc. history\*).
- Data back –up arrangements
- Archiving arrangements

*\* NB. It is helpful to mark file copies of previous versions of documents as 'superseded'.*

## **Communications**

- Internal – (including print-outs of significant e-mails)
- External – letters

*It is recommended that provision is made for a 'File Note' section for recording significant conversations, events etc, or by the project manager keeping a 'Daily Log'. **If it isn't recorded it will probably be forgotten.***