University of South Wales
Prifysgol De Cymru

UNIVERSITY OF SOUTH WALES

PROJECT MANAGEMENT FRAMEWORK

INTRODUCTION AND USER GUIDE

APRIL 2015

Table of Contents

FORWARD

The University of South Wales is the largest university in Wales and one of the largest in the UK. As an institution we undertake all sorts of projects, ranging from small projects such as the installation of new hardware and software, or the introduction of new areas of curriculum, to major capital investments in the University's estate.

This Project Management Framework is designed to guide the effective management of projects of all sizes and to help USW managers to maintain control of their projects, so as to ensure that resources are used efficiently and effectively. The PMF is designed to sit alongside other University policies including the USW Risk Management Framework, which was updated in August 2014.

The PMF is based upon the principles of PRINCE2 and is designed to be straightforward and flexible.

This document introduces the PMF and explains when and how it should be used.

WHEN TO USE THE PMF

The PMF is a tool designed to help staff to manage projects effectively. However, it is implicit in the University's approach to project management that there can be no one size fits all approach. The PMF and accompanying documentation are therefore designed to act as a guide and whilst there are certain processes and procedures that should be undertaken with respect to all projects, it is recognised that there are certain types of project for which elements of the PMF will not be appropriate. For example:

- IT projects often do not lend themselves to a sequential project management approach, and will sometimes be more effectively directed using *Agile Management*,
- larger projects, such as major estates developments, will sometimes require a more robust and detailed applications of *PRINCE2*.

Nevertheless, **certain elements of the PMF will be relevant to all projects**.

Introduction: What Is A Project?

There are numerous definitions as to what constitutes a project. However, the most commonly used definition in the UK is that contained within the PRINCE2 Manual, which describes a project as:

> "A management environment that is created for the purpose of delivering one or more business products according to a specified business case"
>
> **Office for Government Commerce 2009**

Within the context of this University, projects will range in size from relatively small ones, such as the development of new courses, to major investments in IT infrastructure and multi million pound estates projects, such as the Atrium and City Campus developments.

Two Key Questions

The key to understanding whether or not something is a project is to ask the following two questions:

1) Is this a **one-off undertaking** or is it everyday business (or a new activity that will become everyday business)?
2) Is there a **defined start and end** to the activity?

If the answer to both of these questions is yes, then the activity can be defined as a project and should be managed as such.

What Is Project Management?

Project Management is defined within the PRINCE2 manual as encompassing:

> "The planning, delegating, monitoring and control of all aspects of the project, and the motivation of those involved to achieve the project objectives within the expected performance targets for time, cost quality, scope, benefits and risks".
>
> **Office for Government Commerce 2009**

Project management therefore creates a controlled and structured environment in which projects can be managed through to their successful completion, helping to ensure that they are delivered:

- On time;
- Within budget; and;
- To the quality expected by the customer.

What Is the Project Management Framework?

The USW Project Management Framework is a flexible toolkit that will assist managers in the governance of projects, of all sizes, from inception to completion.

The framework responds to the range of projects that we undertake as an institution and is underpinned by established project management principles and best practice, notably the PRINCE2 methodology. However, whilst the ultimate aim of the PMF is to assist managers in maintaining control, by providing a structured methodology, it has also been designed to minimise unnecessary paperwork and bureaucracy.

At the heart of the USW Project Management Framework is the acknowledgement that projects vary in scale and complexity. Accordingly, the PMF is designed to be scalable.

The documentation has been designed so as to be equally useable for smaller projects, requiring a reasonably "light touch" management approach and larger (more complex) projects which will require more hands-on project management.

The panel opposite provides an overview of the PMF, whilst the table on the next page provides a more detailed overview of the stages, and of the associated documentation that should be completed.

The PMF is broken down into five distinct stages:

Stage 1: Development

Identify the need, scale the project using the USW Project Matrix and prepare the Business Case.

*

Stage 2: Project Initiation and Planning

Set up the project – prepare the Project Plan and Risk Register

*

Stage 3: Implementation

Delivery, management of change and management of risks

*

Stage 4: Completion and Closure

Evaluating the project / lessons learned and formally closing the project

*

Stage 5: Post-Project

Post -project review and communications.

PMF: OVERVIEW OF STAGES AND PAPERWORK

STAGE	STAGE 1: Development Stage	STAGE 2: Project Initiation and Planning	STAGE 3: Implementation	STAGE 4: Review and Closure	STAGE 5: Post Project
AIMS	▪ Identify need and consider options ▪ Scale the project, using the Project TypeMatrix ▪ Appoint a Project Executive ▪ Establish a Project Board ▪ Consider lessons learned from previous projects ▪ Develop a Business Case	▪ Prepare Project Plan ▪ Refine the business case ▪ Agree communication protocols ▪ Prepare a Communications Plan (for Level 1 and 2 Projects) ▪ Establish a Risk Register (on 4Risk)	▪ Control the project (via the Project Board) ▪ Monitor implementation of Business Case and Project Plan and authorise any necessary changes ▪ Manage issues and risks	▪ Assess whether the project has been a success ▪ Consider lessons learned and how they will be communicated ▪ Agree post project evaluation and communications arrangements ▪ Close all remaining risks (wherever possible) ▪ Conclude and formally close the project	▪ Conduct Post Project Evaluation (if necessary) ▪ Communicate lessons learned - Post Project Communication Strategy ▪ Consider possible successor projects
CORE DOCUMENTS OF THE STAGE	▪ Project Type Matrix ▪ Business Case	▪ Project Plan ▪ Risk register (4Risk) ▪ Project Initiation Document (PID)	▪ Progress Report (tool for L1 and 2 projects) ▪ Change Control Report	▪ Project Completion Report	▪ Project Completion Report
DOCUMENTS TO BE MAINTAINED AND UPDATED		▪ Business Case	▪ Business Case ▪ Project Plan ▪ Risk Register (4 Risk)	▪ Risk Register (4 Risk) – all risks to be closed or transferred to an alternative risk register	
ADDITIONAL RESOURCES (that might be helpful)		▪ Project Board terms of reference ▪ Communications Plan	▪ Issues log		

Document Management and Version Control

All of those involved in managing PMF projects, whether as Project Managers or in a project support role, should take particular care when saving and accessing documentation.

Owing to the nature of projects, it is likely that multiple versions of many of the PMF documents will need to be drafted, as a particular project evolves. When it is unclear which version of a document is the correct one, this can create confusion and lead to problems. It is therefore of the utmost importance that thorough administrative systems are put in place, to ensure that the correct versions of documents are stored and that (where necessary) access to them is controlled.

The web pages of the University Secretary's Office provide detailed guidance on record management, with the aim of ensuring that it is easy to distinguish between similar documents and that they can be easily found and retrieved. For further information, please follow the link below:
http://uso.southwales.ac.uk/ig/rm/guidance/

STAGE 1: DEVELOPMENT

KEY AIMS

The principal aims of this stage are to:

- Identify the need for a project;
- Develop a Business Case;
- Scale the project, using the Matrix;
- Appoint Project Executive and Manager;
- Assembly a Project Board and Team; and;
- Ensure that lessons learned from previous projects are considered and acted upon.

IDENTIFICATION OF NEED

All projects begin with a specific need being identified by a group or individual. Research should be undertaken and consideration given to possible solutions before a Business Case is developed, detailing the preferred solution and the benefits that will be delivered.

THE BUSINESS CASE

The Business Case provides an overview of the project and how it will be delivered. The aim is to ensure that the project is ready to proceed on a sound footing and can be justified, in terms of business need and cost. The Business Case should be prepared using the template on the PMF website, which includes:

- Outline of the project /expected benefits;
- A high- level consideration of risk;
- Information on project governance;
- Details of the cost, budget and (where relevant) information on Project Sourcing and Procurement; and;
- Broad timelines for delivery.

THE BUSINESS CASE (AND CHANGES TO IT) MUST BE APPROVED BY THE PROJECT BOARD. IT WILL REMAIN A "LIVE" DOCUMENT THROUGHOUT THE PROJECT.

SCALING THE PROJECT – PROJECT TYPE MATRIX

The Project type Matrix is a scoring system, that identifies how important each project is to the University, to guide the project management approach required. The matrix allows new projects to be scored against a variety of criteria, and ranked as follows:

Level 1 – corporate projects that impact upon the whole institution

Level 2 –significant strategic projects (often initiated by a Faculty or Corporate Department)

Level 3 – smaller projects that do not require as much oversight.

Projects scoring below Level 3 are classified as non-PMF. However, those managing these smaller projects may still find elements of the framework to be useful.

APPOINTING THE PROJECT EXECUTIVE AND PROJECT MANAGER

The Project Executive is the individual with ultimate responsibility for the delivery of the project, whilst the Project Manager has day to day responsibility for delivery. **For Level 1 and 2 projects these should be treated as distinct roles and filled by separate individuals. For smaller projects, however, the roles of Project Executive and Project Manager could probably be effectively performed by one person**.

Both the Project Executive and the Project Manager should be appointed during Stage 1 and choosing the right people to perform these roles will be an important factor influencing the success of the project.

The position of Project Executive will be occupied by a person of suitable seniority within the University. Exactly how senior this person should be will be dependent upon the scale of the project:

Level 1 Projects – The Vice Chancellor, a Deputy Vice Chancellor or Pro- Vice Chancellor will usually fill the role.

Level 2 Projects – A Dean, Associate Dean or Corporate Head will usually be appointed.

Level 3 Projects - The Project Executive will usually be a less senior figure (such as a Head of Department or Line Manager) and may also act as Project Manager.

The role of the Project Executive is outlined in further detail within the Glossary (at the end of this document).

Establishing The Project Board

The Project Board is the key decision-making body within the project and should be assembled during Stage One. The Board is responsible for:

- Holding the Project Manager to account;
- Monitoring progress;
- Agreeing and controlling the budget;
- Approving the Business Case and Project Plan and all changes made to them;
- Providing delegated authority; and;
- Brokering relationships with stakeholders and the Project Team.

Further details of the role of the Project Board's, are set out in the **"Project Board: Terms of Reference"** document. Typical membership of a Project Board is set out below.

PROJECT BOARD ROLES

The Project Executive:
Chairs the Board and has overall responsibility for the delivery of the project. Guidance on who should fulfill this role is set out opposite.

Project Manager:
Person with day to day responsibility for project delivery.

Senior User:
Individual responsible for ensuring that user needs are met.

Senior Supplier:
Represents supplier interests within a project.

Additional Members:
Additional members may be included as deemed necessary but a Project Board should remain small enough to function as a lean and effective decision making forum.

Further guidance on these roles is set out within the Glossary.

Establishing the Project Team

The Project Team are those who are responsible to the Project Manager for carrying out the tasks necessary to deliver a project. In the case of many larger projects, the project team will include external contractors such as IT consultants, builders and architects.

In putting together a project team it is important to consider the nature of the project and the qualities of the individuals needed to complete the work. Each member of the team should have a clearly defined role within the team and clearly defined goals.

Capturing Lessons Learned

During the development stage it is also important to consider whether there are important lessons that may be learned from previous projects.

As projects are completed, a repository of "lessons learned" will be built on the PMF web pages. Project Managers should consult these web pages during the development phase and (where necessary) discuss relevant lessons learned with colleagues. If the project is of a type that has not been undertaken within the University before, it may be useful to consult with relevant individuals from outside the organiseation who may be able to provide help or advice.

Stage 2: Project Initiation and Planning

KEY AIMS

The principal aims of the Project Initiation and Planning stage are to:

- Prepare a Project Plan;
- Refine the Business Case;
- Agree Communication Protocols or a Communications Plan;
- Set up a Risk Register on 4 Risk; and;
- Sign-off the Project Initiation Document.

Project Plan

The Project Manager should produce a Project Plan, setting out how (and when) the project will be implemented. The Project Plan should be approved by the Project Board during Stage 2 and any significant changes made to the Project Plan (as the project progresses) should also be approved by the Board.

For Level 1 and 2 projects, the Project Plan should comprise a Gantt chart (created on Microsoft Project, Excel or an equivalent package), detailing when each element or stage will be undertaken and completed. Dependencies or milestones should also be shown. Level 3 projects will probably only require a more straightforward plan (using the template table provided on the Project Plan form).

Refining the Business Case

The Business Case produced during the "Development" stage remains a "live" document until the project has been closed. The Business Case should therefore be updated (as necessary) until the project is closed, to ensure that any changes (in terms of scope, cost, timescale etc) are reflected.

Communication Protocols

Communication is critical to the success of any project. From the outset, all parties should understand the type and frequency of communication that will take place during a project – exactly who will communicate with whom, how and when.

Communications Plan

For Level 1 and 2 projects, it is recommended that a formal **Communications Plan** should be prepared, using the template provided. Doing so might not be necessary for smaller projects, but it is essential (for projects of all sizes) that all parties should understand exactly how and when communication will take place.

Establish The Risk Register (4Risk)

During Stage 2, the Project Manager should establish a Risk Register on the "4 Risk" system. The Risk Register should be kept up to date for the remainder of the project, reflecting any changes to risk levels and adding any new risks that emerge. The Risk Register should then be reviewed at each Project Board meeting. Further details of USW's approach to risk management and about the 4Risk system can be found on the University website, on the pages relating to the Risk Management Framework.

Project Initiation Document (PID)

At the end of the Initiation and Planning stage, Project Managers should complete a Project Initiation Document (or PID), which pulls together all relevant information relating to the project. The PID will be presented to the Project Board in order for them to authorise the beginning of the Implementation stage.

The PID brings together everything that has happened so far, in the *Development* and *Project Initiation and Planning* stages and should include the following:

- Business Case
- Project Plan
- Risk register
- Communications Plan (where relevant)

STAGE 3: IMPLEMENTATION

KEY AIMS

The implementation stage is when the Project Plan is turned into action and the product is delivered. The principal aim of the stage is to control the project through:

- Good communications, including regular Project Board meetings to review progress;
- Maintaining the Risk Register on 4Risk;
- Ensuring that the Business Case and Project Plan are up to date; and;
- Monitoring and dealing with issues, using the issues log.

PROJECT BOARD MEETINGS

Within the PMF, overall responsibility for maintaining control of the project rests with the Project Board. The Board should therefore meet to monitor progress at regular intervals during the Implementation stage. It is the Project Board's responsibility to:

- Monitor the implementation of the Project Plan;
- Monitor the project budget;
- Manage issues and risks;
- Delegate responsibility for operational issues or particular decisions that need to be taken between Project Board meetings; and;
- Ensure the project is delivered in line with the Business Case and authorise any necessary changes in scope.

PROGRESS REPORTS

The Project Manager should provide Progress Reports at Project Board meetings. These reports should update the board on the progress that has been made, any issues or problems that have arisen and the latest budgetary position.

For **Level One and Two projects**, it is recommended that a written report (using or based on the Progress Report template) should be provided. However, for **Level Three** projects a verbal update from the project manager, focusing on areas of deviation from the Project Plan and changes that need to be authorised, will probably be sufficient.

UPDATING THE RISK REGISTER

Throughout the implementation stage the Project Manager must ensure that the Risk Register (on 4Risk) is up to date. The Risk Register should be reviewed at each Project Board meeting.

UPDATING THE BUSINESS CASE AND PROJECT PLAN

The Project Plan and Business Case remain "live" documents throughout the Implementation Stage.

- The Project Plan must be updated to reflect any changes in how and when the project is to be implemented.
- The Business Case must be updated to reflect any changes to the scope of what is to be delivered.

Change Control

Within a project, the processes and procedures through which changes affecting previously agreed plans or objectives are considered (and agreed or rejected) is known as change control. As a project progresses, Project Managers will sometimes be required to make changes to the agreed project plan. Changes may relate to:

- Unforeseen risks;
- Responding to issues / concerns that have arisen;
- Requests for a change in scope;
- Changes in timescale;
- Requests for re-allocation of resources; or;
- Requests for additional resources.

Often these changes will be minor and the Project Manager will be able to act with delegated authority and without consulting the Project Board. However, for more significant changes that will have a major impact upon a project, it is important that the Project Board should be informed and consulted. An important role of the Project Manager is therefore to assess the impact of a proposed change before determining whether it should be referred to the Project Board for approval. In answering this, the key issues for a Project Manager to consider will be the extent to which a proposed change is likely to impact upon the timescale and budget for a project.

When a Project Manager deems it appropriate to seek Project Board approval for a change to the Project Plan, he or she should complete a Change Control Report. This form requires the Project Manager to provide details of the issue to be addressed, to confirm whether any action will be taken and to provide details of any proposed action. This form should then be forwarded to all Project Board members (or presented at a Project Board meeting) for approval. In the case of ICT projects, any requests for additional budgets would also need to be referred to the VCEB ICT sub group.

Issues Log

The Issues Log is a document that provides a list of ongoing issues that need to be resolved during project implementation. Closed issues are also recorded here (as a record of decisions that have been taken).

For each issue recorded in the Issues Log, the Project Manager is required to fill in a description of the issue, action required and provide information on any action that has been taken to date.

STAGE 4: REVIEW AND CLOSURE

KEY AIMS

The Review and Closure stage of the PMF is when projects are completed and formally closed. The principal aims of this stage of the PMF are to:

- Consider the extent to which the project has been successful;
- Review the final budget for the project;
- Produce a Project Completion Report;
- Close off all remaining project risks;
- Consider lessons learned;
- Agree a Post Project Communications Plan (if necessary);
- Agree arrangements for a Post Project Evaluation (if necessary); and;
- Conclude and formally close the project.

PROJECT COMPLETION REPORT

The Project Completion Report is the document that must be completed and formally signed off (by the Project Executive and Project Manager, with the approval of the Project Board) in order for a project to be formally closed.

The Project Completion Report considers the extent to which a project has met its objectives (as set out in the Business Case) and the benefits that have been delivered. The financial performance of the project is also assessed and lessons learned (both positive and negative) are logged.

LESSONS LEARNED

A key aspect of the review and closure stage of the PMF is the focus on learning Lessons from the project and communicating those lessons to colleagues.

In order to ensure that the lessons learned are communicated to the relevant individuals during Stage 5, the Project Completion Report also contains a "Post Project Communication Strategy", where the Project Manager should set out how the "lessons learned" will be communicated to relevant individuals.

The Project Completion Report also asks Project Managers to consider whether it would be beneficial to conduct a Post Project Evaluation (during Stage 5) and how such a review would be carried out, by whom and when. For many larger projects a Post Project Evaluation will be a very useful exercise, as it will provide a more balanced view of the project and the impact that it has had.

RISK REGISTER

<u>All outstanding items on the Risk Register should be closed during Stage 4.</u>

Any remaining risks identified during the project should be recorded elsewhere on 4Risk, as either an Operational Risk or a Corporate/Strategic Risk. Further information on these categories of risk can be found within the USW Risk Management Framework.

STAGE 5: POST PROJECT

KEY AIMS

Stage 5 of the PMF covers the activities that need to be undertaken after a project has been formally closed. For larger projects especially, the post-project stage will play an important role in ensuring that valuable lessons are learned. This will help to underpin the success of other projects in the future and avoid mistakes being repeated. The principal aims of this stage of the PMF are to:

- Communicate lessons learned – implementing the Post Project Communication Strategy; and;
- Conduct a Post Project Evaluation (if necessary).

POST PROJECT COMMUNICATIONS

The Project Completion Report (signed-off during Stage 4), includes a Post Project Communication Strategy. This sets out how the "lessons learned" will be communicated, when, to whom and by whom. This strategy should now be implemented to ensure that the key messages are disseminated and the lessons learned can be applied to future projects.

POST PROJECT EVALUATION

For certain types of major project, it will be beneficial to conduct a Post Project Evaluation. This will allow a more balanced and informed view to be taken of a project's successes and failures and could also examine how the project is developing operationally. The need for a Post Project Evaluation (and the details of how it will be carried out) are agreed during Stage 4, in

the Project Completion Report. However, by definition, the evaluation cannot be carried out until the post-project stage has been entered.

BEYOND THE PROJECT

The post-project stage represents the point at which the transition is made from something being a "project" to being part of "business as usual".

This an important moment to consider how the success of the project will be considered and assessed over the longer term, in order to make sure that the anticipated benefits continue to be delivered and lessons continue to be learned.

The post-project period might also be an appropriate point at which to consider possible successor projects and (potentially) to return, once again, to Stage One of the Project Management Framework.

GLOSSARY

Agile Project Management – Principally, software development methods that apply the project approach of using short time-boxed iterations where products are incrementally developed.

Business Case – A written report that outlines the justification for the proposed project. This document also sets out how the customer will assess the acceptability of the finished product.

Change Control – The processes and procedures used to manage changes being made to a product.

Closure – the process of formally completing a project.

Communications Plan - Document setting out how information will be shared with stakeholders involved in the project.

Contingency – The approach we will take, if a risk occurs, to bring about a reduction in thee perceived risk, to try to reduce its impact.

Constraints – The restrictions or limitations that the project is bound by.

Customer – The person or group who commissioned the work and will benefit from the end results.

Deliverable – See "output".

Dependencies - The relationship between different elements of the project (e.g. x needs to be completed before work can commence on y").

Development Stage – The stage during which options are identified, the project is scaled and the Business Case is developed.

Executive- Individual with overall responsibility / accountability for delivering the final "product" through the project. For smaller (Level 3) projects the Project Executive and Project Manager roles could be fulfilled by the one person.

Gantt Chart – A type of bar chart used in project planning to display planned work targets in relation to time.

Initiation and Planning – The stage during which a project is formally established and planned, after the Business Plan has been approved.

Issues Log – Log setting out open and closed issues, actions and responsibilities for resolving issues.

Milestone – the point which marks the completion of a work package deliverable or project stage.

Mitigation – The approach taken to attempt to reduce the likelihood of a risk occurring.

Output – A "product" that is created during the project. This can be a physical entity such as a building or a document or a non-physical entity such as a set of policies.

Post Project Communication Strategy – Process through which "lessons learned" are disseminated to relevant stakeholders after the project has been completed.

Post project evaluation – An evaluation of a project that takes place after it has been completed.

PRINCE2 – A project management approach widely used in both the public and private sector. The acronym stands for Projects in a Controlled Environment.

Product – The specific output which is created from the project. This can be a physical entity such as a building or a document or a non-physical entity such as a set of policies.

Project – A temporary organisation created for the purpose of delivering one or more business products according to a specified business case.

Project Assurance – An independent view of how a project is progressing. Project Assurance will usually be provided by established University committees, such as ISIB or ESSG, however this should be specified within the Business Case document.

Project Board – The Board's remit is to sign off the Project Plan and monitor progress and broker relationships with stakeholders. The board also approve updates the Project Plan and Business Case and signs off the Project Completion Report

Project Governance – The definition of accountabilities and responsibilities for strategic decision making.

Project Initiation Document (PID) – Document that brings together all relevant documentation at the end of the Project Initiation and Planning stage.

Project Issues – Something raised at any time which might cover change requests, off-specifications, general issues, concerns, good ideas and so on.

Project Level – Projects are divided into three levels (1-3) by the scoring system set out within the Project Type Matrix.

Project Manager - Person with day to day responsibility for project. The PM should prepare and maintain the project documentation and keep the Project Board (and stakeholders) up to date on progress. The Project Manager should also lead on Risk Management. On larger projects Programme Manager might be used, with individual Project Managers reporting to them, whilst on smaller (Level 3) projects the Executive and Project Manager roles could be fulfilled by the one person.

Project Management – The process of managing people, activities and resources, in order to achieve defined goals and objectives.

Project Planning – The approach in which schedules and Gantt charts are used to plan the project and report on progress.

Project Support – Administrative support to help with the management of the project.

Project Team – The project team will include all of those involved in delivering the project. Keep the Project Manager informed of progress and of any issues that arise.

Project Type Matrix – Scoring system to be employed during Stage 1 (Development Stage), which identifies how important a

project is within the context of the institution. The score achieved by a project also defines the level of governance required.

Scope – The sum total of the products to be delivered and the extent of their requirements.

Senior Supplier - Represents supplier interests within a project

Senior User - Responsible for ensuring that user needs are met

Quality – The totality of features and inherent or assigned characteristics of a product, person, process, service and/or system that bears on its ability to show that it meets expectations or satisfies stated needs.

Quality Assurance – The planned and systematic activities implemented to demonstrate that the produce will fulfill the customers detailed quality expectations (also see Project Assurance).

Risk – The chance of something occurring which may have a negative impact upon the project.

Risk Management – A systematic approach used to identify, evaluate and treat or eliminate risk within the project. The University's approach to risk is set out in the USW Risk Management Framework, published in 2013 (updated in 2014).

Risk Owner – The individual responsible for managing a particular risk.

Risk Register – The document or system used in the project to organise details of risks and the approach used to control them. Within USW Risk Registers are maintained on the 4 Risk system.

Scaling – The ability to adjust the project management approach to support project of different sizes.

Senior Supplier – The role the represents the interests of those designing, developing, facilitating, procuring, implementing and possibly operating and maintaining the project products.

Senior User – The role that represents the customer or those for whom the product/s is being developed.

Sponsor – The authorising and funding source for the project.

Stakeholders – Those who are affected by a project. This might include groups and individuals outside the University, as well as our own staff and students.

Sponsor – The authorising and funding source for the project.

Task – An activity that needs to be accomplished within a defined period of time.

Tolerance – The amount by which any project characteristic, such as cost, time or the physical properties of the product, may vary from that specified.

Work Package – A subset of tasks relating to the product or elements or the product, that can be assigned to a specific party for execution and delivery.

APPENDIX A:

PROJECT TYPE MATRIX AND GUIDANCE NOTES

USW Project Type Matrix

Criteria	1	2	3	4	5	6	7	8	Score
Assurance									
Have we delivered this product before?	Routine	Many times	Once or twice		Similar product (not the same			Never	
Resources									
Primary source of funding		Fac/Dept.		Corporate		Research	WAG/HEFCW	EU	
Overall project cost excluding staff cost	<£5k	£6-20k	£21-75k		£76-250k	£251-500k	£501k-£1Million	£1Million +	
Estimated internal staff costs	<£5k		£6-20k		£21-50k	£51-100k	£100-250k	£250k +	
Length in months	<1	1-3	3-6		6-12			>12	
Internal suppliers	None	Single (lead department / faculty)		Multi departments / faculties		Multi incl. RWCMD / Merthyr			
External suppliers	None	Single		Multiple		Procurement / tender required		OJEU process	
Interactions									
Stakeholders		Fac/Dept.		Corporate / Student body		Overseas		UK (HE)	
Politics									
Political interest	Insignificant			Internal		External			
Risk Assessment									
Initial Risk Assessment	Low				Moderate			Critical	
Reputational Risk Assessment		Dept / Faculty			University	International		External National	
								TOTAL	

Non PMF <25

Level three = 26-38

Level two = 39-61

Level one = 62-84

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USW Project Management Framework: Project Matrix Guidance Notes

The USW Project Matrix is a key tool in the Project Management Framework, which allows Project Managers to identify how strategically important their project is to the institution and the level of project management that is required. The matrix allows projects to be scored, based on the criteria of assurance, resources, interactions, politics and risk and categories projects as either Level One, Two or Three projects or Non-PMF Projects. The scoring criteria are discussed below in further detail.

1 Assurances

Have we delivered this product before?

The aim of this criterion is to ascertain whether the University (or other supplier) has experience of d elivering the product. The assumption is that the greater the experience of delivering the same or a s imilar product(s), then the less chance there will be of the project failing. If experience is limited or non-existent, then the score increases.

2 Resources

Primary Sources of funding

The product(s) will need to be paid for somehow. Normally this will be funded by one or more facult ies or corporate departments, or it may possibly be funded by corporately or possibly externally. The assumption is that projects which are funded internally will carry less risk than projects which are funded externally. The assumption is that projects which are funded internally will carry less risk than projects which are funded externally.

For some internal projects, where there is little or no hard transfer of currency, the 'funding' will be more difficult to gauge. The question then will be more about who will be committing the most time, effort and resources, whether staff or non-staff, rather than who will be paying any hard currency.

Overall Project Cost excluding staff cost

This is an estimate of all the non-staff costs associated with the project. When a physical product is being delivered, such as a new building, this will be relatively easy to calculate. However, it will be much more difficult to determine for products that do not have a physical manifestation, such as a new award. In these cases non-staff costs are likely to be much lower.

Estimated internal staff costs

This criterion aims to capture the staff costs associated with the delivery of the product.

Length in months

All projects will take a finite amount of time to complete. This criterion aims to capture this period, by assuming that projects which take longer to complete will carry a greater risk.

Internal suppliers

This criterion is linked to estimated internal staff costs. It assumes that whether a project is delivered by a Faculty, a Corporate Department or externally, there will be a number of "suppliers" within the university who will contribute towards the products delivery. Accordingly, this criterion invites the Project Manager to consider all of the stakeholders who will be involved in delivering the product. The assumption is that the greater the number of suppliers, the more complex the project will be to manage, warranting a higher score.

External suppliers

This is similar to the internal supplier criterion. Essentially, the assumption is that if the University appoints more than one external supplier, then the project will be more complicated to manage. Furthermore, if a statutory tender process is required, then this should justify the increase in score regardless of the number of suppliers, given the threshold for tenders.

3 INTERACTIONS

Stakeholders

This criterion assumes that our stakeholders can affect or can be affected by the success of the project. For some projects, the impact on our stakeholders may be minimal or they may not be immediately apparent. Yet for other projects, such as the development of the Atrium and City campuses, the impact will not only affect our students as our main stakeholders, but also the local community and the wider economy.

4 POLITICS

Political interest

Any external interest in the success or failure of any particular project will need to be gauged. Some projects such as the Merthyr Learning Quarter carry a high level of 'political' interest. Their success or failure is likely to generate much public and/or private scrutiny. Given the importance of getting these projects 'right', it is important that a greater investment is made to the project management approach and therefore these types of projects will score higher than those where there the political interest will be less significant.

5 RISK ASSESSMENT

Initial Risk Assessment

For any project to be successful, it is important that an assessment is made at the outset of its initial risks. By now, after addressing all the previous criteria, you should have a 'feel' for the risk associated with delivering the project successfully. Generally, projects which have scored highly across the other criteria are more likely to carry a greater level of risk but this is not always the case.

Reputational risk assessment

Like ‘political interest’, reputational risk is a measure of how much risk is associated with the potential failure of a project. Whereas the criterion ‘political interest’ identifies projects where ther e may be much public scrutiny, this criterion measures the likely impact of that scrutiny suggesting that if it is likely to be isolated to a particular department or faculty then this would warrant a lesser score than if it effected the whole university.

APPENDIX B:

BUSINESS CASE

PROJECT MANAGEMENT FRAMEWORK:

BUSINESS CASE

Project Name:	
Project Reference:	**Project Sponsor:**

This document sets out the business case for the above project, defining the aims and objectives of the project, options considered, the benefits expected to be delivered and providing an overview of how and when they are expected to be delivered.

Version No.	Issue & Circulation Date	Author	Summary of Changes
1			
2			
3			
4			
5			

1. Project Description
Provide a brief outline of the project describing its nature, objectives, who the main stakeholders are and why it is considered to be necessary.

2. Project benefits
Outline the benefits that the project is expected to achieve and explain how success will be measured.

3. Strategic alignment.
Explain how the project will support the university's corporate strategy and contribute to institutional CPI's. ***To be completed for Level 1 and Level 2 projects only.***

4. Options Appraisal
Explain why and how the proposed option was chosen. Outline any alternative options considered, where possible including a SWOT analysis.

5.Project sourcing and procurement
<u>If relevant to the project</u>, outline the proposed approach to procurement, and any other options for delivery that were considered. Provide details of suppliers that will be used and of any contracts.

6. Scope
Exactly what is within the scope of the project? What will be delivered and by who (e.g. USW / external suppliers)? Where relevant also set out anything that is outside the scope of the project

7. Quality: Expectations; Acceptance Criteria and Assurance.
a) Detail any specific quality criteria the product will be expected to meet. *b) Where relevant, provide detailed product specifications including any agreed tolerances.* *c) Are there independently defined standards or accreditations that need to be achieved?*[1] *d) If relevant please provide details of any "Quality Assurance" arrangements for the project*[2]*.*

8. Risk management
Outline any risks associated with the project and describe how they will be managed (in line with the USW Risk Management Framework). ***Once this B****usiness Case has been approved and the project proceeds, these should be reported on the 4 Risk system.*

[1] For example, academic projects might have acceptance criteria that relate to QAA standards or employer accreditation, whilst estates projects might need to achieve specific BREEAM standards.

[2] Quality Assurance provides an independent view / supervision of how the project is progressing (including monitoring progress and ensuring that risks are being considered). The Project Executive is responsible for determining the necessary level of project assurance. However, project assurance will usually be provided through established committees such as ESSG and ISIB.

9. Internal Dependencies
Provide details of any interfaces between the project and other activities within the university. Explain how these interfaces will be managed. ***To be completed for Level 1 and Level 2 projects only.***

10. External Dependencies
Provide details of any dependencies that are outside the control of the project manager – such as the need to gain planning permission from a local authority for a new building. ***To be completed for Level 1 and Level 2 projects only.***

11.Project timeline
Provide a high level timeline for the delivery of the project and key deliverables. Note that a detailed project plan (including a Gantt Chart for Level 1 and 2 projects) will be required at Stage 2 in the Project Plan document, following the approval of this Business Case.

12. Funding sources
Detail the sources of funding to be used for delivering the product, e.g. partnerships with other Faculties / Corporate departments, grant funding etc

13. Relevant lessons Learned from previous projects.
Taking into consideration your experience (and that of colleagues across the University) please consider and provide details of any relevant lessons from previous projects.[3]

[3] Project Managers are strongly encouraged to speak to colleagues from across the University in order to actively seek out relevant "lessons learned" from previous projects.

14. Project cost
Provide an estimate of the whole-life costs of the project. Include those costs that will be carried by the customer as well as those that will be charged by providers. Where relevant, please provide details of: *i) The expected cost* *ii) When costs will occur* *iii) Who will pay for each cost* *iv) Any risk allowance* *v) The anticipated cash-flow in and out of the project as it progresses* *vi) The future income that the project is expected to generate*

15. Project Board membership

Please provide details of the membership of the project board, which will guide the overall direction of the project, maintain the business case, project plan and risk register (and approve and changes to them) and verify all key decisions within the project in line with the Project Board Terms of Reference document. Note that for smaller (Level 3) projects it is possible that not all of the role set out below will be relevant.

Person	Title	Project Role
		Project Executive - *the individual with overall responsibility for the project*
		Senior User - *responsible for ensuring that user needs are met*
		Senior Supplier - *represents the suppliers interests within a project*
		Project Manager - person with day to day responsibility for delivering the project within the constraints specified by the Project Board
		Additional Member(s) –optional - *list any other individuals who will be members of the Project Board and specify their role*

16. Approval to proceed with project
This Business Case must be approved by the Project Executive and Project Manager in order to formally proceed to the "Initiation and Planning" stage (Stage 2). Once the Project has commenced all further changes should be approved by the Project Board and signed off by the Project Executive and Project Manager.

Project Executive _____ **Date** _____

(Signature)

Project Manager _____ **Date** _____

(Signature)

Additional Comments:

APPENDIX C:

PROJECT PLAN

PROJECT MANAGEMENT FRAMEWORK:

PROJECT PLAN

Project Name:	
Project Reference:	**Project Sponsor:**

This Project Plan provides information on how the above project, detailed in the approved Business Case document, will be implemented. This document, alongside the Business Case and Risk Register, should be updated as necessary throughout the project. All changes to these documents should be approved by the Project Board.

Version No.	Issue & Circulation Date	Author	Summary of Changes
1			
2			
3			
4			
5			

1. For Level 3 Projects:

You are required to complete the table below detailing when the component elements of the project and when they will be delivered, providing any further relevant details (such as who is responsible for the delivery of individual elements of the project.

Task	Planned completion date	Additional information
1)		
2)		
3)		
4)		
5)		
6)		

2. For Level 1 and 2 Projects:

You are required to provide a project plan in the form of a Gantt Chart, which should be attached to this document. This can be produced using Microsoft Project, Excel or a similar package and should provide details of key delivery dates for each stage. Any relevant dependencies or milestones should also be shown.

3. Approval to proceed with project

The Project Plan must be approved by the Project Executive and Project Manager in order to formally proceed to the "implementation" stage (Stage 3). Once the Project has commenced all further changes should be approved by the Project Board and signed off by the Project Executive and Project Manager.

Project Executive _____ ***Date*** _____

(Signature)

Project Manager _____ ***Date*** _____

(Signature)

Additional Comments:

APPENDIX D:

PROJECT BOARD TERMS OF REFERENCE

USW Project Management Framework:
Project Board Terms of Reference

The main objective of the Project Board is to bring together key stakeholders from across the university and (if applicable) partner agencies, to ensure the project is run efficiently and effectively. This document provides a set of generic terms of reference designed to help ensure that Project Boards are effective in helping to direct and manage projects.

1 The Role of the Project Board:

- To agree project plans and project documentation (e.g. Business Case, progress reports, risk registers etc);
- To monitor progress against the plans and budget, and to agree any revisions necessary;
- To assist the project manager in resolving any project issues by agreeing a clear course of action;
- To identify and manage project risks by identifying mitigation and contingency;
- To agree any reprioritisation of work or re-allocation of resources, as necessary, in order to ensure milestones are achieved and risks are managed effectively;
- To resolve any additional issues brought to it by the project manager;
- To delegate responsibility for operational issues or particular decisions that need to be taken between Project Board meetings; and;
- To provide additional resources where necessary.

2 At each meeting, the Project Board will:

- Accept a progress report from the project manager(written and/or verbal)[1];
- Review the project plan, the risk register and (if necessary) the business case;
- Approve any changes to the above documents;
- Consider any issues that have arisen since the last meeting;
- Review the up to date Project budget; and;
- Approve any changes to the project plan or the scope of the project.

3 Attendance at meetings:

- Project Board members should not delegate attendance at meetings unless doing so is unavoidable.
- Where deputies are sent, they will be expected to have full authority to make decisions and commit resources, as appropriate.

[1] The PMG Introduction and Guide document advises that written reports (using the PMF Project Progress Report template) are recommended for Level 1 and 2 projects but a verbal update is likely to be more appropriate for a Level 3 Project.

4 PRESCRIBED ROLES:

- The main prescribed roles within the Project Board are as follows:
  - Project Executive
  - Project Manager
  - Senior Supplier
  - Senior User
- Additional members should be included within the Project Board as appropriate, however, it is vital that the group should remain as small and lean as possible, so as to facilitate effective decision making.
- The project roles are outlined in further detail within the PMF Introduction and User Guide (particularly within the Glossary section).

5 FREQUENCY OF MEETINGS:

- Regular Project Board meetings are highly recommended. However, the frequency of meetings will depend upon the nature of the project.
- As projects are event driven, the Project Board normally meets when a decision is required to be made. However, this should not prevent the Project Board from agreeing to meet as and when it deems necessary.

APPENDIX E:

COMMUNICATION PLAN

PROJECT MANAGEMENT FRAMEWORK:

COMMUNICATIONS PLAN

Project Name:	
Project Reference:	**Project Sponsor:**
Period covered by this report:	

This template, designed for use by Project Managers on larger (Level One and Level Two) projects, formally sets out how and when key individuals working on the project will communicate with each other and with external parties.

Version No.	Issue & Circulation Date	Author	Summary of Changes
1			
2			
3			
4			
5			

Interested Parties	Information Required	Information Provider	Frequency	Method	External Interfaces

APPENDIX F:

PROJECT INITIATION DOCUMENT

PROJECT MANAGEMENT FRAMEWORK:

PROJECT INITIATION DOCUMENT

Project Name:	
Project Reference:	**Project Sponsor:**

This Project Initiation Document brings together all of the documentation from Stage 1 (Development) and Stage 2 (Project Planning and Initiation. The PID should be signed-off by the Project Board, prior to the commencement of Stage 3 (Implementation).

Version No.	Issue & Circulation Date	Author	Summary of Changes
1			
2			
3			
4			
5			

1. Checklist of PID documents.

You are required to complete the table below detailing when the component elements of the project and when they will be delivered, providing any further relevant details (such as who is responsible for the delivery of individual elements of the project.

Document	Appended?	Version number /date
Business Case		
Project Plan		
Risk Register		
Communications Plan (recommended for Level 1 and 2 Projects)		

2. Approval to proceed with project

The PID must be approved by the Project Board and Project Executive in order to formally proceed to the "implementation" stage (Stage 3).

Project Executive _____ ***Date*** _____

(Signature)

Project Manager _____ ***Date*** _____

(Signature)

Additional Comments:

APPENDIX G:

PROGRESS REPORT

PROJECT MANAGEMENT FRAMEWORK:

PROGRESS REPORT

Project Name:	
Project Reference:	**Project Sponsor:**
Period covered by this report:	

This template, designed for use by Project Managers, updates the Project Board on how the above project is progressing. The document summarises the progress that has been made to date, details the work that is planned during the next period and highlights any issues, changes or deviations from the project plan.

For Project Managers dealing with Level One and Level Two projects, using this template (or providing with Project Board with a report covering similar issues) is highly recommended. For Level Three projects is likely that providing the Project Board with a verbal progress report will suffice.

Version No.	Issue & Circulation Date	Author	Summary of Changes
1			
2			
3			
4			
5			

1. Executive overview of progress
Provide a summary of progress made since the last Project Board meeting, or, (if this report is for the first meeting of the Project Board) provide a summary of progress made on the project to date.

2. Overview of upcoming work
Provide a summary of the work that is expected to take place during the next period (ahead of the next Project Board meeting).

3. Actual or potential deviation from the project plan
Provide a summary of any actual or potential deviation from the project plan. Outline the likely consequences of deviating from the plan.

4. Budget status
Provide a summary of the current budgetary position for the project.

5. Additional Issues for Consideration
Please set out any additional issues relevant that you feel the Project Board should consider at this stage. You may wish to circulate an issues log.

6. Approval to proceed with project
The Progress Report must be signed off by the Project Executive and Project Manager(with the approval of the Project Board).

Project Executive _____ ***Date*** _____

(Signature)

Project Manager _____ ***Date*** _____

(Signature)

Additional Comments:

APPENDIX H:

ISSUES LOG

PROJECT MANAGEMENT FRAMEWORK:

ISSUES LOG

Project Name:	
Project Reference:	**Project Sponsor:**

This document sets allows issues arising during the implementation stage (and the responses to them) to be recorded and detailed.

Version No.	Issue & Circulation Date	Author	Summary of Changes
1			
2			
3			
4			
5			

Issues Log

Issue ID	Date	Stage	Raised by (initials)	Issue Name	Description	Action required	Action taken to date	Status

APPENDIX I:

CHANGE CONTROL REPORT

PROJECT MANAGEMENT FRAMEWORK:

CHANGE CONTROL REPORT

Project Name:	
Project Reference:	**Project Sponsor:**

The purpose of this form is to allow the Project Manager to report to the Project Board on issues which may require a change to the Project Plan. These could include, but are not limited to the following:

- Unforeseen risks
- Concerns which have arisen
- Request for a change in scope
- Request for a change in timescale
- Request for re-allocation of resources
- Request for additional resources

Those Project Managers who are required to provide updates to ISIB will be required to include these Change Control reports in their updates.

Project Reference	Project Title	
Customer:	Date:	Report No
Department:	Raised by:	Ref:
Description of Issue:		
Will action be taken in response to the issue (YES / NO)		
Short-term action taken:		
Proposed long-term preventive action: Proposed by: Date:		
Action to be taken:	Reviewed: Date:	
Effect on project completion date		
Effect on project budget		
Approval needed from ISIB or VCEB-ICT ?	YES / NO	
Verified as effective: Date:		

APPENDIX J:

PROJECT COMPLETION REPORT

PROJECT MANAGEMENT FRAMEWORK:

PROJECT COMPLETION REPORT

Project Name:	
Project Reference:	**Project Sponsor:**

This Project Completion Report should be completed by the Project Manager, to formally close a project. The document assesses of the extent to which the project has been a success, identifies lessons learned and details any outstanding issues and risks. The document also asks the Project Manager to consider the benefits of conducting a Post Project Review (and, where relevant, to plan for one) and prepare a Post Project Communication Strategy, for the dissemination of lessons learned.

This report should be agreed by the Project Board and signed off by the Project Manager and the Project Executive.

Version No.	Issue & Circulation Date	Author	Summary of Changes
1			
2			
3			
4			
5			

1. Achievement of objectives
Consider whether the project has delivered the objectives that were set out in the Business Case. *a) What objectives have been achieved?* *b) What objectives have not been achieved?*

2.Benefits delivered
Has the project delivered the expected benefits that were outlined in the Business Case (or is it on course to do so)? Has the project delivered any additional benefits that were not originally expected?

3. Outstanding risks
Please detail any remaining risks, which it has not yet been possible to close on the 4 Risk system. Explain why these risks remain open and set out when they are expected to be closed and what actions need to take place in order for them to be closed.

4. Budget
How did the project perform in relation to the allocated budget? Please provide a final balance sheet for the project (either below or in an attached spreadsheet).

5. Lessons learned
All lessons learned from the project should be captured and here and forwarded to the Strategic Planning Office, in order that they can be placed on the PMF web pages, for managers of future projects to consult. In considering the lessons learned from the project please state: *a) What aspects of the project went well? Are there positive lessons that could be applied in future projects?* *b) What aspects of the project did not go so well? Are there things that could be done differently with respect to future projects?*

6. Post Project communication strategy
In order to ensure that key messages and lessons learned from the project are communicated to the right people within the institution it is recommended that a post-project communications strategy should be prepared. ***For each lesson learned the Post Project Communications Strategy should set out:*** *a) Which individual (or individuals) this message needs to be communicated to* *b) Which Project Board member will be responsible for ensuring that the message is communicated.* *c) When and how the communication will take place* *d) What (if any) actions are expected to take place as a result of this message being communicated.*

7. Post Project Evaluation
For some larger projects (such as significant estates developments or major changes to curriculum) it will be useful to conduct a Post Project Evaluation further down the line in order to take a more balanced view on how successful the project has been. *a) Do you think that such a Post Project Evaluation would be appropriate with respect to this project? If not, please outline why not?* *b) If relevant, please set out how and when the Post Project Evaluation will be conducted and which individuals within the institution will be responsible.*

8. Approval to close the project
The Project Completion Report must be approved by the Project Board and signed off by the Project Executive and Project Manager.

Project Executive _____ ***Date*** _____

(Signature)

Project Manager _____ ***Date*** _____

(Signature)

Additional Comments: