Project management is the controlled process by which projects are consistently and successfully delivered.

Ian Quinnell
Head of Project Office

Project Office
## VERSION HISTORY

<table>
<thead>
<tr>
<th>Version</th>
<th>Print Date</th>
<th>Modification</th>
</tr>
</thead>
<tbody>
<tr>
<td>1.0</td>
<td>October 2005</td>
<td>Created</td>
</tr>
<tr>
<td>2.0</td>
<td>November 2006</td>
<td>Updated to incorporate feedback from project community; template formats updated.</td>
</tr>
<tr>
<td>3.0</td>
<td>March 2008</td>
<td>Updated; template content revised following review.</td>
</tr>
<tr>
<td>4.0</td>
<td>April 2009</td>
<td>Updated in line with formal PRINCE2 2005 terminology and processes; templates updated and made available online.</td>
</tr>
<tr>
<td>5.0</td>
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<td>Updated to bring in line with PRINCE2 2009. More defined content on benefits, business cases, roles and responsibilities.</td>
</tr>
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SECTION 1 - INTRODUCTION

1.1 - INTRODUCTION TO THE HANDBOOK

This Project Management handbook has been produced by the Project Office, and provides guidelines for the day-to-day management and control of projects.

It is intended for use by those managing projects for the first time, those who have more experience in this area and have previously attended project management training courses, as well as for all those involved in a project in some way.

Most of the principles that apply to significant projects also apply to smaller projects. However the extent to which these principles are applied will vary, depending on the complexity of the project. The handbook has been designed to provide basic guidance on how projects, of any size or complexity, should be managed and includes information on project processes, roles and responsibilities, and the documentation and administration of a project. It also provides useful hints and tips on completing the project documentation and explains some of the terms used in project management.

Those new to project management should look at the information on the Project Office web pages www.projects.bham.ac.uk. These pages contain some useful links which are a good source of background reading and training; the information found there will reinforce the principles outlined in this handbook.

The Project Office acts as a central service, assisting Project Managers and those involved in projects by providing them with the skills and support they require to manage projects.

Requests for project support can be made informally to the Head of Project Office at any time. The level of help provided will be agreed, depending on need and available resource. Alternatively, for general guidance and information email us at: projects@contacts.bham.ac.uk
1.2 - WHAT IS A PROJECT?

A project is a group of inter-related activities that are planned and then executed in a certain sequence to create a unique product or service within a specific time frame. Projects can be critical components of the University’s business strategy, and relate directly to its policies and initiatives.

Projects vary in size or complexity. For example they may:

- Involve changes to existing systems, policies, legislation and/or procedures
- Entail organisational change
- Involve a single person or many people
- Involve engagement and management of external resources

1.3 - WHAT ARE THE ESSENTIAL CHARACTERISTICS?

A project is usually characterised as having:

- Project organisation structure
- A defined start and a defined end; it is a finite process
- Definable, measurable project outcomes that relate to the University’s strategy
- A well defined project team
- Project deliverables (required for the attainment of the project outcomes) produced by a project team
- Criteria to measure project performance

It is not a project if:

- The work is an integral part of a process: this would classify the work as a process rather than a project
- Achievement of this task will not result in a unique change
- It is a regular repeatable event that has been undertaken before

Work that falls within these areas would be considered business as usual.
1.4 - PROJECT SIZING – LEVEL OF PROJECT MANAGEMENT

Project Characteristics

When considering a project it is important to understand the “size” of the project to establish how much of a formal project management methodology needs to be used. There needs to be sufficient project management to provide reassurance to Senior Management that resources and expenditure are being controlled effectively and to an appropriate level. This also aids confidence that the desired outcome will be delivered i.e. a successful project.

There are many factors that contribute to the “size” of a project. The above diagram looks at sizing from the view points of complexity of the challenge to be overcome or change to be delivered and the impact to the organisation.

Complexity Low, Impact Low.

Work of this type usually only needs local management for decision making, issue resolution and making sure what is required is understood. Local management would monitor the progress of the solution delivery to an agreed timescale. Often these pieces of work can be classified as “business as usual” tasks and do not need formal project management.
Complexity High, Impact High.

This is the opposite end of the scale to low complexity and low impact. The changes delivered by this category tend to be very visible to the organisation as a whole and/or outside the organisation. They can involve multiple changes and solutions, multiple areas of the organisation, diverse project team and skill-set, the largest budgets and directly supporting the organisation’s strategy.

Work of this magnitude requires strong and effective management so needs to embrace the project management methodology and tools in full to be successful. Governance by a Project Board made up of senior members of the organisation who can influence, make decisions and commit to expenditure is essential.

- The What, Why, How, When, Who, for the project must be documented in the PID, understood and agreed by all involved so that there is a common understanding
- Areas of responsibilities must be defined and assigned to named individuals within the Project Board and Project Team.
- Risks and Issues must be documented, monitored, addressed and reviewed.
- Project Plan and Communications Plan must be agreed and committed to.
- Progress must be monitored and reported.
- In short use all the controls the Project Management framework provides.

Complexity Low, Impact High and Vice Versa.

The majority of projects fall into these categories where the breadth and depth of project management required is not clear cut. It is only with experience of managing various projects will it be easier to decide on the level of control and therefore how much of the project management framework to use. However for all projects in these categories it is strongly recommended that the following are used:

- An action plan with tasks, resources and timescales: typically the “Gantt” chart
- Risks and Issues must be documented, monitored, addressed and reviewed in the Risk Register and Issues Register
- Stakeholder Analysis
- Communication Plan
- Project Management Structure: Project Board

All these are tools to define, understand and control a project. How much is recorded in them depends on the type and nature of the project. The Project Board should be involved in deciding the level of detail and documentation required for the project. Record the basics at least as a baseline then if necessary increase the amount or detail as required while progressing through the project. Like many things a compromise is needed between the amount of control needed to ensure the project is managed effectively versus the effort required to maintain the documents.
1.5 - WHAT IS PROJECT MANAGEMENT?

Project management is a formalised and structured method of managing change in a rigorous manner. It focuses on achieving specifically defined deliverables that are to be achieved by a certain time, to a defined quality and with a given level of resources so that planned outcomes are achieved.

‘Effective project management is essential for the success of a project.’

Project management is seen as being the layer above the undertaking of actual tasks required for a project.

1.6 - WHAT IS PRINCE2?

PRINCE2 (Projects in Controlled Environments) is a structured project management method providing an easily tailored and scalable method for the management of all types of projects. Each process is defined with its key inputs and outputs together with the specific objectives to be achieved and activities to be carried out. PRINCE2 adopts the principles of good project management to avoid the problems identified below and so helps to achieve successful projects. This Handbook is based upon the principles and processes of PRINCE2 2009:

- Managing Successful Projects with PRINCE2
- Directing Successful Projects with PRINCE2

1.7 - WHY USE A PROJECT MANAGEMENT METHOD?

Project failures are all too common and reasons for failure are wide and varied. Causes may include:

- Lack of co-ordination of resources and activities
- Lack of communication with interested parties, leading to the delivery of work not wanted by the customer
- Poor estimation of duration and costs, leading to projects taking more time and costing more money than expected
- Inadequate planning of resources, activities, and scheduling
- Lack of control over progress so that projects do not reveal their exact status until too late
- Lack of quality control, resulting unacceptable or unusable project deliverables

Without a project management method, those who initiate a project, those who manage it and those who work on it will have different ideas about how things should be organised and when the different aspects of the project will be completed.

For genuine commitment to the project, all parties must be clear about why the project is needed, what it is intended to achieve, how the outcome is to be achieved, and what their responsibilities are in achieving it.

The general rule of project management is to look ahead and try to plan before acting. How much planning is possible in advance is very much dependent upon the nature of the project, or the characteristics of the change being undertaken.
### SECTION 2 – PROJECT PROCESSES

#### 2.1 OVERVIEW OF PROCESSES

<table>
<thead>
<tr>
<th>Starting up a project</th>
<th>Initiating a Project</th>
<th>Implementing a Project</th>
<th>Closing a Project</th>
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</thead>
<tbody>
<tr>
<td><strong>Key Actions</strong></td>
<td><strong>Key Actions</strong></td>
<td><strong>Key Actions</strong></td>
<td><strong>Key Actions</strong></td>
<td><strong>Key Actions</strong></td>
</tr>
<tr>
<td>Project Executive – Appoint Project Manager. Put together documentation for Authority Group approval.</td>
<td>Project Executive &amp; Project Manager &amp; Board – Put together more detailed documentation for Authority Group approval.</td>
<td>Project Executive / Project Manager – Start implementation and managing product delivery of the project. Monitor and Report the project including changes and issues using appropriate channels and documentation.</td>
<td>Project Executive / Manager – Produce Project Closure Document(s) with the involvement of the Project Team.</td>
<td>Project Executive / Project Manager – Produce Project Document with the involvement of the Operational Team.</td>
</tr>
<tr>
<td>Project Board – Consider project for further detailed planning and formal approval by Authority Group.</td>
<td>Authority Group – Consider project for further detailed planning.</td>
<td>Project Team / Team Manager – Start implementation of the project as planned. Monitor and Report the project including changes and issues to Project Manager.</td>
<td>Authority Group – Consider project for formal closure and need for Post Project Review.</td>
<td>Project Board &amp; Authority Group – Review Post Project outcomes.</td>
</tr>
<tr>
<td>Authority Group – Consider project for further detailed planning.</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

#### Planning

- Mandatory: 
  - Project Initiation Document
  - Project/Project Stage Plan Form
  - Stakeholder Analysis and Communication Plan
  - Issue Register
  - Risk Register

#### Monitoring & Reporting

- Mandatory: 
  - End of Project Report Form

#### Change Management

- Mandatory: 
  - End Stage Report

#### Handover & Completion

- If required
  - Post Implementation Review Form

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**Outcomes**

- Project authorised for further planning
- Project approved for implementation
- Project progress monitored & reported to – Authority Group, Project Board, Project Office (& users/customers where appropriate)
- Project authorised for closure
- Confirmation of project benefits closure

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2.2 - START UP

This process is designed to ensure that the pre-requisites for initiating the project are in place. The process is undertaken as a result of a business need having been identified.

The objectives of start up are to:

- Agree whether or not there is sufficient justification to proceed with the project
- Establish a stable management basis on which to proceed
- Document and confirm that an acceptable Business Case exists for the project
- State the expected benefits of the project
- Ensure a firm and accepted foundation to the project prior to commencement of the work
- Agree to the commitment of resources for the project
- Establish the project management structure
- Provide the baseline for the decision-making processes required during the project’s life
- Ensure that the investment of time and effort required by the project is made wisely, taking account of any risks

2.3 - INITIATION

During initiation the Project Manager, Team and Project Board work closely with stakeholders to gain support and develop the overall objectives, deliverables and management framework for the project.

The primary objectives of this phase are:

- To set up a project management environment to ensure that the definition, development, implementation and monitoring phases are managed effectively
- To define and understand the implications of the project’s scope
- To define the changes required to services and systems resulting from both the University’s strategy and regulatory requirements
- To clearly define the project’s structure for development and initiation
- To design and appoint the Project Team
- To ensure that the information required for the Project Team is available
- To develop the Project Initiation Document and related documents (e.g. Communication Plan, Risk Register, and Project Plan.
- To refine the Business Case
- To further refine the benefits and outline the means of reviewing them
2.4 - IMPLEMENTATION

Implementation focuses on two key areas:

- Undertaking the necessary activities, changes and developments in services and systems that have been identified, agreed and planned in previous steps
- Monitoring, and reporting on those activities to ensure that a project stays on course and reacts to unexpected events

This process forms the core of the Project Manager's effort on the project, being the process which handles day-to-day management of the project.

The primary elements of this are:

- To undertake and authorise the work as detailed in the Project Initiation Document and Project Plan by:
  - Making certain that work allocated to the team is effectively authorised and agreed; accepting and checking completed work
  - Ensuring that work conforms to the requirements identified in the Project Plan
  - Ensuring that the work is done
  - Assessing work progress and forecasts regularly
  - Ensuring that completed work meets quality criteria
  - Obtaining approval for the work completed
  - Regularly reviewing existing risks and assessing for new risks
  - Maintaining effective communications with relevant stakeholders

- Monitoring, and reporting on the project by:
  - Gathering information about the work being undertaken
  - Reviewing and reporting on project progress
  - Taking any necessary corrective action as a result of deviation from the original Business Case, scope or objectives
  - Escalating risks and issues where necessary to the Project Board
  - Preparing for project/project stage closure

2.5 - CLOSING A PROJECT

Closing a project will focus on embedding developments in services and systems into the normal activity of the University.

The primary elements of this phase are:

- To formally close down and review the project and the lessons that have been learnt
- To upgrade the services and systems to ensure that the University can operate under the new project changes
- To train staff in the operation of the new and amended systems and processes
- To introduce the necessary support for the project changes
2.6 - POST PROJECT

Following the completion and closure of the project an additional process may be undertaken to ascertain whether the benefits, scope and deliverables of the project, as stated in the Project Initiation Document, have been met. This process would include carrying out a Post Implementation Review after sufficient time has elapsed to demonstrate the benefits of the new service and to determine that the new service / product is running effectively.
SECTION 3 – ROLES AND RESPONSIBILITIES

3.1 - PROJECT MANAGEMENT STRUCTURE

The roles and responsibilities of resources involved within a project include:

3.2 - AUTHORITY GROUP / CORPORATE MANAGEMENT

The Authority Group is external to the Project Board and Team and is responsible for:

- Balancing the demands of the business, user and supplier
- Identifying the Project Executive and in some cases the Project Manager
- Defining overall project tolerances (for Project Board to work within)
- Approving the Project Business Case
- Ensuring the project is value for money
- Committing funding and other resources for the project
- Reviewing the progress of the project
- Assessing the impact of potential changes to the Business Case / Project Plan and approving any such changes (Project Change Request Form)
- Highlighting any known risks to the Project Board which may impact the project
- Making decisions where requested by the Project Board for instance, if overall project tolerances set by them are forecasted to exceed
- Post project benefits realisation
- Acceptance of the End of Project Report Form and signing off the project
- Requesting a Post Implementation Review if required
### 3.3 PROJECT BOARD

<table>
<thead>
<tr>
<th>Brief Description of Role</th>
<th>Key Responsibilities</th>
<th>Other Responsibilities</th>
<th>Key actions/points to remember during Project Processes</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Overall Project Board</strong></td>
<td>- Be accountable for the project</td>
<td></td>
<td>- Start-up - Set project tolerances, agree &amp; approve outline Business Case &amp; benefits, review project and authorise initiation</td>
</tr>
<tr>
<td>- Is a vital component of any project. It should be active and is accountable</td>
<td>- Provide unity &amp; overall direction</td>
<td></td>
<td>- Initiation - Support Project Manager in planning details for Project Initiation Document and its components</td>
</tr>
<tr>
<td>- Supervised by the Executive, ensuring the provider, leadership and direction to the Project Manager, who will manage the project at a detailed level.</td>
<td>- Delegate effectively</td>
<td></td>
<td>- Implementation - Monitor &amp; manage project against agreed check points, addressing updated Risks and Issues</td>
</tr>
<tr>
<td>- Ensures that the project remains aligned with the Business Case, organisational aims with a viable Business Case</td>
<td>- Facilitate cross-functional integration</td>
<td></td>
<td>- Closure - Complete acceptance of deliverables. Approve End of Project Report. Authorise project closure. Agree handover and post-project activities</td>
</tr>
<tr>
<td><strong>Executive</strong></td>
<td>- Be accountable for the project</td>
<td></td>
<td>- Start-up - Overseas development of a viable Business Case, align project organisation and secure resources</td>
</tr>
<tr>
<td>- Is ultimately responsible for the project and its Business Case, supported by the Senior Supplier and Senior User.</td>
<td>- Provide unity &amp; overall direction</td>
<td></td>
<td>- Initiations - Support the Project Manager &amp; be engaged in the development of the Project Initiation Document and its components</td>
</tr>
<tr>
<td>- Focuses on ensuring that project objectives and forecasted benefits are achieved</td>
<td>- Delegate effectively</td>
<td></td>
<td>- Implementation - Provide appropriate supplier liaison throughout the project. Ensure deliverables can be and are being met as per agreed requirements. Communicate with Project Manager on progress, issues, risks, etc.</td>
</tr>
<tr>
<td>- Ultimate accountability for benefits realisation.</td>
<td>- Facilitate cross-functional integration</td>
<td></td>
<td>- Start-up - Overseas development of a viable Business Case, align project organisation and secure resources</td>
</tr>
<tr>
<td>- Must ensure that the project gives value for money, while balancing the needs and demands of the business, user and supplier.</td>
<td>- Ensure communication (2-way)</td>
<td></td>
<td>- Initiations - Support the Project Manager &amp; be engaged in the development of the Project Initiation Document and its components</td>
</tr>
<tr>
<td><strong>Senior Supplier</strong></td>
<td>- Be accountable for the project</td>
<td></td>
<td>- Implementation - Provide appropriate supplier liaison throughout the project. Ensure deliverables can be and are being met as per agreed requirements. Communicate with Project Manager on progress, issues, risks, etc.</td>
</tr>
<tr>
<td>- Represents the interests of those designing, developing, constructing, procuring and implementing the project deliverables.</td>
<td>- Be accountable for the project</td>
<td></td>
<td>- Start-up - Overseas development of a viable Business Case, align project organisation and secure resources</td>
</tr>
<tr>
<td>- Assists in the technical supervision and the development of the project deliverables.</td>
<td>- Develop, and be accountable for the project's Business Case</td>
<td></td>
<td>- Initiations - Support the Project Manager &amp; be engaged in the development of the Project Initiation Document and its components</td>
</tr>
<tr>
<td>- Ensures the project remains aligned with the Business Case, organisational aims with a viable Business Case</td>
<td>- Appoint and lead the Project Board, Project Manager and Project Team</td>
<td></td>
<td>- Implementation - Provide appropriate supplier liaison throughout the project. Ensure deliverables can be and are being met as per agreed requirements. Communicate with Project Manager on progress, issues, risks, etc.</td>
</tr>
<tr>
<td><strong>Senior User</strong></td>
<td>- Develop and be accountable for the project's Business Case</td>
<td></td>
<td>- Start-up - Overseas development of a viable Business Case, align project organisation and secure resources</td>
</tr>
<tr>
<td>- Represents the interest of all who will be users of the project deliverables (this may require more than one person)</td>
<td>- Ensure communication (2-way)</td>
<td></td>
<td>- Initiations - Support the Project Manager &amp; be engaged in the development of the Project Initiation Document and its components</td>
</tr>
<tr>
<td>- Specifies the forecast benefits</td>
<td>- Be accountable for the project</td>
<td></td>
<td>- Implementation - Provide appropriate supplier liaison throughout the project. Ensure deliverables can be and are being met as per agreed requirements. Communicate with Project Manager on progress, issues, risks, etc.</td>
</tr>
<tr>
<td>- Monitors the project deliverables against the Business Case in terms of quality, functionality and ease of use.</td>
<td>- Be accountable for the project</td>
<td></td>
<td>- Start-up - Overseas development of a viable Business Case, align project organisation and secure resources</td>
</tr>
<tr>
<td><strong>Project Manager (PM)</strong> or (Board Member)</td>
<td>- Provide user requirements, quality expectations of the project deliverables and related milestones</td>
<td></td>
<td>- Initiations - Support the Project Manager &amp; be engaged in the development of the Project Initiation Document and its components</td>
</tr>
<tr>
<td>- Runs the project on a day-to-day basis, reporting to the Project Board.</td>
<td>- Define the forecasted benefits to be gained from project deliverables.</td>
<td></td>
<td>- Implementation - Provide appropriate supplier liaison throughout the project. Ensure deliverables can be and are being met as per agreed requirements. Communicate with Project Manager on progress, issues, risks, etc.</td>
</tr>
<tr>
<td>- Does overall organisational work for the Project: planning, reporting, communications, co-ordination and performance throughout the project to ensure deliverables are achieved as per the agreed Business Case, Supplier and User requirements.</td>
<td>- Ensure communications are undertaken as documented and necessary.</td>
<td></td>
<td>- Closure - Sign-off project deliverables against agreed requirements and quality</td>
</tr>
<tr>
<td>- Leads planning the project and its potential stages.</td>
<td>- Prepare project documentation &amp; maintain current development of issue &amp; risk registers</td>
<td></td>
<td>- Start-up - Agree and confirm required user resource.</td>
</tr>
<tr>
<td>- Leads the Project Team</td>
<td>- Prepare reports &amp; recommendations for Project Board enabling them to make relevant decisions.</td>
<td></td>
<td>- Initiations - Ensure that user requirements have been clearly and completely defined. Define &amp; agree quality criteria for project deliverables.</td>
</tr>
<tr>
<td><strong>Project Manager (PM)</strong> or (Board Member)</td>
<td>- Ensure project team's project work as planned, avoiding any deviations to the Project Board.</td>
<td></td>
<td>- Implementation - Ensure deliverables are assessed against agreed quality criteria</td>
</tr>
<tr>
<td>- Prepare project documentation &amp; maintain current development of issue &amp; risk registers</td>
<td>- Ensure communications are undertaken as documented and necessary.</td>
<td></td>
<td>- Start-up - Agree and confirm required user resource.</td>
</tr>
<tr>
<td>- Prepare reports &amp; recommendations for Project Board enabling them to make relevant decisions.</td>
<td>- Prepare project documentation &amp; maintain current development of issue &amp; risk registers</td>
<td></td>
<td>- Initiations - Ensure that user requirements have been clearly and completely defined. Define &amp; agree quality criteria for project deliverables.</td>
</tr>
<tr>
<td>- Ensure project team's project work as planned, avoiding any deviations to the Project Board.</td>
<td>- Ensure communications are undertaken as documented and necessary.</td>
<td></td>
<td>- Implementation - Ensure deliverables are assessed against agreed quality criteria</td>
</tr>
</tbody>
</table>

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### 3.4 PROJECT EXECUTIVE

<table>
<thead>
<tr>
<th>Start-up</th>
<th>Initiation</th>
<th>Implementation</th>
<th>Closure</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Key duties during Project Management Stages</strong>&lt;br&gt;• Oversee development of a viable Business Case&lt;br&gt;• Appoint the project organisation and secure resources&lt;br&gt;• Check if project is in-line with University/Local strategies&lt;br&gt;• Ensure tolerances are set and agreed with higher authority&lt;br&gt;• Ensure resources are agreed with higher authority and made available</td>
<td><strong>Key duties during Project Management Stages</strong>&lt;br&gt;• Support the Project Manager&lt;br&gt;• Be engaged in the development of the Project Initiation Document and its components&lt;br&gt;• Oversee the development of a detailed Business Case&lt;br&gt;• Check if project is in-line with University/Local strategies&lt;br&gt;• Ensure tolerances are defined for each project stage&lt;br&gt;• Identify Risks</td>
<td><strong>Key duties during Project Management Stages</strong>&lt;br&gt;• Monitor &amp; control progress at agreed check points&lt;br&gt;• Commit and monitor resources as agreed at start-up and initiation&lt;br&gt;• Monitor risks and ensure that these are kept under control, addressing any escalated risks and issues&lt;br&gt;• Monitor and assess changes to Project Plan for impact on Business Case (is it still viable?) and against set tolerances and external events&lt;br&gt;• Assess, manage and control user/supplier excesses (scope creep)</td>
<td><strong>Key duties during Project Management Stages</strong>&lt;br&gt;• Formally sign off the project against the Business Case&lt;br&gt;• Review and disseminate Lessons Learnt&lt;br&gt;• Plan the post implementation review if required</td>
</tr>
</tbody>
</table>

### Role and Responsibilities and other attributes

- **Is ultimately responsible and accountable for the project, its Business Case and for benefits realisation (supported by the Senior Supplier and Senior User)**
  - Appoints the Project Board, Project Manager and Project Team and ensures provision of leadership and direction to them
  - Is the key decision maker within the Project Board based on advice and commitments from others
  - Oversees the development of a viable Business Case and is accountable for the project’s Business Case by ensuring it stays viable throughout the lifecycle of the project
  - Oversees the planning of the project and secures required funding and resources
  - Ensures Project Board reviews happen at agreed points in the plan and stages of the project

- **Ensures risks are managed effectively and makes decisions on escalated issues with particular focus on continued business justification for the project**
  - Responsible for communications to management escalating risks and issues where necessary
  - Gains agreement and confirmation of user acceptance
  - Focuses on ensuring that project objectives and forecasted benefits are achieved
  - Ultimately accountable for benefit realisation across the project as a whole
  - Must ensure that the project gives value for money, while balancing the needs and demands of the business, user and supplier
  - Ensures tolerances are set and agreed with higher authority for overall project
  - Ensures relevant procedures are in place to monitor and access the project effectively
### 3.5 SENIOR SUPPLIER

<table>
<thead>
<tr>
<th>Stages</th>
<th>Start-up</th>
<th>Initiation</th>
<th>Implementation</th>
<th>Closure</th>
</tr>
</thead>
<tbody>
<tr>
<td>Key duties during Project Management Stages</td>
<td>• Investigate needs of the project and determine how these are best met, highlighting issues, concerns and constraints &lt;br&gt; • Identify risks</td>
<td>• Ensure and confirm that proposals for the deliverables are achievable and realistic, against any constraints or concerns &lt;br&gt; • Identify risks</td>
<td>• Provide appropriate supplier liaison throughout the project &lt;br&gt; • Ensure deliverables can be and are being met as per agreed requirements &lt;br&gt; • Communicate with Project Manager on progress, issues and risks &lt;br&gt; • Day to day management of supplier staff assigned to the project &lt;br&gt; • Quality assurance of the work of supplier staff assigned to the project &lt;br&gt; • Monitor risks</td>
<td>• Sign off project deliverables against agreed requirements and quality</td>
</tr>
</tbody>
</table>

**Role and Responsibilities and other attributes**

| | Represents the interests of those designing, developing, facilitating, procuring and implementing the project deliverables <br> Must have authority to commit or acquire the resources required to produce the project deliverables <br> Is accountable for the quality of the deliverables <br> Confirms how the project will be delivered, identifies constraints and requirements for delivery <br> Ensures resources required are agreed and are made available <br> Makes decisions on escalated issues focusing on safeguarding the integrity of the project deliverables | Ensure quality procedures are adhered to, so that deliverables meet requirements <br> Is able to brief non-technical management & Project Board on supplier aspects of the project <br> Advises on design, development, and acceptance methods for the project deliverables <br> Planning - ensures proposals are realistic through liaison with resources <br> Makes effective use of supplier resources within the approved budget <br> Encourages the transfer of product knowledge and skills to the appropriate staff within the organisation |
### 3.6 SENIOR USER

<table>
<thead>
<tr>
<th>Key duties during Project Management Stages</th>
<th>Start-up</th>
<th>Initiation</th>
<th>Implementation</th>
<th>Closure</th>
</tr>
</thead>
<tbody>
<tr>
<td>• Agree and commit required user resource</td>
<td>• Ensure that user requirements have been clearly and completely defined</td>
<td>• Ensure measures are taken to assess quality of project deliverables as agreed at Initiation</td>
<td>• Sign off project deliverables on behalf of the users against the agreed quality criteria. Assess, or plan to assess, that the deliverables provide the forecasted benefits</td>
<td></td>
</tr>
<tr>
<td>• Ensure agreements are in line with University/local strategies</td>
<td>• Define &amp; agree quality criteria for the project deliverables</td>
<td>• Provide the appropriate user liaison throughout the project</td>
<td></td>
<td></td>
</tr>
<tr>
<td>• Ensure agreed requirements are met in the Project Plan</td>
<td>• Ensure user specifications are accurate, complete, unambiguous and agreed by users</td>
<td>• Monitor and report on the user aspects of the project</td>
<td></td>
<td></td>
</tr>
<tr>
<td>• Identify risks</td>
<td></td>
<td>• Monitor project to ensure project is progressing according to user needs and that they will be met</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td>• Review user acceptance outcomes</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td>• Monitor risks</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

#### Role and Responsibilities and other attributes

- **Represents the interest of all who will be users of the project deliverables (this may require more than one person)**
- **Defines the forecasted benefits to be gained from project deliverables**
- **Monitors the project deliverables against the Business Case in terms of quality, functionality and ease of use (NB: Commitment to this role is likely to go beyond project closure)**
- **Provides user requirements, quality expectations of the project deliverables and defines acceptance criteria**
- **Ensures user resources for the project are made available**
- **Communicates with the user base and management to resolve and make decisions on issues affecting the forecasted benefits of the project**
- **Receives direction from Senior Supplier and Project Manager**
- **Provides guidance to Project Team**
- **Presents unresolved user issues to Project Board for consideration**
- **Verifies user processes and procedures and reviews against requirements**
- **Ensures any non user changes are assessed for their impact on users**
- **Ensures any requests for changes are understood, agreed and accepted by users and suppliers.**
- **Ensures quality checking is undertaken as agreed and correctly**
- **People Management – i.e resolves conflicting user requirements and prioritises against project constraints**
### 3.7 PROJECT MANAGER

<table>
<thead>
<tr>
<th>Start-up</th>
<th>Initiation</th>
<th>Implementation</th>
<th>Closure</th>
</tr>
</thead>
<tbody>
<tr>
<td>• Agree set-up of Project Board &amp; Team, start developing initial documentation (Business Case, logs, plans) for Project Board to agree further planning</td>
<td>• Develop Project Initiation Document and its components (Business Case)</td>
<td>• Manage the delivery of project deliverables by co-ordinating, planning, monitoring, communicating, escalating issues/risk and maintaining documentation.</td>
<td>• Prepare End of Project Report and Lessons Learnt</td>
</tr>
<tr>
<td></td>
<td>• Agree Project Board checkpoints to monitor the project</td>
<td>• Provide agreed regular updates to Project Board on plans, costs, resources, timescales and benefits</td>
<td>• Review snags and further actions</td>
</tr>
<tr>
<td></td>
<td>• Ensure all understand documented requirements, constraints, &amp; forecasted outcomes and benefits before seeking agreement to implement</td>
<td>• Be responsible for change Control</td>
<td>• Prepare any follow-on action recommendations</td>
</tr>
<tr>
<td></td>
<td>• Identify risks</td>
<td>• Liaise with the Project Board</td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td>• Manage and motivate the project team</td>
<td></td>
</tr>
</tbody>
</table>

### Role and Responsibilities and other attributes

This role should not be shared

- Runs the project on a day-to-day basis, reporting to the Project Board
- Does overall organisational work for the Project: planning, reporting, manage communications, co-ordination throughout the project to ensure deliverables are achieved as per the agreed Business, Supplier and User requirements.
- Prepares project documentation and maintains continual development of Issue & Risk registers and Lessons Learnt logs
- Prepares reports and recommendations for Project Board enabling them to make relevant decisions

Establishes and manages the project procedures

- Leads project team’s project work as planned, escalating any deviations to the Project Board
- Ensures communications are undertaken as documented as necessary

Skills Required - ability to plan, organisational skills, people management, problem solving, attention to detail, effective communication, effective negotiation, conflict management
3.8 - TEAM MANAGER

Once a project reaches a certain size or complexity it is useful to have a Team Manager to be responsible for:

- Reporting directly to the Project Manager
- Accepting and checking work that the Project Manager assigns to the Project or operational team
- Ensuring that the work allocated to the team is authorised and agreed
- Ensuring that the work is done
- Ensuring that the work is monitored and controlled
- Ensuring that products meet the quality criteria specified
- Delivering products to the Project Manager and getting them approved

3.9 - PROJECT TEAM

Under the direction of the Project Manager, the project team is jointly responsible for delivering on time, to cost and to specification by:

- Contributing to project planning processes
- Helping assess project stages and resources required
- Generating ideas and options
- Analysing options and costs
- Identifying risks, solutions and detailed contingency plans
- Checking and reviewing quality
- Completing assigned tasks
- Translating defined deliverables into detailed specifications
- Writing and assembling training materials and documentation
- Reporting progress and issues to the Project Manager
- Working with customers, colleagues and other key personnel to achieve deliverables
- Communicating clearly and in good time with all relevant parties
- Assisting with user training and operational handover
- Identifying snags at the end of the project
3.10 - CHANGES TO THE PROJECT MANAGEMENT STRUCTURE

During the lifetime of a project, changes may occur within the project management structure as a result of changing circumstances. Even if it is not possible to ensure a formal and full handover, any new project member is responsible for making sure they have all the detail they need to be effective.

By having a project management methodology and approach in place, the transfer of ownership and detail is made easier. If a change is made, the following points need to be reviewed and considered:

**Change in Project Manager during the Lifetime of the Project**

The outgoing Project Manager should:

- Arrange 1-1 sessions with the new Project Manager to discuss the project
- Formally hand over all documentation to the new Project Manager and review it (ensuring that the latest versions are identified and any important historic versions are also provided)
- Provide details and background on current and potential issues and risks
- Review the project Stakeholder Analysis and Communications Plan
- Explain resource commitments and prior agreements to tasks and timescales
- Introduce them to the Project Board, Project Team and key stakeholders
- Explain what commitments and decisions have been made
- Discuss and ensure understanding of any commercial aspects of the project
- Provide an interim End of Project Report Form of lessons learnt for the period of managing the project

The incoming Project Manager should:

- Review the project and discuss any concerns on the deliverables, risks, timescales/budget/quality/resource with the Project Executive before formal handover
- Make sure they are comfortable with the project and its expectations before handover

If the new Project Manager believes that major changes should be made to the project, they should follow the procedures for change i.e. completing a Change Request Form as outlined in Section 6.

If changes are implemented, the Project Manager should ensure that the Project Team understand the changes and their implications for the project.

It is the joint responsibility of both Project Managers for making the transition a success with minimal disruption to the Project Team and project deliverable.
Change in Project Executive (Or Project Board) during the lifetime of the project

The outgoing Project Executive should:

- Arrange 1-1 sessions between the old and new Project Executive to discuss the project
- Hand over all documentation and review it with the new Project Executive and Project Manager
- Provide details and background on current and potential issues and risks

The incoming Project Executive should:

- Review the project Stakeholder Analysis and Communication Plan
- Be introduced to the main contacts of the Project Team
- Understand what commitments and decisions have been made
- Understand the strategic objectives of the project relationships / dependencies upon the strategic plan

If the new Project Executive believes that changes should be made to the project, these should be discussed fully with the Project Manager before implementation.

New Project Team Members

Similar points and considerations need to be given to new team members as to those given to changes to the Project Manager.

To ensure the integration of the new Project Team member is not disruptive and gets the individual up to speed as quickly as possible, the Project Manager should:

- Arrange 1-1 session with the new team member to provide introductions, project origins and overview
- Discuss project arrangements, jargon, procedures, meetings, reporting mechanisms and team structure
- Provide copies of all relevant documentation
- Provide details and background on current and potential issues and risks
- Introduce the new member to the Project Team and key stakeholders
- Make sure they understand tasks and timescales that need to be completed and work already completed
SECTION 4 – BENEFITS

4.1 - INTRODUCTION

Details of the benefits a project is expected to achieve are the key element of the Business Case and are stated within the Project Initiation Document. They form the ‘driving force’ of the project although they are often realised after the project is finished, with the project itself being an enabler of the benefits.

If a project is not expected to achieve any benefits, or if the cost of the project outweighs the value of the benefits, the project is unlikely to be worthwhile or justifiable.

The deliverables of the project should be influenced by the list of expected benefits, with work towards achieving these benefits dictating key project decisions. The project should not include any products that do not directly or indirectly enable the sought-after benefits to be achieved.

4.2 – WHAT IS A BENEFIT?

A benefit can be described as:

‘the measurable improvement resulting from an outcome that is perceived as an advantage by one or more stakeholders’.

Measuring benefits involves the identification and definition of benefits, agreement on the expected value of these, and decisions on what information is required in order to measure the value.

Stakeholders are defined as individuals or groups who can affect or who are affected by a project. They can influence the outcome of the project quite significantly. If stakeholders are convinced of a project’s benefits they are more likely to ‘buy in’ to the project, helping to achieve success. Engaging stakeholders in quality reviews of project products can be an effective way to focus them on the benefits of the project and so encourage buy-in and support for the project.

4.3 - IDENTIFYING AND DEFINING BENEFITS

Benefits should be identified by the Executive/Senior User/Project Manager at the start of the project as part of the Business Case.

Dis-benefits are outcomes that are perceived to be of negative benefit and should also be identified at the start of the project. Early identification of dis-benefits will need to be included within the risk register and managed and reviewed throughout the project.

When defining benefits they need to be expressed, as far as possible, in tangible or financial terms to enable them to be measured. The financial value of the benefit is not always easy to determine as some benefits, e.g. ‘greater customer satisfaction’ are more intangible. Wherever possible such benefits should be quantified and converted in to a likely time or monetary saving by considering questions such as:
• Can you see the benefit?
• What is it about the benefit you can measure?
• How can you measure the benefit?
• What is the financial value of the benefit?

An intangible benefit such as ‘increased staff morale’ could be defined more specifically as ‘reduced staff turnover from 15% to 5%’. Alternatively ‘happier staff’ could be translated to a measurement such as ‘20% fewer sick days due to stress related illnesses’. A financial value can then be assigned to these scenarios and recorded alongside the method of measurement in the Project Initiation Document. Examples of tangible, non-tangible, financial and non-financial benefits are shown in the table below.

Examples of different types of benefit:

<table>
<thead>
<tr>
<th>Benefit category</th>
<th>Financial</th>
<th>Non Financial</th>
</tr>
</thead>
<tbody>
<tr>
<td>Tangible</td>
<td>Reduced costs</td>
<td>Fewer steps in a process</td>
</tr>
<tr>
<td>Intangible</td>
<td>Reduced risk of corporate collapse</td>
<td>Reduced risk of major accident</td>
</tr>
</tbody>
</table>

(Adapted from Bradley, G. Benefit Management Realisation, Gower, 2010)

Once benefits have been identified and defined the activities to establish and collect the measures should be included in the Project Plan.

4.4 - MEASURING AND REPORTING BENEFITS

The Project Manager agrees measures for the benefits with the Project Executive. This involves identifying the baseline measure (the current position before the project begins) and deciding how, when and by whom measures will be made. This information is recorded by the Project Manager during the Initiating a Project process in the ‘Key Benefits’ section of the Project Initiation Document. The owner of each benefit is identified at this stage. The benefit owner is the person responsible for that benefit. They should be aware of all the details relating to each benefit for which they are responsible and should know who to chase and influence. The ultimate accountability for benefit realisation across the project as a whole is the Project Executive/Authority Group.

Progress Reporting

Progress on the achievement of benefits will be documented in regular Project Progress Reports which, for most projects, are produced monthly for the Project Board by the Project Manager. It is often the case that the majority of a project’s benefits will be realised after project completion but still need to be reported on to inform the Project Board that the achievement of the benefits at the expected date is still on track. The Project Progress Report also provides an opportunity to highlight any risks or issues regarding benefit realisation to the Project Executive.
End of Project Reporting

Benefits are reported on at the end of a project as part of the End Project Report Form. This includes a review of the Business Case which reports on:

- Benefits achieved to date
- Benefits that will be realised post-project (also called residual benefits), when they will be realised, and by whom.
- Expected net benefits (total value of the benefits less the cost of implementation and ongoing operation calculated over a defined period)
- Unexpected benefits
- Dis-benefits

At project closure, the following questions may be useful in evaluating the benefits management process:

- Which of the planned benefits have been achieved (were the targets right)?
- Which have not been achieved and why? Is there any possible remedial action?
- If there were unexpected benefits, can these be capitalised in future?
- Have all the dis-benefits been managed and minimised?
- Were there any unexpected dis-benefits? If so, how will these be managed in the future?
- Are there any further potential benefits?
- Do the measures appear correct? Do they need refining?
- What interventions need to be made to maximise benefits going forward
## 4.5 BENEFITS REALISATION ACTIONS THROUGHOUT THE PROJECT LIFECYCLE

<table>
<thead>
<tr>
<th>Action</th>
<th>Start-up</th>
<th>Initiation</th>
<th>Implementation</th>
<th>Closure</th>
<th>Post Project</th>
</tr>
</thead>
<tbody>
<tr>
<td>Executive /Project Manager identifies the expected benefits</td>
<td>Executive /Project Manager defines benefits in a detailed Business Case</td>
<td>Project Manager regularly reports on benefits achieved during the project</td>
<td>Project Manager reports on benefits achieved and those expected post project</td>
<td>Benefit Owners review achievement of those benefits not realised during the lifecycle of the project.</td>
<td></td>
</tr>
<tr>
<td>Includes expected value and date of realisation and named Benefit Owners</td>
<td>States actual and expected dates against value</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Business Case</td>
<td>Project Initiation Document</td>
<td>Project Progress Report</td>
<td>End of Project Report Form</td>
<td>Post Implementation Review Form</td>
<td></td>
</tr>
<tr>
<td>Project /Project Stage Plan (includes activities relating to measuring benefits)</td>
<td>Risk Register</td>
<td>Issue Register</td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

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SECTION 5 - RISK MANAGEMENT

5.1 - INTRODUCTION

This section provides an overview of risk management and how risks should be identified, assessed and managed during the project lifecycle.

The Project Manager and Project Team are responsible for the process defined below to ensure that risks are managed proactively rather than waiting for them to impact or even cause the project to fail.

5.2 - WHAT IS A RISK?

A risk is a problem or uncertainty that may impact future project progress. Risks are potential issues, and it is important that the likelihood of their occurring is recognised and recorded, as well as their likely impact. There are always risks associated with a project and it is the responsibility of Project Managers to monitor events and to identify any risks associated with their individual projects. Risks can surround a project from initiation right through to the delivery and completion.

It is useful to remember that a risk may not always have an adverse impact, that is, it may not always be something that goes wrong. It could simply be something that turns out differently to how the project team expected or planned for. Risks can be turned into opportunities if they are monitored and managed effectively.

5.3 - PURPOSE OF RISK MANAGEMENT

The purpose of risk management is to ensure levels of risk and uncertainty are properly managed so that the project is successfully completed. It enables those involved in the project to identify possible risks, the manner in which they can be contained, and the likely cost of any mitigation strategy.

Managing risks involves making advance preparation for possible future events rather than responding to them as and when they happen. This preparation relies on a formal process in which risks are systematically identified, assessed and appropriately provided for during the course of the project planning and implementation.

Risk management can:

- Create a greater understanding of the project and those affected by it
- Result in more informed decision making
- Prepare for adverse events
- Identify opportunities that may not have been obvious
- Provide an argument with which to counter attempts to impose unrealistic deadlines, take short cuts or attempt to achieve the project with insufficient resource
- Document support for contingency measures
- Gain greater credibility for the project, as future events have been identified and occurrences prepared for
- Allow more focus on project management and less on crisis management
- Substantially increase the chances of project success
5.4 - RISK MANAGEMENT PROCEDURE

The risk management procedure comprises of 5 steps; Identify, Assess, Plan and Implement are all stages of a cyclical process that should be carried out throughout the project. “Communicate” runs in parallel to all of these stages to ensure the project team and relevant stakeholders are aware of any risks and their management strategy.

Identification of Risks

The first stage is to identify the source of the risk; in order to do this the Project Team should look for risks related to the following areas:

- Project Plan
- Stakeholders
- Resources (financial or labour)
- Internal organisational factors
- External factors
- Physical (loss of or damage to, information or equipment as a result of an accident, fire or natural disaster)
- Technical (systems that do not work or do not work well enough to deliver the anticipated benefits)
- Legal
- Previous similar projects (review lessons learnt)

Risks could relate to any of the following aspects of the project:

- Commercial and third party contracts
- Budgets and project finances
- The project stakeholders, their involvement and being kept informed
- Decisions that involve more than one department
- User commitment to the project
- Acceptance criteria
- The project requirements are unclear or have not been signed off
- Technical aspects to the project delivery
- Performance, reliability, availability, maintainability of a technical project
• Project Plan (timescales, resource, dependencies)
• Tasks that rely on the completion of other work before they can begin
• Members of the Project Team
• Tools and methods that are used by the project
• Progress and performance are not measured
• Similar projects have been delayed or have failed
• Project deliverables
• Expected benefits

Note: It is important to note that risk identification is not risk management – the project needs to do something about each of the risks identified and review them continually.

Assessment of Risks

This should include:

• The potential impact of the risk. It is often helpful to think of impact in terms of whether the risk would affect the key deliverables, objectives, resources, plans or activities of the project. The impact can also be assessed in relation to its effect on time, cost and quality
• The risk should also be assessed in relation to the benefit that the project will deliver. This may affect the Business Case as the project progresses (if the risk outweighs the benefit)
• The probability of the risk occurring
• An evaluation of whether the risk is independent (i.e. isolated to a particular project) or contagious (a risk which could have a cumulative impact on other projects or create further related risks)
• An appraisal of the degree of control over a risk occurring
• As both the probability and impact of the risk is subjective, it is recommended that the Project Team be involved and differences in perspective be understood before a final assessment
• The assignment of each risk to a member of the project team. Each risk should be “owned” by a member of the team who should then be responsible for monitoring it throughout the project lifecycle
• A regular review; the assessment of a risk can change if the impact or probability becomes more clear
Risk Assessment Matrix

Once completed, the register will give each potential risk that has been identified a score out of 25. The assignment of scores to colours is as follows:

<table>
<thead>
<tr>
<th>Colour</th>
<th>Meaning</th>
</tr>
</thead>
<tbody>
<tr>
<td>White</td>
<td>Risk no longer active</td>
</tr>
<tr>
<td>Green</td>
<td>Risk successfully controlled</td>
</tr>
<tr>
<td>Amber</td>
<td>Some exposure to risk</td>
</tr>
<tr>
<td>Red</td>
<td>Risk is above acceptable levels</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Impact of risk occurring</th>
<th>Probability of risk occurring</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>1 Unlikely</td>
</tr>
<tr>
<td>Minor: Unlikely to have an impact on the project</td>
<td>1</td>
</tr>
<tr>
<td>Moderate: Could have an impact on the project but can be managed without a major impact in the medium term</td>
<td>2</td>
</tr>
<tr>
<td>Serious: Would have a major impact on the project</td>
<td>3</td>
</tr>
<tr>
<td>Very serious: Requires major effort to prevent it threatening the project</td>
<td>4</td>
</tr>
<tr>
<td>Catastrophic: Would have a major impact on project</td>
<td>5</td>
</tr>
</tbody>
</table>

The ‘traffic light’ colour associated with the risk score (Probability x Impact) indicates that the risk is either:
Risk planning and responses

This involves identifying and evaluating options for managing the threats and opportunities identified in the previous steps, and then putting into action any planned risk responses when necessary.

The various types of responses to risks, both threats and opportunities, are shown in the table below:

<table>
<thead>
<tr>
<th>Threat Responses</th>
<th>Opportunity Responses</th>
</tr>
</thead>
<tbody>
<tr>
<td>Avoid</td>
<td>Exploit</td>
</tr>
<tr>
<td>Reduce</td>
<td></td>
</tr>
<tr>
<td>(impact and/or likelihood)</td>
<td></td>
</tr>
<tr>
<td>Fallback/Contingency(reduces impact only)</td>
<td>Enhance</td>
</tr>
<tr>
<td>Transfer (e.g. insurance) (reduces impact only, and often only financial impact)</td>
<td></td>
</tr>
<tr>
<td>Share</td>
<td></td>
</tr>
<tr>
<td>Accept</td>
<td>Reject</td>
</tr>
</tbody>
</table>

In order to mitigate project risk, Project Managers should consider the following actions:

- Bring risky activities forward within the project schedule; therefore if it materialises there is more time to resolve without impacting upon the final delivery
- Modify the project strategy to reduce aspects of high risk (i.e. proven technology)
- Consider pilots/simulations/evaluation phases to the project
- Project timescales – consider the importance of the project timescales against the availability of resource and amount of work to be undertaken; avoid having a number of high/moderate risk tasks taking place simultaneously
- Large projects – consider breaking up large and lengthy projects into smaller phases or even separate projects to minimise risk and assist with a controlled delivery
5.5 - RISK MONITORING

The monitoring of risks by the Project Manager needs to happen on a regular basis, in conjunction with the Project Team and Project Board. The Risk Register should be used when monitoring and reviewing project risks.

The following principles need to be adopted as part of the monitoring process:

- Any new or significant risks within the project need to be included within the regular progress reports produced by the Project Manager
- Update the register when a risk has passed but do not remove it from the Risk Register
- Reassess the probability and severity of the impact of existing risks as the project progresses
- It is important to remember risk management cannot be entirely the responsibility of one person, and that it is a communal activity involving a range of people associated with the project
- There should be an “owner” of each risk, someone who is responsible for managing and monitoring that particular risk
- Risk management and review is an ongoing activity; the Risk Register is a living document and should be reviewed and updated regularly, making sure that management arrangements are checked and risk ratings are reassessed where necessary.
SECTION 6 - PROJECT MEETINGS

During the course of the project, a number of meetings are necessary. This section describes the purpose of each of these meetings, who should participate and suggested agendas.

6.1 - PLANNING MEETINGS

The purpose of planning meetings is to provide credible project documents and plans required for the project to commence and a platform from which to monitor ongoing progress.

Good planning depends on the understanding the project scope. These meetings are to enable any ambiguities or inconsistent definitions to be resolved and documents to be clear and precise about the project requirements.

The meeting(s) need to:

- Identify the activities necessary to accomplish the projects purpose
- Determine the dependencies between activities
- Define the timescales in which these activities must be carried out
- Define the resources needed to accomplish these activities
- Ensure that agreement is reached for the use of resources from other areas/teams
- Develop project documentation for approval

The participants may include:

- Project Board
- Project Manager
- Team Manager
- Project Team
- Key stakeholders

One objective of the planning meeting is to compile the following:

- Business Case
- Project Initiation Document
- Project Plan
- Stakeholder Analysis and Communication Plan
- Issue and Risk Registers
6.2 - KICK OFF MEETINGS

The purpose of a Kick off meeting is to facilitate the smooth running of the project and to enable the Project members to:

- Clarify and understand the project goals, scope and objectives
- Understand quality requirements and customer expectations
- Know their individual roles and responsibilities
- Know the interdependence with other projects
- Know the points of contact within the project team
- Commit to the success of the project

The meeting should include all those involved in the project such as:

- Project Board
- Project Manager
- Project Team
- Key stakeholders

Before the meeting can be planned, it is necessary for the following project documents to be in place and approved:

- Business Case
- Project Initiation Document
- Project Plan
- Stakeholder Analysis and Communication Plan
- Issue and Risk Registers

The Project Manager is responsible for organising the kick off meeting and a suggested agenda could include:

- Presentation of participants - participants introduce themselves, describe their concerns and expectations
- Project overview - background to the project, who the customer is, why it is important to be successful, future opportunities, customers’ needs and quality expectations and a high level understanding of the project scope
- Project deliverables and expected benefits - critical success factors
- Project organisation - the organisation chart is presented, along with the roles and responsibilities of each member of the team
- Project Plan - this includes a schedule showing major activities and milestones. Project Plan documentation should also be distributed and discussed
- Project methods – project process and associated documentation
- Communication - the reporting routines are described, then the needs of the project and how data is to be collected and reviewed i.e. progress meetings
- Risk analysis - a group risk assessment is carried out
- Summing up and close down - the meeting is summarised and everybody reminded of the action points with target completion dates
6.3 - PROJECT PROGRESS MEETINGS

Project progress meetings are for Project Managers to monitor progress and to plan future tasks. They can be used to consider current and potential problems and corrective action, where appropriate. These meetings can be pre-planned or convened to address situations where there is some concern over the project’s status. All relevant team members should be present and be asked to describe the progress and any problems that have occurred since the last review.

It may be useful to have a set agenda for these meetings; items could include:

- Project progress
- Stakeholder Analysis and Communication Plan
- Issue and Risk Registers (including any assumptions)
- Validity of Business Case and benefits
- Project planning
- Quality
- Costs
- Change Control

6.4 - PROJECT BOARD MEETINGS

The Project Board should meet to review progress of the project and ensure the agreed Business Case is still valid and forecasted benefits achievable. Also for those projects which are broken down into stages, it should meet to approve progress to the next. For small scale projects this may mean just meeting to approve and to formally close the project. The Project Board should also review any tolerances they have set, or set them as appropriate, approving any requested changes and providing overall guidance and direction to the project.

The frequency of Project Board meetings should be appropriate to the scale and complexity of the project (some projects may require regular updates to a higher authority). However, the Project Board members, particularly the Project Executive, should be accessible to the Project Manager throughout the project as required.

6.5 - PROJECT CLOSURE MEETINGS

The project closure meeting is concerned with reviewing the project and ensuring the completeness of all of the major project deliverables and expected benefits. It is the final formal control point and may be attended by the key stakeholders. The basic question facing the attendees is: did the project deliver its intended end product within the time and budgetary limits set?

The purpose of the meeting is to find out:

- Whether the expected benefits of the project have been realised
- When and how benefits yet to be realised will be reviewed
- If there are any outstanding snags
- If any lessons learnt have been identified
- If a Post Implementation Review is required (when and by whom)
- Reporting to management on completion
SECTION 7 – GUIDANCE ON PROJECT DOCUMENTATION

The table on the following page shows all of the available project documentation and specifies the minimum requirements for a project.

7.1 - VERSION CONTROL

Project documentation should have version control, whereby initial discussion documents will be assigned v0.1 (draft) and subsequent versions v0.2, v0.3 etc. Once the author is happy with the document, it is circulated to all interested parties for comment and then sent to the Project Board and relevant Authority Group for approval.

Once approved, the version number changes to v1.0, and in the case of the Project Initiation Document (PID), the document is fixed and cannot be altered unless a change request is raised and subsequently authorised by the Project Manager and Project Board/Authority Group. If changes are authorised, the cycle continues through v1.1, v1.2 and then to v2.0 etc. All other project documents should be reviewed regularly and updated when necessary, and their version number should be updated accordingly to reflect this e.g. v1.2, v1.3 etc.

Example:

<table>
<thead>
<tr>
<th>Version No</th>
<th>Author</th>
<th>Date</th>
<th>Status e.g. draft / approved</th>
</tr>
</thead>
<tbody>
<tr>
<td>0.1</td>
<td>Joe Bloggs</td>
<td>01/03/11</td>
<td>Initial draft</td>
</tr>
<tr>
<td>0.2</td>
<td>Joe Bloggs</td>
<td>31/03/11</td>
<td>Final draft – submitted to Project Board for approval</td>
</tr>
<tr>
<td>0.3</td>
<td>Joe Bloggs</td>
<td>01/04/11</td>
<td>Approved by Project Board, submitted to Authority Group for approval</td>
</tr>
<tr>
<td>1.0</td>
<td>Joe Bloggs</td>
<td>03/04/11</td>
<td>Approved by Authority Group</td>
</tr>
</tbody>
</table>

Note:
Templates can be found on the Project Office web pages:

www.projects.bham.ac.uk/

Copies of all project documentation should be sent to the Project Office for central storage. Please forward completed documents to:

projects@contacts.bham.ac.uk
### 7.2 - OVERVIEW OF DOCUMENTATION

<table>
<thead>
<tr>
<th>Project Processes</th>
<th>Documentation</th>
<th>Minimum Requirements</th>
<th>Details</th>
</tr>
</thead>
<tbody>
<tr>
<td>Start up a Project</td>
<td>Business Case</td>
<td>✓</td>
<td>To be approved by Authority Group or Project Executive</td>
</tr>
<tr>
<td>Initiating a Project</td>
<td>Project Initiation Document</td>
<td>✓</td>
<td>To be compiled with the input of the proposed project team, and approved by Project Board and Authority Group</td>
</tr>
<tr>
<td></td>
<td>Project /Project Stage Plan</td>
<td>✓</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Stakeholder Analysis and Communications Plan</td>
<td>✓</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Issue Register</td>
<td>✓</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Risk Register</td>
<td>✓</td>
<td></td>
</tr>
<tr>
<td>Implementing a Project</td>
<td>Project Progress Report Form</td>
<td></td>
<td>For Project Board and Authority Group</td>
</tr>
<tr>
<td></td>
<td>Project Change Request Form</td>
<td></td>
<td>Required in case of major change; to be approved by the Project Board or escalated to the Authority Group</td>
</tr>
<tr>
<td></td>
<td>End Stage Report Form</td>
<td></td>
<td>To be approved by the Project Board</td>
</tr>
<tr>
<td>Closing a Project</td>
<td>End of Project Report Form</td>
<td>✓</td>
<td>To be compiled with the input of the project team and approved by Project Board and Authority Group</td>
</tr>
<tr>
<td>Post Project</td>
<td>Post Implementation Review Form</td>
<td></td>
<td>As agreed by Project Board and/or Authority Group</td>
</tr>
</tbody>
</table>

**Note:**
The minimum requirements are indicated; Project Managers should utilise the other documents if appropriate for their project or if requested by the Project Board/Authority Group.

Approved copies of the completed documentation should be emailed to the Project Office for central storage and processing:

`projects@contacts.bham.ac.uk`

All the latest templates are available from the Project Office web pages:

`www.projects.bham.ac.uk`
7.3 - BUSINESS CASE

The Business Case sets out the justification for a project to be undertaken. It is developed at the start of the project, maintained throughout and verified by the Project Board at each key stage to ensure it is still relevant.

The outline Business Case is ultimately the responsibility of the Project Executive and when approved by the Project Board can then be developed further into the detailed Business Case, showing comprehensive timescales, costs and potential changes which could impact on the project and require re planning or alterations. Continual monitoring of the Business Case for desirability, viability and achievability as well as new risks or changes may determine another option as more suitable as the project progresses.

Contents of a Business Case should include:

- An executive summary
- Reasons – why does the business need this project?
- Business options – (e.g. do nothing, do the minimum, do the proposed plan, alternative plan)
- Expected benefits – what will we gain?
- Expected dis-benefits – what will we lose? – (or what the outcome could be if perceived as negative by one or more stakeholders)
- Timescale – is it achievable?
- Resources – are they available?
- Financial analysis – where is funding coming from?
- Major risks – is it worth the risk(s)?

See hints and tips in section 6.4

Templates can be found on the Project Office web pages: www.projects.bham.ac.uk

Note:
The template or format will vary according the intended recipients of the Business Case, and what discussions have already taken place. Template provided by the Project Office can be used to amalgamate existing information for approval and/or to propose a new project to appropriate Authority Group.
7.4 - PROJECT INITIATION DOCUMENT

Once a project has been identified, the Project Manager will prepare a Project Initiation Document. It is important to emphasise that a Project Initiation Document is a static document once approved and should only be modified and updated through project change management.

The completed form should include:

- A clear definition of the project, its quality criteria, scope, the Business Case, expected benefits and known constraints
- Sufficient information for the relevant authority to authorise the implementation of the project
- Documentation for the Project Board and Project Manager to use to monitor progress

The Project Initiation Document, once completed, will be submitted to the relevant Authority Group for evaluation and approval.

The Project Manager is responsible for delivering the project and ensuring that the deliverables meet the requirements of the stakeholders as defined within the Project Initiation Document.

Hints and tips

For definitions of some of the terms used within this document refer to Section 7

- Ensure there is a business need for the project
- Discuss with Project Executive from the outset i.e. prior to the Project Initiation Document going to Authority Group for approval
- The three key elements that must be considered when planning a project are time, cost and quality

These three elements make up the project triangle and the balance between them will have an impact on the project outcomes. For example:

- Bringing the end date of the project forward may increase costs and reduce quality
- Increasing quality may result in higher costs and / or a longer timescale
- Reducing costs or resource for the project may increase the timescales and reduce the quality

When planning a project and setting objectives a Project Manager should:

- Consider the trade-off between these three elements and how they apply to an individual project, taking into account any constraints that already exist
- Clearly define the scope of the project and identify any exclusions to ensure the project is both manageable and achievable
• Consider whether the proposed timetable for the project is realistic and achievable?
• Ensure that the business drivers and expected benefits have been established with stakeholders
• Consider initial capital costs
• Consider costs incurred in future years e.g. ongoing support and maintenance
• Consider whether costs need to be included for promotion
• Consider from which budget the funding will come and how much has been identified
• Ensure that the risks are clearly identified, together with their potential impact on the project in terms of quality, cost and time
• Consider who will be responsible for the quality of the key deliverables e.g. which member of the Project Team will be responsible for reviewing, checking and approving the deliverables
• Ensure that there are clear criteria against which the success of the project can be measured. Consideration may need to be given to breaking down projects into more manageable deliverables, or stages – this will increase the likelihood of success
• Ensure that the aims and objectives of projects are clearly identified and understood and that there are clear criteria by which to measure the success of the project

Benefits – See section 4

Details of the benefits a project is expected to achieve are the key element of your Business Case and are stated within Project Initiation Document. They form the ‘driving force’ of your project.

If a project you are about to embark on is not expected to achieve any benefits, or if the cost of the project outweighs the value of the benefits, then you should ask yourself if this is a worthwhile and justifiable project.

The deliverables of the project should be influenced by the list of expected benefits, with work towards achieving these benefits dictating key project decisions.

It is important to be aware that benefits are often realised after completion of the project and that the project is in fact an enabler of these benefits.

Templates can be found on the Project Office web pages:
www.projects.bham.ac.uk
7.5 – PROJECT/PROJECT STAGE PLAN FORM

A Project/Stage Plan Form provides an important overview of what is to be delivered and is used by the Project Manager and Project Board to monitor project progress and resources throughout the project. The purpose of the form is:

- To be used as the basis for project management control throughout the project/stage
- To identify the work to be produce
- To provide a statement of how and when a stage’s objectives are to be achieved, by showing the deliverables, activities and resources required
- To identify the stage’s control and reporting points and frequencies
- To provide a baseline against which stage progress will be measured
- To record the stage tolerances
- To specify the quality controls and identify the resources needed for them
- To support the Project Initiation Document
- To be an important communication tool

Before a project or a new project stage is due to start, the Project Manager should arrange and facilitate a planning meeting (see section 5.1). For small scale projects the project may only consist of one stage, while for a larger scale project a number of planning workshops may need to be held. In addition to identifying the details for the document, detailed scheduling of the project is also undertaken, and generally presented in Gantt chart format or as a list of tasks and activities and related resources and timescales.

All Project Team members/key stakeholders with inputs to the project/project stage can be invited to participate.

Once the Project Initiation Document has been approved the initial schedule is baselined to show the original plan on which the project was approved. As the project moves through its lifecycle the schedule is updated and subsequent versions are produced to reflect progress and any approved changes.

The key elements that a plan should include are:

- The work to be produced
- The activities needed to create those products/deliverables
- The activities needed to ensure quality of those products
- The resources and time needed for all relevant activities and any specific skills requirements identified
- The dependencies between activities
- External dependencies for the delivery of information, products or services.
- When the activities will occur
- The points at which progress will be controlled
Hints and tips

Scheduling

Once the project has been properly scoped, it becomes easier to identify the major activities required to produce each of the deliverables and to break these down further into stages, which are major 'bundles' of work in a project. In developing a Gantt chart or schedule, activities, tasks, timeframes and milestones can then be identified for each stage.

In most cases this would be undertaken in the planning meetings to address both detailed planning and the document.

The key elements of a schedule are:

- Tasks - identifying the components and activities needed for the project deliverable
- Timescales - for each task an estimate in person days or task duration needs to be defined
- Resources – allocate a named resource (or team) and define levels of effort
- Dependencies – that is, any activity, resource or deliverable within a project that is a necessary pre-requisite for the successful completion of another task or project. These dependencies need to be identified and linked
- Milestones - milestones are significant scheduled events that act as progress markers in the life of a project
- Critical path – displayed on the schedule to identify those tasks which, if they were to be delayed, would delay the whole project

Ensure the Project/Project Stage Plan Form and schedule support the Project Initiation Document

- Planning workshops may be a useful exercise
- Identify high level tasks or phases (these may relate to the milestones identified in the Project Initiation Document)
- Break these tasks down further into each individual task that is required in order to achieve that phase
- Consider the resources that are to be allocated. Are there any conflicts, for example:
  - Is one person required to do several tasks at the same time; if this situation does arise how it will be managed, what tasks should be prioritised?
  - Are extra resources required or will timescales need to be adjusted?
- Consider dependencies, as these may impact on which jobs are prioritised. For example, it may be possible to reschedule a task that could be carried out independently; or another task may need to be completed in order for other tasks to begin
- Ensure high level review points are built into the Project Plan to ensure delivery to quality, cost and time criteria
- If using Microsoft Project – make use of tools and facilities provided within the software to analyse and ensure an effective schedule, for example:
  - Check resource usage report to ensure no over allocation

Templates can be found on the Project Office web pages:

www.projects.bham.ac.uk
7.6 - STAKEHOLDER ANALYSIS AND COMMUNICATION PLAN

Stakeholder Analysis

Stakeholder Analysis involves the identification of people or organisations which have an interest in the project processes, outputs or outcomes, and planning for the way their involvement will be managed on an ongoing basis.

Use a Stakeholder Analysis to:

- Identify people, groups, and institutions that will influence your project, either positively or negatively, (e.g. students, academic staff, Corporate Services)
- Anticipate the kind of influence, positive or negative, these groups will have on your project
- Understand what these groups want from the project, and in turn, what the project requires from them
- Develop strategies to get the most effective support possible for your project and reduce any obstacles to successfully implement your project
- Compile your Communication Plan. It will help you determine who is going to be told what, when and how

Stakeholders can be defined as key or non-key for the purpose of planning for the way they will be managed:

- Key stakeholders are those individuals or groups whose interest in the project must be recognised if the project is to be successful – in particular those who will be positively or negatively affected by the project
- Non-key stakeholders are those who do not need to be actively involved for the project to be successful, but who will be identified as a result of identifying all stakeholders

Hints and Tips:

- Identify all the people, groups, and institutions that will affect or be affected by your project and list them in the column under "Stakeholder"
- Stakeholders may change during the project so this should be reviewed regularly
- Once you have a list of all potential stakeholders, review the list and identify the specific interests these stakeholders have in your project. Consider issues like the project's benefit(s) to the stakeholder; the changes that the project might require the stakeholder to make; and the project activities that might cause damage or conflict for the stakeholder. Record these under the column "Stakeholder Interest in the Project"
- Next, consider what input the project needs from these groups. If you've identified a key stakeholder the project may rely heavily on their input. If you've identified a non-key stakeholder, the project may not require any direct action from them at all
- It may be useful to note down any perceived attitudes and/or risks for each stakeholder. As with any risk assessment, this may help you pre-empt any problems that may arise during the project
- The final step is to consider the kinds of things that you could do to get stakeholder support and reduce opposition. Consider how you might approach each of the stakeholders.
- What kind of information will they need?
• How important is it to involve the stakeholder in the planning process?
• Are there other groups or individuals that might influence the stakeholder to support your initiative?
• Record your strategies for obtaining support or reducing obstacles to your project

People, quite naturally, have an interest in a project because it impacts upon them in some way and they will develop expectations about what they want to happen. This can include receiving information about how the project affects them, receiving briefings, being trained if their job is affected, and so on. Here are a few tips for managing people’s expectations:

• Keep people informed
• Understand needs
• Be open
• State your needs
• Involve people

If you can convince your stakeholders of your project benefits then you are much more likely to get ‘buy in’ and achieve a successful project. Engaging stakeholders in quality reviews of project products can be an effective way to focus them on the benefits of the project and so encourage buy-in and support for the project.

Templates can be found on the Project Office web pages:
www.projects.bham.ac.uk
Communication Plan

Communication is a major component of a successful project and the best way to approach communication is to develop a clearly planned approach. Without effective communication, key stakeholders could miss vital information and may not understand why change is needed.

Several important points to consider in a Communication Plan:

- Keep communication as simple as possible
- Identify every external and internal stakeholder
- Provide timely information

It is therefore imperative that any Communication Plan that is developed defines:

- Target audience - think about each stakeholder group and the target audience within them
- Communication mechanisms/tools - which method/tool would be most appropriate
- Costs – will resources need to be allocated for the communication of the project to stakeholders at any stage of the project e.g. advertising and promotion

In summary, the Communication Plan simply needs to cover who is told what, when and how.

Hints and Tips:

- Lines of reporting should be kept as short as possible and very clear
- Consider the following points:
  - Who needs to be informed?
  - How will they be notified?
  - How frequently / when do they need to know?
  - What do they need to know i.e. what level of detail / information is required for each group identified?
  - Who will be responsible for the communication?
- Is there a specific cost involved?
- Marketing and publicity
  - For example for the launch of a new service or product
  - Signage, poster, advertisements etc requirements
- Project glossary for stakeholders

Templates can be found on the Project Office web pages:

www.projects.bham.ac.uk
7.7 - ISSUE REGISTER

Issues are problems, queries or uncertainties, which currently affect the project in some way. It is important to understand their impact in order to define priorities for resolving them. An issue is fully resolved only when action has been taken so that it no longer impacts progress.

Projects of any size have to deal with issues. If issues are not addressed they may cause the project to be unsuccessful. Issues must be resolved quickly and effectively.

Issue management involves monitoring, reviewing and addressing issues or concerns as they arise through the life of a project. Issues can be raised by anyone involved with the project including the Project Board, Project Manager, Project Team and other key stakeholders.

For smaller projects, regular review and ongoing monitoring may be all that is required. In more complex projects, it is advisable to maintain an Issue Register. From this register, the issue, current status and resolution, where appropriate, should be reported regularly to the Project Board as part of the project status report.

The Issue Register should be established as part of the ongoing project management activities. The Project Manager and team need to have a process for capturing issues as they arise, updating and reviewing them so that they can be managed and resolved as the project moves forward. Once a resolution is agreed on, the appropriate activities are added to the Project Plan to ensure the issue is resolved and amendments made to the project budget, if appropriate.

The completed register should include the following information:

- Issue Identifier
- Description of the issue
- Raised by – the name of the individual or team who raised the issue
- Date the issue was raised
- Date of last update
- The type of issue:
  - Request for change: this proposes a change or modification to the current specification of a product or deliverable
  - Off-specification: this covers errors or omissions in work already carried out that will result in agreed specifications or acceptance criteria not being met
  - General Question: this should be answered satisfactorily in order to proceed
  - Statement of concern: a general issue which, if unresolved, may affect the success of the project
- Issue Owner – the individual taking responsibility for monitoring the issue
- Action/resolution – what actions are being taken to resolve the issue
- Status (open/closed)

All issues should be reviewed periodically to check if they are still valid.

Templates can be found on the Project Office web pages:

www.projects.bham.ac.uk
7.8 - RISK REGISTER

A risk is an uncertainty which may impact future project progress. Risks are potential issues, and it is important that the probability of their occurring is recognised and recorded, as well as their likely impact. There are always risks associated with a project and it is the overall responsibility of the Project Manager to monitor events and to identify any risks associated with their individual project. The Risk Register is a living document and should be reviewed and updated regularly, making sure that contingency arrangements are checked and risk ratings are reassessed where necessary.

Note: Risk Management is covered in detail in Section 4

Hints and Tips

- The Risk Register should be completed with input from the Project Team, not just the Project Manager. The Project Manager may find it useful to regularly circulate the register for updates. Risk management should be a standing item for project progress meetings to ensure that any identified risks are reviewed regularly.
- The first step when completing a Risk Register is for the Project Team to identify all the possible risks which may affect the project. A risk workshop may be a good way of doing this.
- The register should give a description of each potential risk and its effect on the project, and assign it an ID number.
- Each risk should be allocated to an identified owner; the owner of a particular risk should be the person in the team best suited to monitor and manage that specific risk, for example, they have detailed knowledge of the area the risk affects or they are able to affect the outcome of that risk.
- The unmitigated impact and likelihood or probability of each risk should be assessed by giving each a score out of 5 (1 is low, 5 is high).
- The unmitigated risk is the initial impact/probability rating carried out when the risk is first identified, before any mitigating measures are put into place. This assessment will give an overall risk score and associated “traffic light” status, allowing the relevant stakeholders, such as the Project Team or Project Board to see the severity of the risk and make the appropriate preventative or contingency plans. See the following page for the risk assessment matrix which illustrates the assignment of scores to colours, and what each traffic light colour indicates.
- The Risk Register should then record the most appropriate contingency or preventative measure(s). Not all risks will require a management strategy: the Project Manager may simply decide to accept low risks as they are, without any contingency measures. However, a risk rating can change at any time and so this decision should be reviewed on a regular basis.
- The Project Manager should then indicate whether or not the specified management and monitoring arrangements have been put in place.
- Risk management is a continual process. The current impact of each risk and the current likelihood of the risk occurring should be completed at regular intervals to calculate the overall current risk status and reported on progress reports.
Risk Assessment Matrix

Once completed, the register will give each potential risk that has been identified a score out of 25. The assignment of scores to colours is as follows:

<table>
<thead>
<tr>
<th>Impact of risk occurring</th>
<th>Probability of risk occurring</th>
</tr>
</thead>
<tbody>
<tr>
<td>1 Minor: Unlikely to have an impact on the project</td>
<td>1 Unlikely</td>
</tr>
<tr>
<td>2 Moderate: Could have an impact on the project but can be managed without a major impact in the medium term</td>
<td>1 Unlikely</td>
</tr>
<tr>
<td>3 Serious: Would have a major impact on the project</td>
<td>1 Unlikely</td>
</tr>
<tr>
<td>4 Very serious: Requires major effort to prevent it threatening the project</td>
<td>1 Unlikely</td>
</tr>
<tr>
<td>5 Catastrophic: Would have a major impact on project</td>
<td>1 Unlikely</td>
</tr>
</tbody>
</table>

The ‘traffic light’ colour associated with the risk score (Probability x Impact) indicates that the risk is either:

<table>
<thead>
<tr>
<th>Colour</th>
<th>Meaning</th>
</tr>
</thead>
<tbody>
<tr>
<td>White</td>
<td>Risk no longer active</td>
</tr>
<tr>
<td>Green</td>
<td>Risk successfully controlled</td>
</tr>
<tr>
<td>Amber</td>
<td>Some exposure to risk</td>
</tr>
<tr>
<td>Red</td>
<td>Risk is above acceptable levels</td>
</tr>
</tbody>
</table>

Templates can be found on the Project Office web pages: www.projects.bham.ac.uk
7.9 - PROJECT PROGRESS REPORT

To help track and log progress of a project a report should be completed by the Project Manager at the request of the Project Board and as stated within the Communication Plan on a regular basis. The report is to provide sufficient information on how the project is progressing and if the deliverables will be achieved against the Project Plan. The report will also identify outstanding issues and risks that the project faces and the Project Manager should note any change requests that have been submitted/approved since the previous report.

Progress on the achievement of benefits should also be documented in the Project Progress Report. Some benefits will be realised after project completion but still need to be reported on to inform the Project Board that the achievement of the benefits at the expected date is still on track. The template for the Project Progress Report includes a section on expected date of realisation of benefit, current status, value (if realised) and any revision to expected date. It also provides an opportunity to highlight issues regarding benefit realisation to the Project Executive.

The information contained within these progress reports will also provide useful information when completing the End of Project Report Form.

The frequency with which these progress reports are completed and circulated should be agreed by the Project Board. This should be decided on an individual project basis and may be on a weekly, fortnightly or monthly basis.

Templates can be found on the Project Office web pages:
www.projects.bham.ac.uk
7.14 - END STAGE REPORT

The purpose of the end stage report is to give a summary of progress to date for any agreed stages, the overall project situation and sufficient information to ask for a Project Board decision on what to do next with the project (i.e. proceed with the next stage).

The information contained within reports will also provide useful information when completing the End of Project Report Form.

Templates can be found on the Project Office web pages: www.projects.bham.ac.uk

7.10 - END OF PROJECT REPORT FORM

The closing down of a project needs to be planned for. Essentially, successful project finalisation involves formal acceptance of project outputs by the Project Board and Authority Group, and an internal review of project outputs and outcomes against the Project Plan.

Regardless of the size or complexity of the project, a measurement of the project's success against well-defined criteria is necessary. Establishing the criteria helps with the measurements taken during the project and after the project has finished. These measurements include determining whether key performance milestones are being met, how well managed the project is, and whether the specified project outputs have been delivered and the outcomes achieved.

The objective of the report is:

- To determine whether the project met the objectives set out in the Project Initiation Document
- To establish how adequately the deliverable met the acceptance criteria
- To review the Business Case and benefits, which will include
  - Benefits achieved to date
  - Benefits that will be realised post-project (also called residual benefits), when they will be realised, and by whom
  - Expected net benefits
  - Unexpected benefits
  - Dis-benefits (outcomes that are perceived as negative by one or more stakeholders)
- To identify any outstanding snags and allocate timescales and responsibility for their completion.
- To outline any problems encountered by the project and how they were managed
- To discover what lessons can be learnt from the project; this means identifying both good and bad experiences of managing projects
- To share information and knowledge with other Project Managers to benefit future projects undertaken and to increase awareness of what has happened previously

Once the form has been approved by the Project Board and Authority Group the project can be formally closed.
Hints and Tips:

- Project progress reports that have been completed throughout the project are a good source of information for completing this document as they may contain details of issues that have arisen and how they were managed.
- Project Managers may find it useful to gather information required for the End of Project Report Form throughout the lifecycle of the project.
- Reviews should be undertaken in a constructive and open manner with the aim of improving future project performance.
- The End of Project Report Form can be reviewed and agreed by email rather than having to call for a formal meeting. The Project Manager should email the document to all members of the Project Team for discussion and comments; it should then be approved by the Project Board by an agreed date. The email should make clear that if no response has been received by that date, the assumption will be that the Form is satisfactory. It can then be sent to the Authority Group for approval.

Templates can be found on the Project Office web pages:
www.projects.bham.ac.uk
7.11 - PROJECT CHANGE REQUEST FORM

Objective:

- To assist the Project Manager and Project Board in determining the potential impact and cost of changes to the agreed milestone plan (change request impact analysis)
- To be used where evaluation of a Business Case for the proposal suggests the proposal may be worthwhile but cannot be achieved without amending the existing Project Plan

Project changes will usually affect one or more of the following:

- Scope and requirements
- Time
- Cost
- Quality
- Resources
- Risk management
- Communications
- Benefits

Key Roles:

- A Project Change Request Form is used by the Project Manager to obtain formal approval for changes to the scope, design, methods, costs or planned aspects of a project and is usually submitted to the Project Board. Ownership of the process is with the Project Manager.

Templates can be found on the Project Office web pages:
www.projects.bham.ac.uk
7.12 - POST IMPLEMENTATION REVIEW FORM

A Post Implementation Review is a formal review and assessment of a completed project. The review is performed after there has been sufficient time to demonstrate the benefits of the new service and to determine that the new service / product is running effectively.

The Post Implementation Review Form has the following purpose:

- To ascertain whether the benefits, scope and deliverables of the project, as stated in the Project Initiation Document, have been met
- To appraise the effectiveness of the solution in practice
- To identify any issues in order to take any necessary action
- To determine if any further projects or enhancements are required
- To learn further lessons from the project that may not have been in evidence when the End of Project Report Form was completed, and which may help improve future projects

A review may be requested by the Project Board/Authority Group when the End of Project Report Form is signed off at project closure. A date for submitting the form should be specified within an agreed timescale; this should be at such a time that the optimum benefits of the project have been demonstrated. Therefore it should not be carried out before any outstanding snags / work have been completed.

Once the Post Implementation Review Form has been completed it will be submitted to the Project Board/Authority Group for comment/approval. They may subsequently request that a further review be carried out by a specified date if deemed necessary.

Hints and Tips:

A list of points relevant to the individual project should be drawn up and these should be used as a basis for gathering the information required for the review. These points may include:

- Have users been provided with adequate information / training to utilise the new facilities / service?
- Are the procedures properly documented?
- Are stakeholders e.g. end users satisfied?
- Are systems controls being applied?
- What are the final costs of the project?
- What is the actual operating cost of the new solution?
- What are the actual benefits that are being delivered?
- Are there any additional lessons that have been learnt since closure of the project?
- Are any specific improvements required in procedures, documentation, support etc?
- Are there any suggestions/enhancements for consideration as further projects?

Templates can be found on the Project Office web pages: www.projects.bham.ac.uk
## SECTION 8 - GLOSSARY

### GLOSSARY OF TERMS – with specific reference to their use in this project management methodology

<table>
<thead>
<tr>
<th>Term</th>
<th>Definition</th>
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<tbody>
<tr>
<td><strong>Assumption</strong></td>
<td>A statement that is accepted as true for the purpose of planning a project, but which may change later. An assumption may be made if facts are not yet known or decided and, when they are, they may result in the project needing to be re-planned.</td>
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<tr>
<td><strong>Benefit</strong></td>
<td>The measurable improvement resulting from an outcome that is perceived as an advantage by one or more stakeholders.</td>
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<tr>
<td><strong>Benefit Owner</strong></td>
<td>The benefit owner is the person responsible for that benefit. They should be aware of all the details relating to each benefit for which they are responsible and should know who to chase and influence. This should not be the Project Manager.</td>
</tr>
<tr>
<td><strong>Change Control</strong></td>
<td>A process used to ensure that changes within a project are managed in a controlled and coordinated manner.</td>
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<td><strong>Critical Path</strong></td>
<td>Those tasks that, if they were to be delayed, would delay the whole project.</td>
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<tr>
<td><strong>Deliverables</strong></td>
<td>A product or service that the project must create in order to meet one or more of the project objectives.</td>
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<tr>
<td><strong>Dependencies</strong></td>
<td>A dependency controls the start or finish of a task / project relative to the start or finish of another task/project.</td>
</tr>
<tr>
<td><strong>Dis-benefits</strong></td>
<td>A benefit perceived as negative or disadvantageous.</td>
</tr>
<tr>
<td><strong>Gantt chart</strong></td>
<td>A pictorial representation of a Project Plan, in which a bar represents the period over which a task is to be carried out.</td>
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<td><strong>Issue</strong></td>
<td>An existing factor that may, if unresolved, decrease the likelihood of completing the project successfully and on time.</td>
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<tr>
<td><strong>Milestone</strong></td>
<td>Significant scheduled events that act as progress markers in the life of a project. They usually represent the completion of a key task or activity.</td>
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<tr>
<td><strong>Quality</strong></td>
<td>The level to which the final deliverable(s) of a project conform to the customers' requirements.</td>
</tr>
<tr>
<td><strong>Quality Criteria</strong></td>
<td>The standards or requirements set by the user against which the quality of the deliverables will be measured. Also called quality requirements.</td>
</tr>
</tbody>
</table>
**Risk** A risk is a problem or uncertainty which may have an effect on future project progress. A risk may not always have an adverse impact, but can be a positive opportunity as well. Potential risks should be identified, managed and monitored throughout the project.

**Risk Owner** Person responsible for monitoring a specific identified risk.

**Senior Supplier** A member of the Project Board who supplies the expertise and knowledge of the main areas involved in producing the project deliverables.

**Senior User** A member of the Project Board accountable for ensuring user needs are considered, and that any solution meets these needs.

**Stage** A stage is the section of the project that the Project Manager is managing on behalf of the Project Board at any one time. It is a collection of activities and products whose delivery is managed as a unit.

**Stakeholder** A person who has interest in the project and who can affect or be affected by the outputs. They can influence the outcome of the project quite significantly. Stakeholders could be operational staff, users or members of the Project Board.

**Tasks** The components and activities that make up the basic building blocks of a project.

**Tolerance Level** The permissible deviation above and below a plan’s estimate of time, cost, quality and scope without escalating the deviation to the next level of management.

**Users** The person or group who will use the final deliverable(s) of a project and who specify the quality criteria.

**Note:** For a full glossary refer to the Project Office web pages:

www.projects.bham.ac.uk