

# Moray Council: Project Management Governance Policy

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**Framework for Project Sponsors, Project Boards,  
Project Managers, Senior Management and Elected  
Members.**

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Document Details & Version Control			
Author: D Morris	Action: Draft for consultation	Version: v.01	Date: 27 April 2016
D Morris	Amendments: Property (EM), Finance (LP) & Training (MK) comments.	v.02	29 April 2016
D Morris	Amendments: Procurement (DB), Consultancy (DG), Ex DBS PMO (MA) & Property (MM) comments.	v.03	09 May 2016
D Morris	Final. For approval	V1.0	10 May 2016
D Morris	Amendment: to 5.7 following P&R Committee Meeting of 7 <sup>th</sup> June.	V1.1	20 Jun 2016
<a href="#">M Aldridge</a>	<a href="#">Reviewed and updated</a>	<a href="#">V1.2</a>	<a href="#">27 July 2023</a>
<a href="#">M Aldridge</a>	<a href="#">Further updates from review</a>	<a href="#">V1.3</a>	<a href="#">14 Sep 2023</a>

## 1. Introduction – Projects Defined

1.1 This policy defines a framework for the governance of **project management (specifically strategic projects)** within Moray Council (MC). It stipulates standard processes and governance requirements. It is based on the Prince2 project management methodology, aligned with the Scottish Government Construction Procurement Manual and the Office of Government Commerce (OGC) Gateway framework. Projects involving procurement will also follow the standards set out in MC Financial Regulations (Procurement Procedures). It builds on existing processes and guidance in use within the Council and intends to re-use existing controls where they have been shown to be effective. It will be subject to **periodic review**, so that any improvements / lessons learned from initial implementation can be incorporated.

1.2 There are differences in the management and governance arrangements between capital projects (Property and Infrastructure) and other projects, for instance due to the specific requirements for construction projects such as the Construction (Design and Management) Regulations 2015. The framework is intended to cover all circumstances with the flexibility to adapt the principles to suit the scale and type of project.

1.3 The framework is designed to ensure that the right environment for project success is created within the Council. It will define structures and processes that will ensure that projects are managed well and in accordance with this framework's key principles; that projects are aligned to the Council's strategic objectives, and that any projects exhibiting conditions of failure are identified on time and appropriate corrective and mitigating measures are put in place.

1.4 Project management governance provides a framework for accountability and responsibilities, ensuring that project decision-making is robust and logical and that projects provide value to the organisation. It offers a mechanism for ensuring that projects are conceived and implemented in accordance with agreed standards and regulations.

1.5 A Project, within the context at MC, is defined as:

- A unique, transient endeavour, undertaken to achieve planned objectives, which could be defined in terms of outputs, outcomes, benefits or strategic objectives.
  - Outputs - are the tangible or intangible products typically delivered by the project.
  - Outcomes – are the changed circumstances or behaviours that result from the use of an output.

The decision to implement a planned piece of work as a project is the responsibility of Corporate Management Team (CMT) and the decision must be informed by the category given to the project as described at Point 5.1.

1.6 For the purpose of this policy, governance could be applied at a **programme** level if felt to be appropriate by CMT. A Programme, within MC context, is defined as:

- A group of related projects and change management activities that together achieve beneficial change.

This would mean, for instance, that a programme consisting of a number of projects across Moray could be treated as one entity under this policy, meaning that the policy would not have to be separately applied for each individual project within the **programme**.

**Commented [MA1]:** Based on Strategic Projects only (see 1.7)

The policy is predominantly about Strategic Project with passing reference to Basic and Intermediate in Appendix 4  
- BASIC Category - No project board required; change can be implemented as BAU.  
- INTERMEDIATE Category - Change should be implemented as a PROJECT but with limited governance.  
- STRATEGIC Category - Change must be implemented as a project with full project governance in place.

**Commented [MK2]:** I would suggest it is important that there is a simple register of all change activity taking place across the three levels. A lot of basic and intermediate activity could collectively create an impact on the organisation and there is the potential that they counteract objectives of strategic projects. The PMO could regularly review the register to identify cross cutting risks and opportunities.

**Commented [MA3]:** I agree but although we have a centrally held RADIC log projects are now holding their own versions and therefore overall transparency, awareness and reporting is no longer possible.

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**Commented [MA4]:** Reiteration that this is about Governance at a Programme level i.e. Transform rather than Intermediate and Basic projects

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**Commented [VC7]:** For clarification then any Education projects could sit under Transform Education Board therefore ASN and Digital projects sit here rather than separate board?

1.7 Whilst the standards and processes articulated in this document are seen as best practice for all projects within the organisation, compliance will only be enforced and monitored for projects that:

- Requires significant capital or revenue investments – significant investment means having a value of £2M or more over the lifecycle of the project and any resulting contract/s as set out in the MC Procurement Strategy (Procurement Procedures).
- “Strategic” projects whose implementation exhibits a high level of complexity, ambiguity, tension, uncertainty or risk as identified during categorisation in accordance with Appendix 4.
- Projects that are forecast to deliver substantial cost savings as identified by the Council’s Corporate Management Team (CMT).

**Commented [MA8]:** Confirmed with LP that this should be £2m based on [Procurement Strategy 21/23](#):  
• “£50,001 to £2,000,000 – following supplier selection process, a quotation process for certain construction projects.”

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## 2 MC Project Management Governance Principles

2.1 To provide an appropriate level of proportional and consistent governance across the Council, the project life-cycle and associated processes are underpinned by the following key principles:

2.1.1 **Accountability and Responsibility:** A single point of accountability will exist for all projects within a Service area. This point of accountability will be aligned to a member of CMT or Head of Service (HoS), while responsibility for ensuring that an individual project is run in compliance to this framework lies with the Project Sponsor (also referred to within MC as Senior Responsible Officer (SRO)). It is acceptable for a member of CMT to also be the Project Sponsor. The practical application of the framework and the actual management of the project will be undertaken by a suitably trained/qualified Project Manager.

2.1.2 **Openness and Transparency:** Project performance will be visible across the different levels of governance, and reporting will be consistent, with a minimum data requirement set for all project status reports.

2.1.3 **Financial Management and Cost Transparency:** All projects will adhere to the Council’s Financial Regulations. Whole life-cycle costs will be estimated for all projects, including additional internal staff costs, and updated cost information will inform the business case and the tender process. Changes to baseline costs will be documented via Change Control process.

2.1.4 **Conduct of Procurements:** All procurements carried out either as the key objective of a project or as a subsidiary activity must be carried out in accordance with MC Financial Regulations (Procurement Procedures).

2.1.5 **Continued Business Justification:** The project Business Case in the case of change projects will be updated and reviewed at key decision points. Projects will only progress if the viability of the Business Case is confirmed and assumptions validated.

**Deleted:** , and the Quality Plan (suite of technical specifications and plans) in the case of infrastructure projects,

**Deleted:** or Quality Plan

2.1.6 **Technically assured and well managed projects:** All projects will be supported by sound technical and specialist advice and managed by suitably qualified and experienced Project Managers supported by appropriate project teams. Projects involving procurement will be supported by a lead Procurement Officer. When applicable, adequate feasibility studies will be completed with robust scoping and where a reference site is used, comparison will be based on requirements and accrued benefits.

**Commented [VC9]:** Definition of management and role of project manager and team?

2.1.7 **Risk Management:** All projects will have a well-defined risk and issues management strategy and report on to risk and issues.

2.1.8 **Well-defined roles and responsibility:** Roles within projects will be well defined with training and support provided to ensure that obligations under this framework are understood and embedded within

projects. It is compulsory for all members of Project Boards and all Project Sponsors to complete a training session on this framework before serving on a Project Board. For projects involving procurement, all those involved in the procurement activities must also have current procurement authorisation at the appropriate level and have had the necessary procurement training.

2.2 Supporting these principles are the monitoring checks and processes defined by this framework along with self-evaluation tools (PACE). These checks are carried out through a number of decision points that are based on the OGC Gateway framework. These check-points and processes are described in Section 5.0.

2.3 These checks and processes will ensure that the right environment and culture for project success is maintained across the Council with emphasis on three key project variables – the quality of the project deliverables and benefits (scope), the overall cost of the project, and the project time-scale.

### 3 Project Life-cycle

3.1 All projects regardless of complexity, scale or subject do share common features that allows for the design of a generic life-cycle. This life-cycle shows the different stages that projects progress through and are used as mandatory governance checkpoints.

3.2 The project life-cycle will normally have 6 stages; **Conception, Definition, Initiation & Planning, Delivery, Closure** and **Post Project Review**. These stages apply to all strategic category projects e.g. transformational saving projects, capital projects (property and infrastructure), ICT projects and other services-led projects within the Council (**Note: For certain capital projects RIBA will be used, and project delivery may use other project disciplines as appropriate e.g. Agile**). To steer a project through the project life-cycle, a Project Board must be assigned to manage the project – this is either done by forming a new Project Board, or by assigning the project to an existing Project Board which has relatable project objectives in.

3.3 The full make-up of a Project Board under Prince2 is described in Appendix 1, but there will be situations where a Project Board consisting of just a Sponsor and Project Manager/Procurement Lead will be sufficient. It is the responsibility of the Project Sponsor to ensure that the make-up of the Project Board adequately reflects the requirement for good project control but at the same time is not disproportionate to the scale of the project.

3.3 **Conception** (is the stage at which an idea is created or a need (a requirement for change) is identified and a strategic decision is made as to whether or not it should be pursued.

3.4 **Definition** (involves a full exploration of the change requirement and the development of the associated business case; the scope for the project is considered and procurement approaches investigated.

3.5 **Initiation and planning** (– A full plan for implementing the change is created and a contract or contracts awarded to any 3rd party suppliers as a result of commercial competitions carried out as part of the project. This is the Production Information and Tender stage for capital project procedure.

3.6 **Delivery** – This is the implementation stage for the project, where the project objectives are delivered and responsibility handed over from project to the business.

3.7 **Closure** – the project is drawn to a close and a review is carried out to confirm if there are any deliverables that have yet to be delivered and to formally end the project organisation.

3.8 **Post Project Review** – this is the stage at which the project is reviewed to confirm achievement of expected benefits and to ensure that lessons learned are identified and propagated through the organisation.

**Commented [AS10]:** How will this be delivered – nothing currently in the annual offering. Decision on how this will be delivered external v internal course. Budget available or how will this be managed i.e. annual training requests?

**Commented [MA11]:** Agreed

**Commented [MA12]:** Explore confirm training / resources OR amend paragraph Alternative wording if no provision "It is advisable that all members of Project Boards and all Project Sponsors have read and understood this framework before serving on a Project Board. For projects involving procurement, all those involved in the procurement activities must also have current procurement authorisation at the appropriate level and have had the necessary procurement training."

**Commented [VC13]:** Are we confident that all those leading projects at teh moment have been trained in both project management and procurement and if not what are the timescales and mitigations?

**Commented [MK14]:** It might be useful to provide definition for how RIBA and Agile interact with the 6 stages. For example, definition could be RIBA 2/3 and initiation / planning 4/5.

**Commented [MA15]:** Could be part of an appendix?

**Commented [DW16]:** TO BE DEVELOPED AS GUIDANCE/ADD ON

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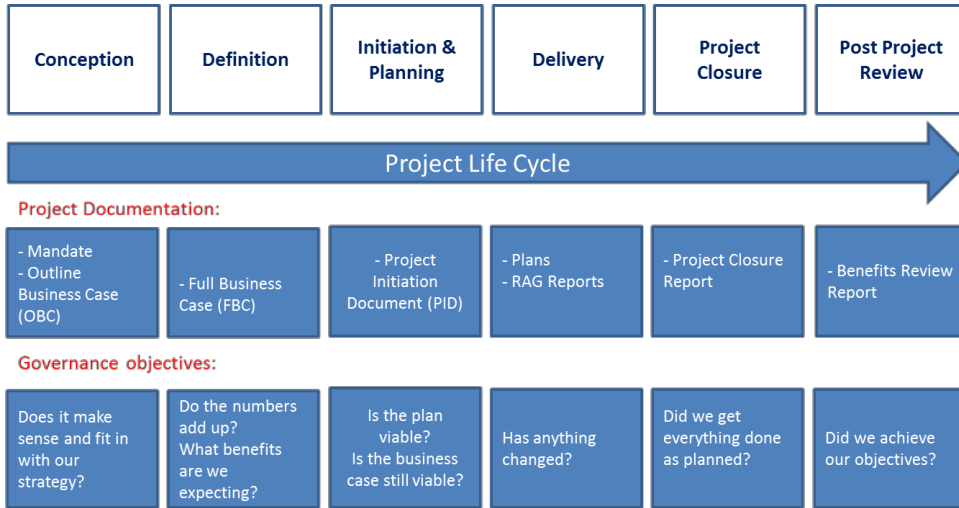
**Deleted:** with

**Deleted:** Strategic Outline Case)

**Deleted:** Outline Business Case)

**Deleted:** Full Business Case

3.9 A diagrammatic representation of the project life cycle is shown below with the appropriate documentation and governance objectives for each stage:



**Commented [VC17]:** Is this level of documentation essential for all projects? eg small project does it really need FBC?

Diagram 1 - Project Life Cycle

3.10 Current Capital project life-cycle matched to the generic project life-cycle:

Generic Projects	Conception	Definition			Planning & Initiation	Delivery	Closure	Post Project Review
Capital Projects	Project Inception	Appraisal Brief	Concept Design	Detailed to Technical Design	Production Information & Tender	Mobilisation & Construction	Post Practical Completion	

Diagram 2 - Project Life Cycle matched to Capital Project Life-cycle.

**Commented [MK18]:** I would make a case for FBC being in the initiation and planning stage. This is when procurement activities will conclude and offers a last review prior to delivery being initiated. This would move OBC to definition and SOC to conception.

**Commented [MA19]:** I disagree as the FBC needs to be approved and project defined before any detailed plan and commitments can be made for delivery.

The term SOC isn't used within this process and would require major reworking of the policy to incorporate

**Commented [DW20]:** This isn't a critical point – as long as process is followed pre-commitment and initiation so have left as is

#### 4 Governance Structure and Responsibilities

4.1 The governance structure is a hierarchical arrangement of lines of accountability for project governance within the Council. It shows how information about the management of a project's status, risk and issues flows between the different levels of responsibility.

4.2 CMT through Service Management Teams (SMT) or, where in place, existing high-level Governance Boards (HGB) will act as the single point of overall accountability for all projects within that Service. HoS will be responsible for service projects and programmes. (Note: a member of CMT may take responsibility for any cross service projects or programmes as necessary).

**Commented [MK21]:** What about projects and programmes that span services, who takes responsibility?

**Commented [MA22]:** Updated re CMT

**Deleted:** .

4.3 Whilst overall accountability for enforcing/ensuring compliance rests with CMT / High-Level Governance Boards (HGB) and/or Service Management teams, responsibility is devolved to the Project Sponsor and the Project Board for each project.

4.4 HoS / CMT will ensure that an appropriate report is forwarded to the relevant Strategic Committee. These triggers are defined in Section 5.

4.5 The diagram below shows the full reporting structure for project management governance within the Council:

Commented [MA23]: Updated version below

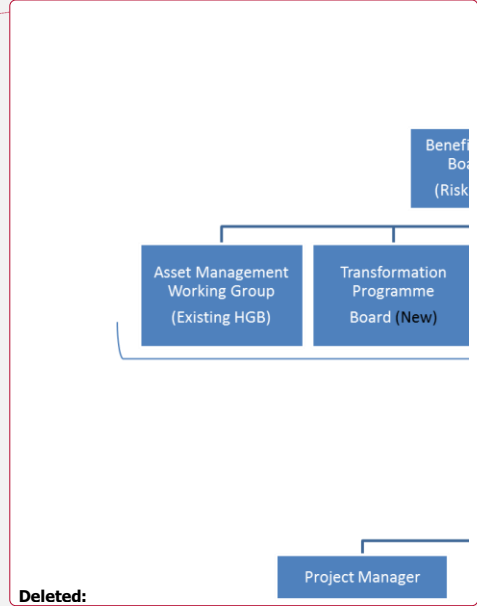
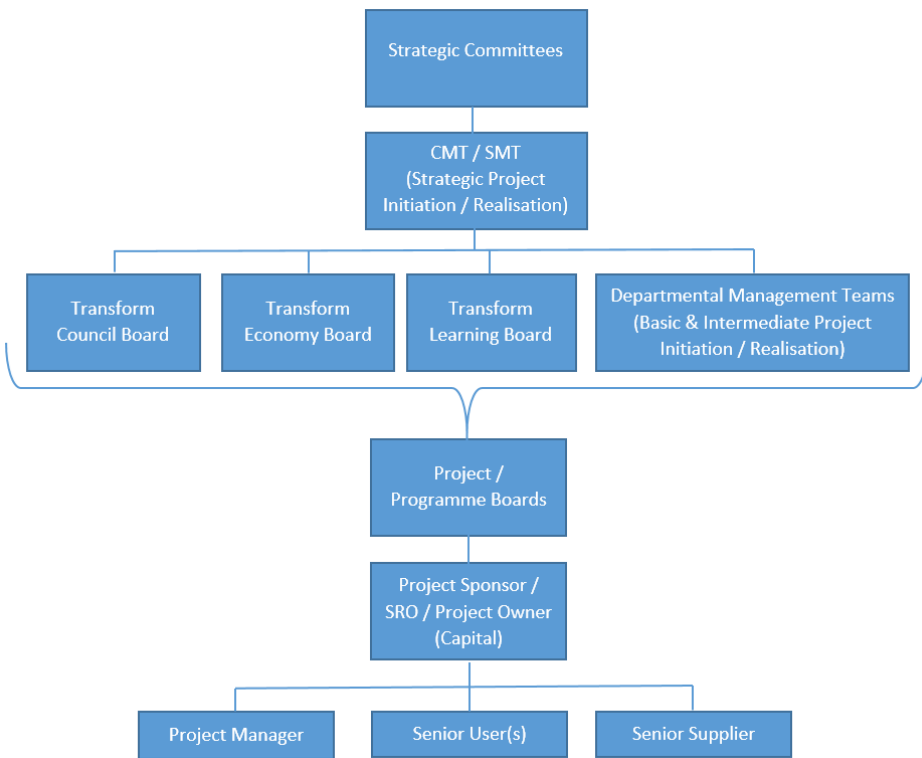


Diagram 3 - MC Project Management Governance Structure

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4.6 For construction projects, the project management team structure defined within the Scottish Government Construction Procurement Manual will apply, with the “Project Owner” (also referred to within MC as Senior Responsible Officer (SRO)) responsible for ensuring that the level of governance defined within the Council project management governance framework is implemented. Table 1 below maps the roles within the Scottish Government Construction Procurement Manual to the Council’s Project Management Governance Framework. Appendix 2 shows the full project team structure for the Scottish Government Construction Procurement Manual.

Project Management Governance Framework Policy Roles	Scottish Government Construction Procurement Manual Roles	Moray Council Terminology
Strategic Committees	Investment Decision Maker	Committee (e.g. ECLS)
CMT /High-level Governance Board (HGB)	Investment Decision Maker	Transformation Boards
Project Sponsor	Project Owner	Senior Responsible Officer (SRO)

Project Board members	Project Board members	
Project Manager	Project Manager	
Senior Supplier	Project Sponsor	
Senior User	Service User Representative	Client
Technical assurance – Service level implementation	Client Adviser	Client
Project Team – Service level implementation (not defined within framework)	External consultant Project Manager / Consultants / Contractors / Supplier	

Table 1 – The Scottish Government Construction Procurement Manual roles within MC Project Management Governance structure.

4.7 Governance Responsibilities. This defines the governance responsibilities at the different layers of the governance structure:

4.7.1 Elected Members – Strategic Committees

- a) The Strategic Committees will authorise the investment decision of appropriate projects in accordance with MC Financial Regulations.
- b) The Strategic Committees will provide independent and objective scrutiny of projects that are forecast to go above the defined tolerance level (typically 10%), ensuring that sound financial decisions are made.
- c) They will receive regular monitoring reports from CMT and will scrutinise the reports to confirm that project/programme benefits are delivered within budget and timescale.

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4.7.2 CMT/SMT / High-level Governance Boards

a) CMT/SMT serve as the single point of accountability for their assigned projects. The High-level Governance Boards (HGBs) provide scrutiny and application of the governance process.

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Deleted: Corporate Directors

b) The High-level Governance Boards are:

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- Asset Management Group (AMG): chaired by the Chief Financial Officer – responsible for ensuring the governance framework is applied for all capital projects and programmes within the capital plan.

Commented [MA24]: ICT Gateway removed, should this also be removed?

Commented [AD25]: My comment would be that we must still ensure that ICT are aware of project so that resources can be allocated as most projects will have some sort of ICT involvement.

Commented [MA26]: DW advised that would be part of the CMT/SMT review

Department Management Teams (DMT): Chaired by individual Depute Chief Executives – responsible for ensuring the governance framework is applied to all Service-led projects.

Deleted: Corporate Director

- The Project Initiation and Benefits Realisation Board (PIB/BRB) – CMT/SMT chaired by the Chief Executive, it will provide:

Deleted: (Economy, Environment, Finance)

- An initial strategic assessment of all project mandates ensuring that a project fits into the strategic and operational objectives of the Council, that it is not a duplication of work and that there are sufficient resources within the organisation to undertake the project.

Deleted: (Corporate Services)

- Risk escalation from projects

Deleted: Service

- A review of the effectiveness of the project outcomes in the form of Benefits Realisation

Deleted: SMT

Deleted: Corporate Director

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Deleted: Corporate Director

- Transformation Programme Boards (TPB): There are three (Council, Economy and Learning) chaired by members of CMT - responsible for ensuring the governance framework is applied for projects that fall within the efficiency programme.

Deleted: (Corporate Services)

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Deleted: the Chief Executive

d) The HGBs will provide governance assurance to the Strategic Committees – so that elected members can be assured that current and proposed projects have embedded the structure and processes defined within this framework.

e) The HGBs will review project monitoring reports, confirming that there is continuous business justification for the project and will authorise gateway progression through the project life-cycle as necessary e.g. OBC/FBC etc.

f) The HGBs will review and authorise project variables and re-baseline recommendations from the Project Sponsor. (Re-baselining is when a remedial action has been taken to change the baseline figure of one or more of the variables of a project; for example when the delivery time-scale is changed to account for a revised implementation date.)

g) The HGBs will provide support and advice in resolving issues and in implementing mitigations against risks. This may include providing independent assurance to Project Boards.

h) Make decisions on tolerance levels.

#### 4.7.3 Project Sponsor:

a) The Project Sponsor makes decisions with regard to management of the project. The Project Sponsor owns the business case and is responsible for providing continuous justification of the business case to the HGB.

b) Responsible for providing project status reports and exception reports to the HGB; making recommendation for gateway progression to the HGB. The recommendation will be supported by a stage report and a completed checklist (See Appendix 3) to show that all aspects of the project variables have been considered before a recommendation is made to the HGB.

c) Work with the Project Board to ensure that proposed benefits are accrued and evidence of such benefits is captured.

d) Makes recommendation on the re-baselining of project's variables and demonstrate the astuteness of re-baselining.

e) Own the risk mitigation plans and project objectives.

f) Ensure that a suitably trained Project Manager is assigned and that there are appropriate resources to deliver the project.

#### 4.7.4 Project Board:

a) The Project Sponsor is responsible for setting up and chairing the Project Board. The Project Sponsor must ensure that all the responsibilities assigned to the Project Board are met.

b) Whilst these responsibilities may be delegated to the Project Manager, true responsibility remains with the Project Sponsor.

c) The Project Board will provide assurance to the relevant HGB that appropriate risk mitigation plans are in place for all project risks, regularly monitor the viability of the mitigation plan, and report any exception to the HGB.

d) The Project Board will provide assurance to the HGB that the financial management of the project is within tolerance and report changes to baseline figures to the HGB.

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Deleted: or quality plan



e) Seek technical assurance from the appropriate Service specialist team for the project to ensure that proposed technical solution fits into the Council’s strategic goals.

f) The membership of Project Boards will be only for officers that have completed the necessary training and /or have experience. Project Boards may also have supplier representation when the supplier has been contracted to act as an agent for the Council or to provide specific advice relating to the requirements. The Sponsor is responsible for ensuring that they understand their role on the Project Board.

- Deleted: mandatory
- Deleted: course
- Deleted: (to be developed)
- Deleted: ideally

**5 The Governance Process – Governance Checkpoints**

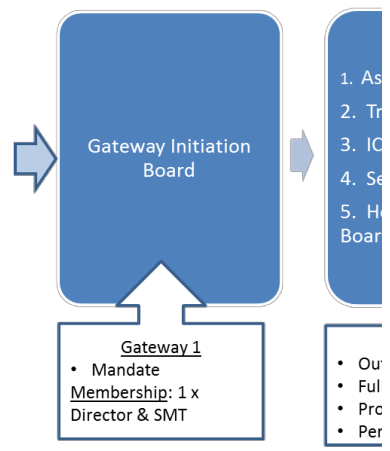
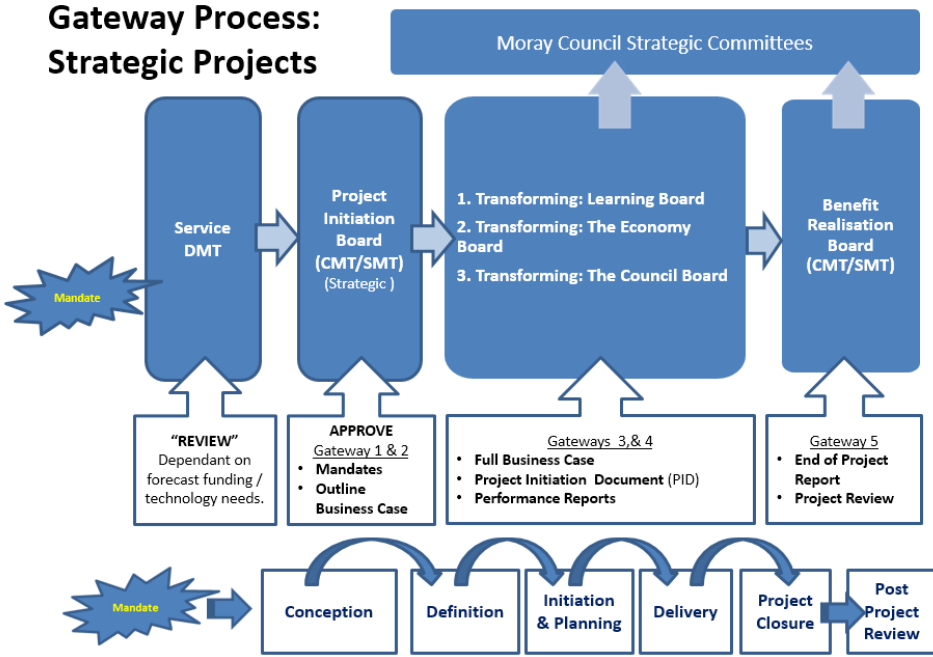
5.1 It is the responsibility of HoS to ensure that all change initiatives within their Service are assessed against the criteria set in Section 1.7. If a change initiative is not run in accordance with the policy, the rationale must be evidenced as to why not. The impact/complexity categorisation matrix is at Appendix 4.

Deleted: Corporate Directors

5.2 The governance process provides the mechanism for the project management governance to exercise its responsibilities under this framework. The process is designed to confirm governance compliance during the key decision-making points within the project life-cycle. The principle is that these decision-making points are seen as gateways that are shut, and have to be proactively opened before a project can move forward. This is based on the OGC Gateway framework. Diagram 4 below is an overview of the process.

Commented [MA29]: Updated and new version below

**Gateway Process: Strategic Projects**



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Alternate version with all projects

## Gateway Process:

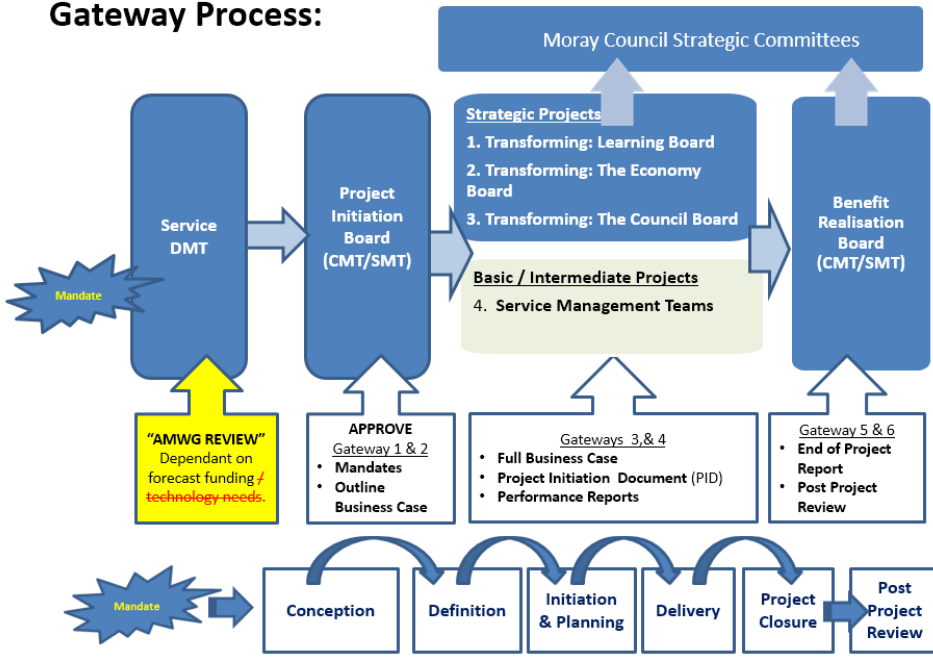


Diagram 4 – Strategic Governance Process (High Level)

5.3 There are 5 gateway points (G1 to G5) - the expectation for each gateway is specified in the Table 2 below. It is expected that the Project Board through the Project Sponsor will provide the required evidence to the HGB to demonstrate that the project is ready to progress through the gateways, and as a minimum in procurement projects the Sponsor/Board must approve the business case, project plan, strategy, and tender board report.

OGC Gateway Descriptions	Project Lifecycle Stage	Evidence provided to the Project Initiation Board (PIB) / High-Level Governance Board (HGB)	Outcome
<p><b>Gateway 1 (G1)</b></p> <p><u>Strategic Assessment and Business Justification.</u></p> <p><b>Project Initiation Board (PIB)</b></p>	Conception	<p>Evidence showing that a <b>Mandate</b> has been developed – to show the justification for the project; the scope, objectives, timeframe and timescales and initial estimates of costs and benefits.</p> <p><i>Completed Gateway 1 checklist – see Appendix 3</i></p>	<ul style="list-style-type: none"> <li>Approval to fully investigate and define the project.</li> <li>Align to appropriate HGB.</li> </ul>

**Commented [MK30]:** I would create a synergy with section 3.9 and have 6 stages – splitting closure and post project

**Commented [MA31]:** Done

**Deleted:** 5

**Commented [MA32]:** At what point is the Board formed – after the mandate for the development of the OBC, or after the OBC is signed off?

**Commented [DW33]:** Suggest after the OBC

<p><b>Gateway 2 (G2)</b> <u>Delivery Strategy.</u>  <b>High-Level Governance Board (HGB)</b></p>	<p>Conception</p>	<p>Evidence showing that an <b>Outline Business Case</b> has been developed – to show the justification for the project; the scope, objectives, timeframe, options, timescales, risks assessment, estimates of costs and benefits.</p> <p><i>Completed Gateway 2 checklist – see Appendix 3</i></p>	<ul style="list-style-type: none"> <li>Approval to fully investigate and define the project.</li> </ul>
<p><b>Gateway 3 (G3)</b> <u>Investment Decision.</u>  <b>High-Level Governance Board (HGB)</b></p>	<p>Definition</p>	<p>Evidence showing that assumptions in the Outline Business Case have been validated and a <b>Full Business Case</b> has been produced – showing requirements specification (quality), cost, timescale, results of pre-market research, risks and issues and a procurement strategy.</p> <p>Evidence that the Project Sponsor has nominated a Project Board.</p> <p>Evidence that nominated members of the Project Board have received formal training on the Council’s Project Management Framework Policy</p> <p><i>Completed Gateway 3 checklist – see Appendix 3</i></p>	<ul style="list-style-type: none"> <li>Approval to start pre-market activities and create project implementation plan.</li> </ul>
<p><b>Gateway 4 (G4)</b> <u>Prepare for delivery.</u>  <b>High-Level Governance Board (HGB)</b></p>	<p>Planning and Initiation</p>	<p>Evidence showing that a <b>Project Initiation Document (PID)</b> has been completed and assumptions in the <b>Full Business Case</b> have been clarified and validated where necessary.</p> <p>Evidence showing that the project cost model and other assumptions has been reviewed. Where applicable, payback period and Return on Investment (RoI) strategy agreed.</p> <p>Evidence showing that risk and issues management approach has been agreed.</p> <p>Evidence of completion of appropriate competition via a tender board report.</p> <p><i>Completed Gateway 4 checklist – see Appendix 3</i></p>	<ul style="list-style-type: none"> <li>Approval to award contract and begin implementation of project delivery.</li> </ul>

**Deleted:** For infrastructure projects, evidence showing that a Quality Plan has been created and estimated project cost have been provided. ¶

**Deleted:** For infrastructure projects, evidence showing that the Quality Plan has been reviewed – with project cost updated and that design review frequency has been agreed and verification plan is in place. ¶

<p><b>Gateway 4a (G4a)</b></p> <p><u>Project Commencement</u></p> <p><b>High-Level Governance Board (HGB)</b></p>	<p>Delivery</p>	<p>On-going process. Evidence showing that the project is progressing within tolerance and that risks and issues are being managed.</p> <p>Evidence showing that the business case has been reviewed and updated and project cost model is still valid.</p> <p>Evidence showing that risk and issues management strategy is working.</p> <p>Evidence showing that project is delivering milestones.</p> <p>Completed Gateway 4a checklist – see Appendix 3</p>	<ul style="list-style-type: none"> <li>Approval to go live / proceed.</li> </ul>
<p><b>Gateway 5 (G5)</b></p> <p><u>Operational Review &amp; Realisation</u></p> <p><b>High-Level Governance Board (HGB)</b></p> <p><b>Gateway 6 (G6)</b></p> <p><u>Operational Review &amp; Benefit Realisation</u></p> <p><b>High-Level Governance Board (HGB)</b></p>	<p>Closure</p> <p>Post Project Review</p>	<p>Evidence showing that the project has delivered the key deliverables and <u>any immediate benefits</u> are been realised.</p> <p>Lessons Learned. Evidence confirming that longer term project’s benefits have been delivered.</p> <p>Completed Gateway 5 checklist – see Appendix 3.</p> <p><u>Evidence showing any outstanding project deliverables and longer term benefits have been realised.</u></p> <p><u>Lessons Learned. Evidence confirming that longer term project’s benefits have been / or are being delivered and reported within a specified time period under assigned operational services.</u></p> <p>Completed Gateway 6 checklist – see Appendix 3.</p>	<ul style="list-style-type: none"> <li>Approval to close project and commence post project review / benefit realisation</li> <li>Project review / benefit realisation</li> </ul>

**Deleted:** For infrastructure projects, evidence showing that the Quality Plan has been reviewed and that design review is progressing as planned and project budget is within tolerance.¶

**Deleted:** / Post Project Review

**Commented [AD34]:** Should that be any immediate benefits? Should it evidence outputs and outcomes?

**Commented [MK35]:** Separating this into 2 stages will enable closure consideration of benefits that have been realised and post project with benefits to be realised.

**Commented [MA36]:** Done

Table 2 – Mandatory Governance Checkpoints

5.4 Information will be passed up the governance structure through Project Status Reporting; these reports will be triggered by the mandatory check-points in the governance process and by exception when a project is forecast to exceed a defined tolerance level.

5.6 Mandatory trigger points for reports to committees are before check-point G3 – project definition stage and check-point G5 –post project reviews.

5.7 Exception reports will be triggered by the following conditions –

- Explicit request from existing Full Council or “Strategic Committees”;
- Explicit request from Audit and Scrutiny Committee;

- If there is a significant (above 10%) increase in initial cost estimates between the G3 and G4 review.
- During the Delivery Stage when a project is forecast to exceed defined tolerance level in respect of time or benefits to be delivered.

## 6 Project Status Reporting

6.1 Project Status Reporting provides the monitoring and control functions that enable the critical assessment of the ongoing viability of the project and reports on the overall progress of the project.

6.2 It defines how the overall status of projects, risk and issues are communicated across the governance structure.

6.3 The Project Sponsor is responsible for providing project status reports to the appropriate HGB. The CMT and HoS are accountable for providing reports to Elected Members while the Project Sponsor is responsible for generating the report.

**Deleted:** Corporate Directors

6.4 Reports to Elected Members will be provided prior to mandatory check points G3 and G5 and when tolerance levels are forecast to be exceeded. Check points are as described in Section 5 of this framework. Project Sponsors will be expected to raise exception reports between gateway points when required.

6.5 Project Sponsor will provide project status reports to the HGB at every check-point and will provide exception reports when a project requires remedial action or when a project overall RAG status is RED. The report will be circulated to members of the HGB 3 days before a HGB meeting.

6.6 The Project Manager will provide regular project status reports to the Project Board based on the frequency of meetings and requirements e.g. monthly, quarterly.

**Commented [MK37]:** Frequency expectations? Monthly, quarterly?

**Commented [MA38]:** I think it's hard to define to that level as it would depend on project / programme and the board meeting frequency, and even the stage the project is at e.g. with little activity in the pre delivery stage it may be 2 monthly or less, whereas if there were intense activity it could be appropriate to have reporting 2 or three weekly

Anything outwith the cycle should be escalated as necessary

6.7 A project status report regardless of gateway point will contain the following minimum dataset:

- Project Life-cycle Stage
- Project current Gateway
- Over-all Project RAG status
- Project Risk RAG status
- Project Issue RAG status
- Statement of validation of business case
- Milestones update
- Financial update
- Risk and issues update
- Changes and comparison to original baseline figures
- Changes to original impact assessments.
- Project Sponsor name and official designation
- Project Sponsor Recommendation

**Deleted:** or quality plan

6.8 If a project status report fails to provide the minimum dataset, then the report will be considered as in-complete and the Project Sponsor would be require to re-submit the report with the missing data.

6.9 All project status reports will be accompanied by the appropriate stage checklist (See Appendix 3) e-signed by the Project Sponsor, confirming that due diligence has been completed for key aspects of the project.

6.10 If, after going through a check-point, any changes to baseline figures outside of the agreed tolerance levels of the project would require a new gateway review for the current gateway.

6.11 BRAGG Definitions:

6.11.1 Black, Red, Amber, Green, Grey (BRAGG) provides an expanded traffic light visual representation of the current state of a reported item against the current baseline. Black denotes “complete” whilst Grey is “not started”. The overall purpose of a Red, Amber, Green (RAG) status is to indicate the level of attention and the action required at a particular point in time. RAG definition will be applied and be reported separately for the overall project status, project risk management and for project issues.

6.11.2 Overall RAG status must generate consistent response across all projects within the Council, hence the overall RAG system has been defined against expected responses.

6.11.3 The overall RAG status for a project must be a cumulative of the RAG statuses of three areas of project objectives – quality (scope), cost and time. Hence a project would not normally be RAGGED green if any of the three variances are RAGGED at any other colour. The project would be RAGGED with the worst RAG status.

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6.11.4 Project risks are to be RAGGED against the level of control that the Project Board have on the mitigation plan. This will be based on the standard Red, Amber and Green levels. For clarity, *risk can be defined as an uncertain event or set of events, which should it/they occur, will have an effect on the ability to deliver a project.* Refer to Section 7.5 for more details.

6.11.5 Project issues are to be RAGGED against implementation of a resolution i.e. an indication of whether issues are under control or not. This will be based on the standard Red, Amber and Green levels. For clarity, *issues are unplanned events or conditions that have already happened or are currently happening and that have impacted or are currently impacting on the objectives of the project.* Refer to Section 7.5 for more details.

6.11.6 RAG definition for **OVERALL** Project Status and expected response:

RAG Status	Objectives (Scope)	Budget	Schedule	Response
Red	Deviation imminent or has occurred on the agreed project objectives and scope.	Imminent increase above the 10% tolerance threshold on the estimated project cost for that particular milestone or for the whole project.	Project on course to miss milestones delivery dates or projected closure date.	<ul style="list-style-type: none"> <li>Project Sponsor to escalate to High-Level Governance Boards (HGB) with an Exception Report.</li> <li>HGB to inform appropriate strategic committee if committee level tolerance threshold are broken.</li> <li>High level remedial action required and discussion with the Service Director for the appropriate action.</li> </ul>
Amber	Likely imminent deviation from the agreed project objectives.	Likely imminent increase on estimated project cost for that particular milestone delivery or for	Likely imminent issues with delivery timescale; a milestone date may be missed.	<ul style="list-style-type: none"> <li>Raise awareness with HGB.</li> <li>Project Board to take remedial action.</li> <li>Project to be monitored and project’s critical path reviewed. Project Board to start remedial action.</li> </ul>

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		the whole project.		<ul style="list-style-type: none"> <li>Project Board to review assumptions on business cases, cost benefit report and review project's critical path and analyse impact.</li> </ul>
<b>Green</b>	No deviation expected from the project objectives	No deviation expected from the estimated project cost.	No issues with timescale; current project milestone will be delivered in time.	<ul style="list-style-type: none"> <li>No action required.</li> </ul>

Table 1 - RAG Definitions for Project Status Reporting

6.11.7 RAG definition for **RISKS** measured against Council's control of the mitigation plan.

**Commented [MA39]:** Overall visibility of Risks and Issues no longer in place for Strategic Projects and there is a variance of approach

DW – Should each board highlight report go to CMT/SMT e.g. quarterly?

Is this idea a duplication of Transform Boards as they receive reports and the highlight reports as part of the meeting cycle?

RAG Status	Description	Response
<b>Red</b>	No mitigation plan in place or the Project Board has zero control over the mitigation plan or no control over key critical paths of the project or mitigation plan is unknown because the mitigation information is not available.	<ul style="list-style-type: none"> <li>Project Sponsor/Board to engage with stakeholders, re-assess the project's critical pathways and identify contingency plans.</li> <li>Update risk register accordingly.</li> <li>Project Sponsor to escalate to HGB.</li> </ul>
<b>Amber</b>	Mitigation is partly in place but does not cover end to end management of the risk as the Project Board does not have "managed control" of all aspects of the risk.	<ul style="list-style-type: none"> <li>Project Sponsor/Board to engage with stakeholders, re-assess the project's critical pathways and identify contingency plans.</li> <li>No escalation required. Update risk register accordingly.</li> </ul>
<b>Green</b>	Mitigation plan in place and all aspect of the risk can be control by the Project Board.	<ul style="list-style-type: none"> <li>Continue to monitor the risk and update risk register accordingly.</li> </ul>

Table 2 - RAG Definitions for Project Risks reporting

6.11.8 RAG definition for ISSUES measured against resolution

RAG Status	Description	Response
<b>Red</b>	No resolution identified yet or resolution has impact on business case.	<ul style="list-style-type: none"> <li>Escalate to the HGB.</li> <li>Project Sponsor/Board to engage with stakeholders, re-assess the project's critical pathways and business case.</li> <li>Service Director to consider Exception Report for Strategic Committee.</li> </ul>
<b>Amber</b>	Resolution identified but problem with implementation.	<ul style="list-style-type: none"> <li>Project Sponsor/Board to engage with stakeholders</li> <li>Escalate to the HGB.</li> </ul>

<b>Green</b>	Resolution identified and implementation in progress. Project will be able to proceed soon with limited impact.	<ul style="list-style-type: none"> <li>• Maintain on Project Log and monitor as on-going.</li> </ul>
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**Table 3 - RAG Definitions for Project Issues reporting**

6.11.9 RAG Status on re-baselined Projects

- a) Re-baselining is when a remedial action has been taken that changes the baseline figures of one or more of the variables of a project; for example when the delivery timescale is changed to account for a revised implementation date or if there is a project cost increase with budget increase agreed through the relevant HGB or Strategic Committee. It is essential that the RAG status thereafter reflects these changes.
- b) A new RAG status reflecting the current state of the project metrics measured against the new baseline value is to be reported. However, in order to provide a complete project life-cycle view, all re-baselined projects are to be reported on a table – showing original baseline values against new baseline values and the date that the new baseline was applied.
- c) This table will form part of the report to the HGB and relevant committee. The report would show the original baseline figure.

**7 Standard Processes**

7.1 These processes have been defined to help implement the key principles within this framework consistently across the Council.

7.2 Requirements Specification and Benefit Mapping:

7.1.1 Requirements Specification is the capturing and documenting of what a project is meant to achieve or deliver. It is the key to aligning project objectives to the benefits that the business is seeking. Failure to specify requirements accurately is one of the known high risks to project success.

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7.1.2 A comprehensive Requirement Specification document requires consultation with all key stakeholders: - this can be achieved via benefit-mapping workshops using the Benefit toolkits or via requirement workshops with stakeholders. For procurement projects a User Group will be set up to define the requirement, procurement strategy for the project and to develop supplier selection and contract award criteria.

Deleted: (training to be developed)

7.1.3 The requirement specification process will take place at the Project Definition stage helping to inform the outline business case and forms one of the key metrics for measuring benefit accruals.

7.1.4 The process will help understand the requirements of the Service; it will help define the scope of the project and help identify potential dependencies. The final outcome is a Requirement Specification document.

7.1.5 The Requirement Specification document must always specify a minimum viable product/outcome that will deliver the desired benefits. This can be a functional product or a quantifiable benefit like cost-saving or performance improvement.



7.1.6 A clear link between business requirements and functional requirements must be documented as this helps validate the minimum viable product/outcome description. Functional requirements describe specific tangible functionality of a product.

7.1.7 It is recognised that most projects require the input from an internal specialist (HR, ICT, Procurement and Property), therefore consideration should be given for their involvement in G2 e.g. A procurement exercise utilising the corporate procurement team. In the case of capital projects (property and equipment/infrastructure), corporate standards relating to procurement will apply.

7.1.8 Technical requirements must be validated by Service-based technical advisory groups where available.

## 7.2 Development of Full Business Case:

7.2.1 The Business Case is the business justification for a project. It demonstrates why and how the requirement specification will help us meet a business need. No project should progress to delivery without a business case. There will be a suite of documents capturing the approach to specification and delivery of an infrastructure project (scheme).

7.2.2 Business Case and supporting documents captures information on expected benefits/deliverables and estimate cost of delivering the benefits/deliverables.

7.2.3 The Business Case is owned by the Project Sponsor and updated throughout the project so as to confirm the continuous viability of the project.

7.2.4 A Mandate and Outline Business Case (OBC) are created at the Project Conception and Definition stage with several assumptions made. Validation of these assumptions and dependences must be completed before a full Business Case is signed off by the Project Board.

7.2.5 The Business Case is reviewed at every gateway by the HGB and its validity confirmed in line with the principle of continuous business justification. Hence a Business Case will only be deemed valid until the date of a checkpoint. There will also be reviews of the suite of design documents as the project develops and more detail is available.

## 7.3 Project Financial Management

7.3.1 Project financial management looks at the management of the financial aspects of a project. It covers the management of the project's budget; spend profile and the management of the procurement of deliverables within the project.

7.3.2 The Project Sponsor has overall responsibility for the financial management of the project and must ensure compliance with MC Financial Regulations.

7.3.3 The Project Sponsor must ensure that a business case has been established. This should examine all of the possibilities for meeting the Requirements Specification. In respect of projects with a value in excess of the OJEU tendering threshold, the Sponsor will be supported by a lead procurement officer.

7.3.4 The Project Sponsor will provide assurance that the cost model on which financial and budgetary assumptions about the project is based has been validated. This assurance will be provided through continuous validation of the business case at every governance decision check-point. The assurance reviews will be documented, with decisions recorded, and will be undertaken by the HGBs. For significant projects, an HGB may consider an external independent project review to be necessary.

**Commented [AD40]:** Is there a requirement for a similar paragraph for ICT involvement?

**Commented [MA41]:** Could do or split this one into two parts, although there are also other internal support teams which could be involved e.g. HR, Property

**Deleted:** a

**Deleted:** so the

**Deleted:** must be involved at Gateway 2 (G2)

**Deleted:** /Quality Plan

**Deleted:** commence

**Deleted:** or quality plan in the case of infrastructure projects

**Deleted:** Quality Plan is

**Deleted:** /Quality Plan

**Deleted:** For infrastructure projects, a Quality Plan will serve the purpose of a Business Case within this framework

**Deleted:** This applies to Quality Plan in that it is only valid until the next design review date.

**Deleted:** TMC

7.3.5 The cost model will cover the whole life-cycle cost of a project; including the cost of project management products, staff costs, contractors/suppliers cost, finance costs, efficiencies and income.

7.3.6 Where a project is funded from an external non-Moray Council fund, the Project Sponsor will ensure that the terms and conditions of such funding does not negate the principles of the Council's financial regulations.

7.3.7 Where project funding and implementation involves "arm's length external organisations" or Community partnerships group or external grant, the Council's Financial Regulations shall take precedence over all other arrangements.

7.3.8 At mandatory decision check-points – Gateways 3 and 5 - the Project Sponsor will provide reports to the HGB and to the appropriate Strategic Committee identifying the proposed source of funding for a project and the estimated cost. If the project cost is forecast to increase for more than 10% at any point, then the Project Sponsor will seek approval from the Strategic Committee to incur the increase.

#### 7.4 Project Procurement

7.4.1 The Council's procurement regulation is applicable to all project procurement exercises and it is as contained within Financial Regulations (Procurement Procedures). This provides an appropriate reference to all procurement matters.

7.4.2 Project Sponsors must ensure that all members of the Project Team and Boards with procurement responsibilities have undergone Procurement Training to the appropriate levels.

7.4.3 Project Sponsors must ensure, in line with the current Financial Regulation, before placing an order that:

- The expenditure is an item or service that is within the Council's legal powers to incur.
- The expenditure is within the relevant estimate provision.

7.4.5 When applicable, the Project Sponsor as defined within this framework will assume the role of the "Project Owner" as defined within the Scottish Government Construction Procurement Manual and will ensure that relevant methodologies including but not being limited to competitive stages are initiated and corporate standards are maintained through the project life-cycle. The CMT or the HGB will assume the role of the Investment Decision Maker.

#### 7.5 Risk Management

7.5.1 The Council's Risk Management Strategy details the corporate approach to risk management and sets out the Council's risk management process. This strategy forms the underlying principle for the governance of project management risks within the Council.

7.5.2 Risk can be defined as an uncertain event or set of events, which should it/they occur, will have an effect on the ability to deliver a project. This could be either a positive or negative effect. Risk Management is the activity required to identify and control the exposure to uncertainty which may impact the delivery of a project's objectives. The aim is to restrict threats to within an acceptable level (Council's "risk appetite"), and promote opportunities which will benefit the objectives of the project.

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Commented [MK42]: 7.5 and 7.6 are negative – risks and issues, but what about positive opportunities? I would suggest a section 7.7 that sets out text around projects seeking to identify opportunities that could enhance further the benefits to be achieved.

Commented [MA43]: 7.5.2 does state that there is both a "positive or negative effect" and that there is opportunities

"The aim is to restrict threats to within an acceptable level (Council's "risk appetite"), and promote opportunities which will benefit the objectives of the project."

7.6 doesn't have such wording and although Issue resolution is reaction to a negative which should provide a positive outcome e.g. the customer services provision through the pandemic

7.5.3 Risk management is not about avoiding risk-taking but is about finding ways of managing the risks to the project to still be able to realise the benefits/objectives of the project. Risk identification and management is the responsibility of the Project Board, often devolved to the Project Manager.

7.5.4 A Risk Register must be maintained for a project. The Risk Register will contain all risks that may impact the project; an action plan listing the mitigation plan – actions/control measures to manage the risks effectively and a RAG status for each risk as defined in Section 6.

7.5.5 The Risk Register must be reviewed regularly by the Project Board and the risk status must be reported along the Project Governance Structure. Section 6 - Project Status Reporting Risk RAG defines the reporting requirements and the appropriate RAG definition for Project Risk.

## 7.6 Issue Management

7.6.1 Issues are defined as unplanned events or conditions that have already happened or are currently happening and that have impacted or are currently impacting on the objectives of the project.

7.6.2 The management of issues requires a systematic approach to ensure that the full impact of the issue on the project is understood and managed appropriately. This approach involves capturing the issue, examining the impact of the issue, proposing a resolution and implementing the resolution.

7.6.3 An Issue Log must be created for all projects. This Log will serve as the repository for all issues and allows issues to be tracked and responsibility assigned accordingly. The Issue Log will provide a description of the issue, what is affected, who owns the issue, resolution status of the issue and a RAG status for the issue. Section 6 – Project Status Reporting Issue RAG defines.

7.6.4 The Project Sponsor will determine the priority for issues and would escalate them based on their RAG status to the HGBs through Project Report status.

## 8 Support and Training in the use of the Framework

8.1 To support the delivery of this framework within the Council, an online training course focusing on the application of the framework will be provided for all staff. This is a recommended training course for all project Sponsors/Owners and anyone that is required to serve on a Project Board.

8.2 Tailored workshop on the implementation of the framework will be available on request. It is recommended that Project Sponsors request this workshop for new Project Boards.

8.3 Training on the use of this framework will not prepare officers to become Project Managers, as Project Management is a recognised professional discipline. However, basic training on Project Management as a discipline is available through the corporate Organisational Development team. External training is also available leading to formal qualification.

8.4 It is the responsibility of the Project Sponsor to ensure that a suitably qualified and experienced Project Manager is appointed for their project.

8.5 A training matrix matching accountability to training requirement will be used to help Project Sponsor ascertain Project Board training need. This matrix will also provide a link to Project Management resource within the Council. See Appendix 5

**Commented [AS44]:** Do we have this resource?

**Deleted:** adoption

**Deleted:** (to be developed / procured)

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**Deleted:** (to be developed)

**Deleted:** (to be developed).

**Commented [AS45]:** Request it from who?

**Commented [AS46]:** Now the Organisational Development Team – we don't currently offer this as a course so this position needs clarification and links to my earlier comments

**Deleted:** Employee

**Commented [AS47]:** Should this be added as an appendix?

**Commented [MA48]:** Good idea

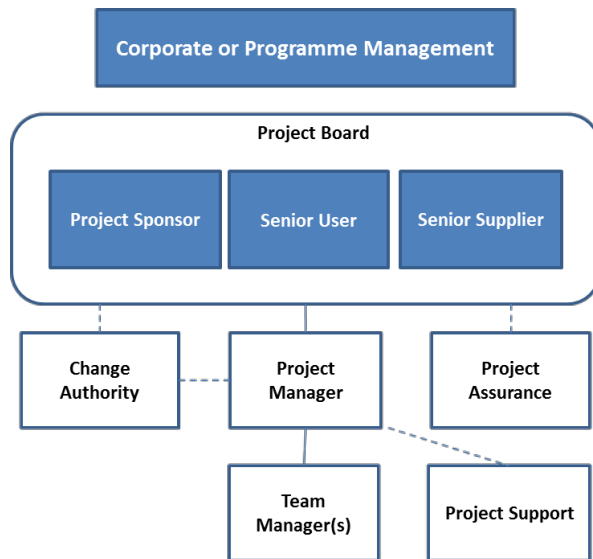
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## Appendix 1 – Project Board Structure

Together, the Project Sponsor, the Senior User(s) and the Senior Supplier(s) make up the Project Board. The Project Board has authority and responsibility for the project within the instructions set by corporate or programme management. A good Project Board should display four key characteristics:

- ✓ **Authority:** The members of the Project Board should be senior enough within the corporate organisation to make strategic decisions about the project. As the Project Board is accountable for the project, the individuals chosen must have sufficient authority to make these decisions and provide resources to the project, such as personnel, cash and equipment. The managerial level required to fill the roles will depend on factors such as the budget, scope and importance of the project.
- ✓ **Credibility:** The credibility of the Project Board members within the corporate organisation will affect their ability to direct the project.
- ✓ **Ability to delegate:** A key part of the Project Board's role is to ensure that the Project Manager is given enough space to manage the project by keeping Project Board activity at the right level. Project Board members should not be involved in the detail of how the project is managed, nor in the specialist content of the project.
- ✓ **Availability:** Project Board members who meet all the above characteristics are of little value to the project if they are not available to make decisions and provide direction to the Project Manager.



Project Board members are often from senior management positions, and their Project Board responsibilities will be in addition to their normal responsibilities. The concept of management by exception allows the Project Manager to keep them regularly informed of project progress but only requires decision-making at key points in the project.

The frequency and detail of communication required by the Project Board during a project will be documented at project-level. Project Board members may require more detail or less frequent information

at the start of the project. As the project progresses and the Project Board become more comfortable with the progress being achieved, the requirement for frequent or detailed Highlight Reports may reduce. It is important to review the level and frequency of reporting for each stage of the project.

**Appendix 2 – Scottish Government Construction Procurement Manual – Project Team**

As per the Scottish Government Construction procurement - Public sector procurement, all major works projects should have an investment decision maker, project owner and project sponsor. This section explains their roles and responsibilities, along with those of the project manager and client adviser, and sets out the abilities and training they require, and their relationship to one another (Figure 1, below).

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Commented [MA49]: Updated version below

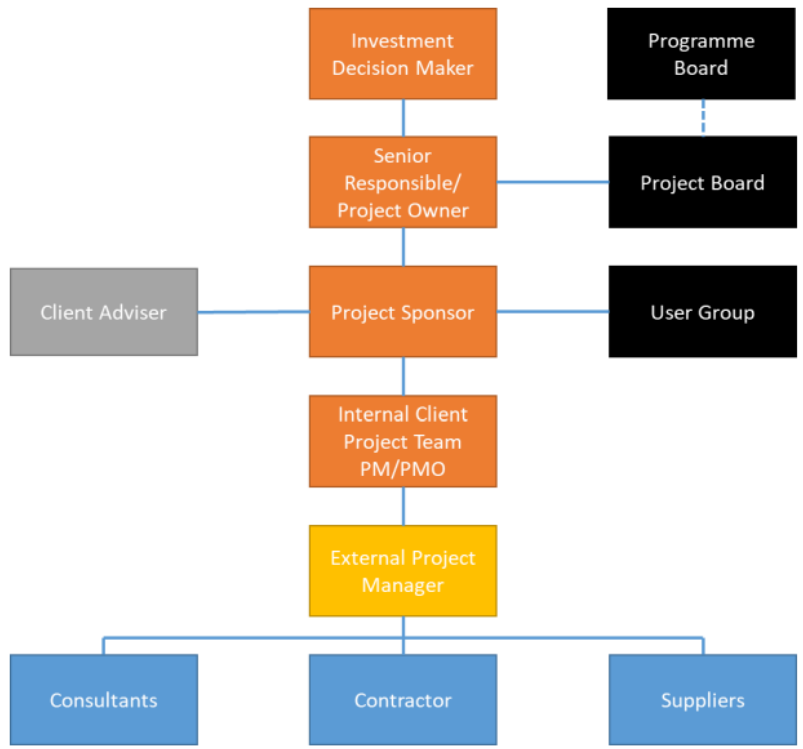
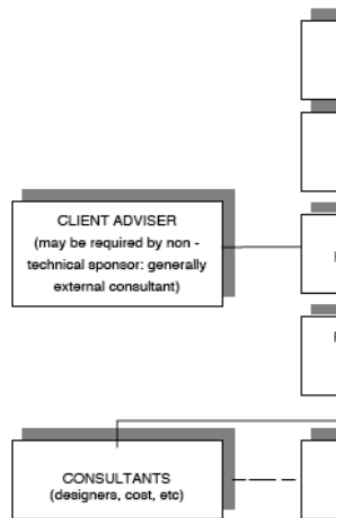


Figure 1: Project team organisation



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Appendix 3 – Project Sponsor Check Lists

Project Sponsor Check List: Gateway 1 – Strategic Assessment & Business Justification		
Consideration		Yes / No
<b>Strategic Fit</b>	Does this prepare the council for future demands or requirements?	
	Alignment with <u>Corporate Plan</u> ,	
	Are the project drivers identified? (Legislation / Council Priority / Service Development / Efficiency / Maintenance)	
<b>Corporate Capacity &amp; Do-ability?</b>	Do we have internal/external authority and stakeholder support for the project?	
	High level governance, commitment and support?	
	Realistic?	
	Any dependencies identified?	
<b>Impact of the Project</b>	List which services are affected?	
	Outlines scale of impact?	
	Fit with current organisation design?	
	Timetable?	
<b>Resources</b>	Do we have the skills and resources available to take this forward?	
	Specialist input? (External/HR/ICT/Procurement/Legal?Property)	
<b>Funding Streams</b>	Funding requirement / availability to move to next Gateway?	
<b>Risk</b>	Of doing the project?	
	Of not doing the project?	
<b>Value Case</b> (Cost v Benefits)	Is there value awareness – indicative outline?	
<b>Equality</b>	Assessment as per council policy?	
<b>Climate</b>	<u>Assessment as per council policy?</u>	

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Commented [AD50]: Do we expand include Procurement and Legal

Commented [MA51]: Agreed

Commented [AD52]: Should we include a climate field?

Commented [MA53]: Agreed

Project Sponsor / PIB Check List: Gateway 2 – Delivery Strategy	
Considerations	Yes / No
Does this project contribute to wider Council and public sector strategies, within and outside the Council?	
Is the <b>Outline Business Case</b> complete and robust – does it meet the needs of the business, is it affordable and achievable, future proof, will it deliver value for money?	

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Are the requirements clear and unambiguous, and are they aligned with the programme to which the project contributes?	
Do we have enough commercial expertise to understand the supplier market capability and track record?	
Is the <b>outline Project Plan</b> , through to completion, sufficiently detailed and realistic?	
Do we have the right skills, capabilities and management expertise to ensure success?	
Have the critical success factors and desired benefits been identified and agreed with stakeholders?	
Have we explored a sufficiently wide range of options to meet the business need and identified a preferred way forward?	
Have we identified major risks, and do we have outline risk management plans?	
Can we confirm our planning assumptions, and are there plans, for the project in place for the next stage?	
Is there a clearly defined and agreed project management structure, with key roles and responsibilities identified?	
Do we have adequate risk and issue management plans and procedures?	

**Commented [MA54]:** An outline of a plan would be known but the detailed plan should be in G3 the Planning and Initiation section

**Deleted:**

<b>Project Sponsor Check List: Gateway 3 - Planning and Initiation</b>	
<b>Considerations</b>	<b>Yes/No</b>
Is the <b>Project Plan</b> , through to completion, sufficiently detailed and realistic?	
Can we confirm the <b>Full Business Case and Benefits Realisation Plan</b> , now that we have relevant information from prospective suppliers?	
Are the objectives of the project still aligned with those of its programme and wider organisational and public sector strategies?	
Is the recommended decision on delivery approach likely to deliver what we need on time and within budget, and will it provide value for money?	
For procurements: Have we followed the agreed procurement strategy, and have we met all statutory and procedural requirements?	
Do we have sound plans for managing implementation, risk and change, and are they agreed across the supply chain?	
Do we have continuing stakeholder support for the project?	
Have we addressed the technical implications, such as "buildability" for construction projects, and information assurance for IT-enabled projects?	
Do we have the expertise and resources to manage the supplier relationship, and are appropriate management controls in place?	
Have we agreed draft contracts and/or Service Level Agreements?	

**Commented [MA55]:** A detailed Project Plan to be in place at this stage

**Deleted:** or the **Quality Plan** (for infrastructure projects)



### Project Sponsor Check List: Gateway 4 – Delivery

Considerations	Yes / No
Is the <b>Full Business Case</b> still valid and unaffected by internal or external events or changes?	
Can we confirm that the <b>Benefits Realisation Plan</b> is likely to be achieved?	
Are commercial/legal arrangements with the supplier up-to-date?	
Can we confirm that our plans for managing implementation, roll-out and operation are achievable and that we have the resources we need?	
Is the <b>Project Initiation Document</b> and management controls in place to manage the project through to operation?	
Do we have shared plans for managing risk, with contingency and business continuity plans in place?	
Has full user and system testing and/or commissioning been done to our satisfaction so that we can approve full implementation and roll-out?	
Is the business ready to implement the business change, with the necessary resources in place?	
Do we have client-side plans for managing the working relationship, including contract management, reciprocated on the supplier side?	
Are lessons for future projects being identified and recorded?	

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<b>Project Sponsor Check List: Gateway 5 - Closure and Post Project review</b>	
<b>Considerations</b>	<b>Yes/No</b>
Was the <b>Business Case</b> justification for the project at Gateway Review 3 realistic, and are the expected benefits actually being delivered?	
<u>Is there agreed timelines for a post-implementation review or equivalent review of business benefits?</u>	
Do we have the resources in place to manage the contract/SLA successfully and with continuity of key support personnel?	
If we have made agreed changes, can we be sure that they do not compromise any requirements of the procurement approach adopted (e.g. change of scope)?	
Is there still a business need for this contract/SLA? If circumstances have changed, are the service delivery approach and contract adapting to the new situation?	
Are we actively seeking to improve value for money and performance?	
Are we ready for the future, with plans for future service provision?	
Are we managing the working relationship effectively, with the right 'intelligent customer' skills?	
Are the exit strategy and arrangements for re-procurement still appropriate?	
Are we actively learning from experience and setting maturity targets?	
<u>Are there actions in place to track and report the benefits realisation?</u>	

**Commented [MK56]:** As above I would split this into 2: gateway 5 as closure, gateway 6 post project.

**Commented [MA57]:** Done

**Deleted:** For infrastructure projects – was the **Quality Plan** realistic?

**Commented [AD58]:** Should this also include future dates for post implementation review as many benefits will take time to be delivered?

**Deleted:** Have we done

<b>Project Sponsor Check List: Gateway 6 - Post Project review</b>	
<b>Considerations</b>	<b>Yes/No</b>
<u>Do we have the resources in place to manage the contract/SLA successfully and with continuity of key support personnel?</u>	
<u>If we have made agreed changes, did they compromise any requirements of the procurement approach adopted (e.g. change of scope)?</u>	
<u>Is there still a business need for this contract/SLA? If circumstances have changed, are the service delivery approach and contract adapting to the new situation?</u>	
<u>Are we actively seeking to improve value for money and performance?</u>	
<u>Are we ready for the future, with plans for future service provision?</u>	
<u>Are we managing the working relationship effectively, with the right 'intelligent customer' skills?</u>	
<u>Are the exit strategy and arrangements for re-procurement still appropriate?</u>	
<u>Are we actively learning from experience and setting maturity targets?</u>	
<u>Are there benefits still to be realised and actions in place to track and report?</u>	

**PROJECT CATEGORISATION**

Updated table

	Low	Medium	High
Corporate Impact (Business criticality and scale of project)	<ul style="list-style-type: none"> <li>Actively relevant to an individual service or team within a department</li> </ul>	<ul style="list-style-type: none"> <li>Some Member interest in project</li> <li>Contributes to delivery of a Government initiative</li> <li>Contributes to delivery of Council priority</li> <li>Maybe linked to statutory requirement / compliance with legislation</li> <li>Cross cutting activity with a Department affecting most services or teams</li> </ul>	<ul style="list-style-type: none"> <li>Strong Member interest in the project</li> <li>Critical to delivery of a key Government initiative</li> <li>Critical to delivery of high Council Priority</li> <li>Essential to statutory requirements / compliance with legislation</li> <li>Critical to deliver if a "flagship" Council activity AND / OR critical to the running of the council</li> </ul>
	Level of investment < £50,000	Investment value of greater than £50,000 (over lifecycle of project and any resulting contracts)	

**Commented [MA59]:** Investment value of £30k out of date now £50k – updated table below

	Low
Corporate Impact (Business Criticality and Scale of Project)	<ul style="list-style-type: none"> <li>Activity relevant individual service team within a Department</li> </ul>
	Level of investment < £30,000

**Deleted:**

**Commented [MA60]:** DW – Most projects will meet these criteria now, should we add another value threshold?

\*Essential to statutory requirements / compliance with legislation  
\*Critical to deliver if a "flagship" Council activity AND / OR critical to the running of the council

Each project is to be given a low / medium / high Corporate Impact assessment in accordance with the assessment

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	Low	Medium	High
Complexity	<ul style="list-style-type: none"> <li>Low degree of inter-dependency with other Council projects</li> <li>Impact on staff felt mainly within a business unit or team</li> <li>Minimal innovation required (tried and tested solution(s) for the project in place)</li> <li>Small number of internal stakeholders affected (e.g. within a service team only)</li> </ul>	<ul style="list-style-type: none"> <li>Medium degree of inter-dependency with other Council projects</li> <li>Impact on staff felt mainly within a service</li> <li>Some degree of business process change</li> <li>Some innovation required (solution(s) for project new to Council but established in the market)</li> <li>Internal stakeholders affected across at least 1 Department</li> </ul>	<ul style="list-style-type: none"> <li>High degree of inter-dependency with other Council projects</li> <li>High impact on staff across the Council</li> <li>High degree of business process change</li> <li>High level of innovation required (solution(s) new to the market &amp; untested by the Council)</li> <li>Multiple stakeholders affected across several Departments and external partners</li> </ul>

Each project is to be given a low / medium / high Complexity assessment in accordance with the assessment criteria. The Impact and Complexity assessments are applied to the Category matrix.

<b>Complexity Rating</b>	<b>High</b>	Intermediate	Intermediate	Strategic
	<b>Medium</b>	Basic	Intermediate	Strategic
	<b>Low</b>	Basic	Intermediate	Intermediate
		<b>Low</b>	<b>Medium</b>	<b>High</b>
		<b>Corporate Impact Rating</b>		

- **BASIC** Category - No project board required; change can be implemented as BAU.
- **INTERMEDIATE** Category - Change should be implemented as a PROJECT but with limited governance.
- **STRATEGIC** Category - Change must be implemented as a project with full project governance in place.

**Commented [MA61]:** Closure Report to confirm completion as expected?

**Commented [AD62]:** with benefits outcomes highlighted

**Commented [MA63]:** Yes

## Appendix 5 - Training Matrix

<u>Role Title</u>	<u>Job Responsibilities</u>	<u>Minimum requirements</u>
<u>Strategic Committees (Elected Members)</u>	<u>Authorise the investment decisions</u>	<u>Elected Members Induction which includes Governance training, Finance training and IMP overview</u>
<u>CMT /SMT / 3<sup>rd</sup> &amp; 4<sup>th</sup> Tier Managers (High Level Governance Boards as per policy)</u>	<u>Accountable for assigned projects and provide scrutiny and application of the governance process</u>	<u>Effective Project Management Workshop (Basic certificate level)</u>
<u>Senior Responsible Officer / Project Sponsor</u>	<u>Responsible for ownership of the project.</u>	<u>Effective Project Management Workshop (Basic certificate level)</u>
<u>Project Manager</u>	<u>Responsible for the delivery of the project</u>	<u>Role specific as identified in job description and person specification requirements. Required skills will be held by those recruited to posts.</u>
<u>Project Board Member</u>	<u>To support the SRO in delivering the project and provide assurances</u>	<u>Effective Project Management Workshop (basic certificate level)</u> - -
<u>Snr /Project Officers</u>	<u>To support the Project Manager in the delivery of the project</u>	<u>Effective Project Management Workshop (basic certificate level)</u>
<u>Project Stakeholders (Project Team – service level implementation e.g. Finance, Technical Lead, HR etc.)</u>	<u>Subject experts who act as consultants to the project and support delivery of the project</u>	<u>Effective Project Management Workshop (basic certificate level)</u>