Framework for Successful Projects

Managing a Type 3 Project

ACE
Achieving Change & Excellence

North East Lincolnshire Council's Approach to Project Management

NORTH EAST LINCOLNSHIRE COUNCIL
www.nelincs.gov.uk

Contents

Bk4: 1   Introduction

This is the fourth of the five booklets that make up the NELC Project Management Method - your guide to help you run an NELC project whatever its size and nature and whatever your experience of project management.

Companion booklets relevant to this one are:

Booklet 1 –   which puts the Method in the context of NELC's overall project management strategy

Booklet 5 –   a reference volume

Project Type

This booklet details the approach required to set up and manage NELC's projects that have been classified as Type 3.

It makes the assumption that you have already determined the project as being Type 3 by using the Project Type Scorecard, which makes the classification based on factors such as, cost, estimated duration and political sensitivity (for full details and examples see Bk1 Section 4). However, it is important to check that the type given to your project is correct early in the project lifecycle.

It also assumes that anyone managing a Type 3 project is an experienced project manager, but not necessarily familiar with the NELC method.

The lifecycle of a Type 3 project has 4 stages (although Delivery would normally be divided into several separate sub-stages):

- Start-up
- Initiation
- Delivery
- Closure

Structure

The structure of this booklet reflects the project lifecycle, with a section on each stage detailing the activities, processes, products and expected outputs. However, you may find that during a project you will have to revisit areas already completed - a common occurrence in the life of a project manager!

Templates

There are a series of document templates available to make it easier to run your project. Where this booklet refers to a product and a template is available that would be of assistance, the icon on the left is shown.

Template

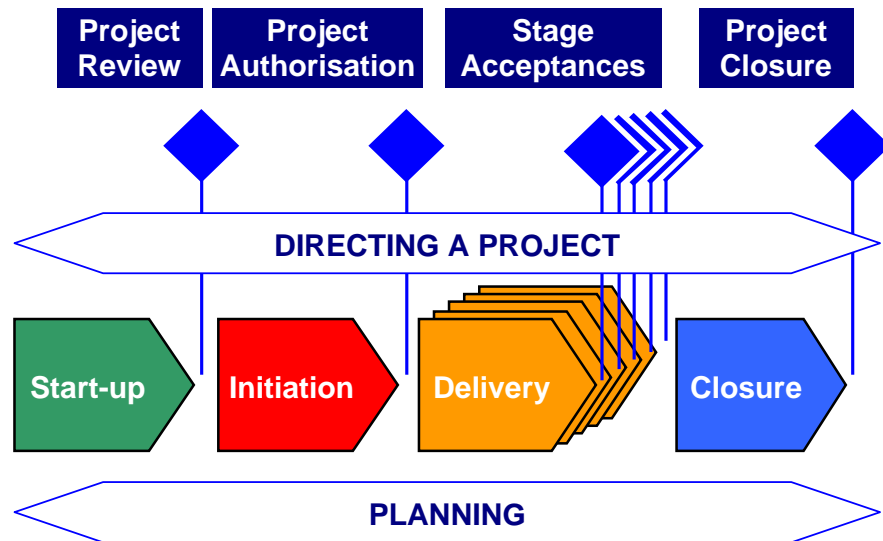**Further Reading**

This Method is compliant with PRINCE2, the project management method on which our approach is based. Along with reference to Booklet 5, it should provide you with enough information for you to successfully manage your project the NELC way.

However, should you require further information we suggest you refer to the *Managing Successful Projects with PRINCE2* manual.

Bk4: 2   A Type 3 Project Lifecycle

The diagram below illustrates the stages in the lifecycle of a Type 3 project. The diamond-shaped pointers indicate that a decision needs to be made by the Project Board prior to progressing to the next stage.

Project Review	Project Authorisation	Stage Acceptances	Project Closure

DIRECTING A PROJECT

Start-up → **Initiation** → **Delivery** → **Closure**

PLANNING

Managing a Type 3 Project

We are talking about managing a complex and/or large-sized project, or more accurately, one that has been classified by NELC as a Type 3.

The Start-up Stage is where the requirements are refined and sponsorship from senior management is ensured. This takes place prior to the commencement of the project to ensure that all the necessary pre-requisites are in place prior to the project being initiated.

The Initiation Stage reviews and confirms the Business Case, defines the products to be produced and how and when they are to be delivered. The main purpose of this stage is for the Project Board and Project Manager to agree a definition and common understanding of why the project is being undertaken. The document that forms this agreed 'contract' is known as the Project Initiation Document (PID).

Typically there will be a number of delivery stages and each stage will have defined objectives.

The products to be produced in each stage will be detailed together with their quality requirements and how they will be tested.

The products used to ensure the controlled management of a Type 3 project should be created in such a way that they address the specific project needs and do not utilise unnecessary management resource time.

Controlled management also means applying the economy of scale within the project management inherent in the method. This means that you should minimise bureaucracy whilst still maintaining control over the project.

The Closure Stage is used to ensure that the project, once having attained its objectives, is closed down in a controlled manner. All aspects of the project management activities should be considered; those that worked well and those that caused problems should all be documented. Only in this way can the same mistake being repeated time and time again be avoided.

Bk4: 3   Management Products Checklist

It is important to differentiate between Management Products and Specialist Products.

Specialist Products are what makes your project unique, or special. They are, or form part of, the reason for the project's existence. They differ from project to project and, as such, cannot be totally defined in this Method as they are always project specific.

Management Products are created to assist with managing the project. They provide the Project Manager with the tools to ensure the project is managed to the standards required by NELC.

Detailed below are the Management Products that need to be produced at various stages of a Type 3 project:

Stage	Management Products	Ref
Project Mandate and Business Case	❖ Project Mandate ❖ Initial Business Case ❑ Project Type Scorecard	**Bk4: 4**
Start-up	➢ Define and Appoint the Project Organisation ❑ Project Organisation Structure ❑ Project Approach ❑ Project Brief ❑ Risk Log ❑ Initiation Stage Plan	**Bk4: 4**
Initiation	❑ Project Quality Plan ❑ Product Descriptions ❑ Project Plan ❑ Delivery Stage Plan ❑ Issue Log (often supplemented by a Change Log) ❑ Quality Log ❑ Lessons Learned Log ❑ Communications Plan ❑ Project Initiation Document (PID) ❑ First Delivery Stage Plan ➢ Project Board Authorisation	**Bk4: 5**
Delivery (Production)	❑ Work Packages ➢ Quality Reviews ➢ Signed Off Acceptance of Project Products	**Bk4: 6**

Stage	Management Products	Ref
Delivery (Controlling Production)	❖ Checkpoint Reports ❖ Highlight Reports ❖ End Stage Reports ❑ Stage Plans ❖ Exception Reports ❑ Exception Plan ❑ Updated Control Logs (Issue, Risk, Quality, Lessons Learned) ➢ Project Board Authorisation	**Bk4: 6**
Closure	❖ Follow-On Actions Recommendations ❖ End Project Report ❖ Lessons Learned Report ❖ Post Project Review Plan ➢ Project Board Closure Authorisation	**Bk4: 7**

<u>Key</u>

❑ Document (maintained throughout the project)

❖ Report (produced once and not updated)

➢ Action

These products are described later in this booklet in the stage of the lifecycle you are likely to need to produce them or when you will first encounter them.

Bk4: 4   Project Start-up

Project Start-Up is the first project stage, although a number of preliminary tasks will have taken place prior to the commencement of this stage; the preparation of the Project Mandate and the initial Business Case are typical examples.

Project Start-Up takes the initial idea for the project to a detailed outline of what the project could eventually involve. A key activity is to establish the validity of the Business Case and decide whether the project is worth progressing before committing unnecessary costly resources.

The Business Case may be outside the remit of the Project Manager and may already have been prepared and agreed before their appointment. However, the Project Manager must be aware of the financial background and the reasons for the project in order to assist decision-making during the project. The Business Case should be reviewed and, where necessary, amended during Start-Up and Initiation as more details become available.

A successful Project Start-Up will put the project under initial control.

The diamond-shaped pointer in the diagram below indicates that a Project Review is required at the end of the Start-up stage. It is at this point that a decision will be made as to whether or not the project will progress to the Initiation Stage.

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              ┌─────────┐
              │ Project │
              │ Review  │
              └─────────┘
                  ◆
        ⬡────── DIRECTING A PROJECT ──────⬡

    ⬠ Start-up

        ⬡────────── PLANNING ──────────⬡
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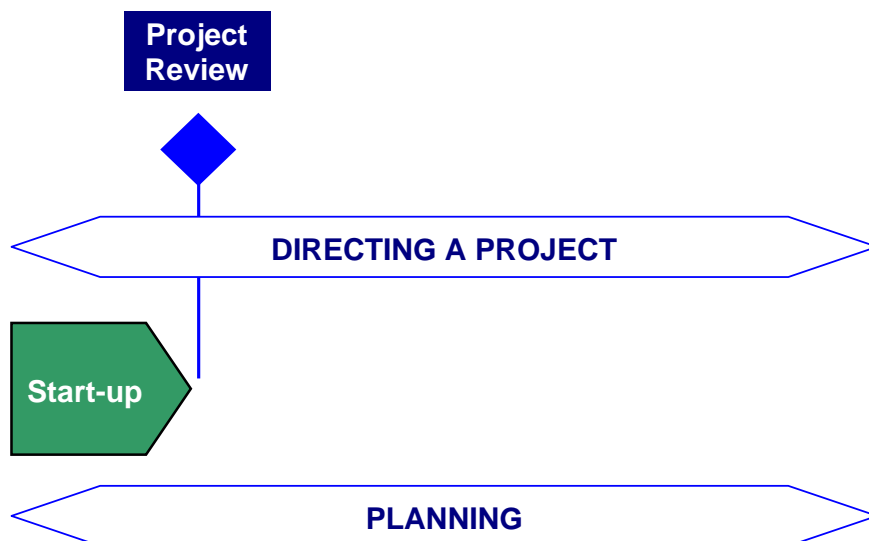
Start-up Checklist

The table below details a checklist of products that should be produced and tasks that have to be completed during Project Start-up. More detailed information of how this is done follows later in this section of the booklet.

Tasks	Products	Decisions	Ref.
Reviewing the Project Mandate			Bk4: 4.1
	❖ Project Mandate	OK?	
	❑ Project Type Scorecard	Type makes sense?	
Reviewing the Initial Business Case			Bk4: 4.2
	❖ Initial Business Case	OK?	
Project Organisation			Bk4: 4.3
	➢ Project Executive	Who?	
	➢ Project Manager	Who?	
	➢ Project Board	Who?	
	➢ Project Team	Who?	
	➢ Project Support	Required? Who?	
	❖ Project Organisation Structure		
Preparing the Project Brief			Bk4: 4.4
	❖ Project Brief		
Developing the Project Approach			Bk4: 4.5
	❖ Project Approach		
Preparing the Initial Risk Log			Bk4: 4.6
	❑ Risk Log		
Planning the Initiation Stage			Bk4: 4.7
	❑ Initiation Stage Plan		
Proceeding to the Initiation Stage			Bk4: 4.8
	➢ Project Board Meeting	Authorisation for Initiation	

Key

❑   Document (maintained throughout the project)

❖   Report (produced once and not updated)

➢   Action

Bk4: 4.1 The Project Mandate

Project Mandate

Before any project is undertaken you should ensure that you have been issued with a **Project Mandate**.

The Project Mandate (the idea or customer requirement for the project) is effectively the trigger for the project to happen and, as such, should exist before Start-Up.

There is no set format for a Project Mandate, it can take the form of a memo, e-mail or even derive from a conversation. However, it must:

- Outline the required objectives and goals
- Contain enough information to at least identify the person sponsoring the project
- Indicate the basic subject matter
- Come from a level of management that can authorise cost and resource usage

No project-related works should be undertaken without a Project Mandate having been issued.

The Project Mandate will ultimately be used to create the Project Brief.

Bk4: 4.2 Initial Business Case

Initial Business Case

The **Initial Business Case** could already have been included in the Project Mandate in draft format; if not, it should be prepared at this stage.   As more information becomes available during the Initiation Stage the Business Case will be updated and refined.   The validity of the Business Case governs the decision made by higher management as to whether the project is authorised to proceed.

A decision has to be made during this stage that the project is sound.   The Project Executive uses the Business Case to establish that the project is viable and is worth progressing, and that the project can achieve its objectives within a pre-determined financial figure and timescale.

As Project Manager you should be aware of the background and the reasons for the project in order to alert management of any factors that may arise during the project that could affect the original decision to proceed with it.

Bk4: 4.3 Designing and Appointing The Project Organisation

Project Organisation Structure

Project Board

Every project undertaken within NELC must have a Project Board. The Project Board is appointed as part of the Start-up process and should comprise:

- Project Executive
- Senior Supplier
- Senior User

In most cases this will already be in place as the Project Executive or Corporate Management Team takes responsibility for appointments to the Project Board.

The Project Board represents the senior managerial level of the activities to be undertaken. It is responsible for the overall direction and management of the project and, ultimately, its success. It approves plans, owns project risks and authorises any major deviations from the plan throughout the life of the project.

The Project Executive is ultimately responsible for any management decisions that have to be taken.

For further information on the roles of the Project Board and Project Assurance, refer to Bk 1 Section 3.

Project Manager

The Project Board will give the Project Manager responsibility for running the project on a day-to-day basis and ensuring the delivery of the products of the project to the specified standard, within the cost and time constraints agreed.

For further information on the role of the Project Manager, refer to Bk 1 Section 3.

Project Team(s)

This refers to any people required by the Project Manager to assist in the delivery of the project products, including any specialist skills required.

For further information on the role of Project Team(s), refer to Bk 1 Section 3.

Project Support

Project Support provides services and assistance to the management and control of the project, so allowing the Project Manager to be freed from the day-to-day project co-ordination

and administration to focus on leadership, motivation and problem solving.

For further information on the role of Project Support, refer to Bk 1 Section 3.

Bk4: 4.4 Preparing the Project Brief

Project Brief

The purpose of the **Project Brief** is to provide a full and firm foundation for the initiation of the project. It is an important document and provides the basis for the PID, which gives the full direction and scope of the project.

As Project Manager, you need to give thorough consideration to the following when preparing it:

- Why do we need a project at all?
- What is the purpose of this project?
- What are we hoping to achieve?
- What is the business case that justifies it?

Bk4: 4.5 Developing the Project Approach

Project Approach

Having produced the Project Brief, you are now ready to define how the project is to be tackled. The **Project Approach** is the document that explains how this is done.

The detail of this will normally be derived from the Project Brief, specialist technical knowledge or the service area to which the proposed solution relates.

A typical Project Approach document will address the following:

- Description of the approach
- The type of solution
- Is the solution to be developed or bought as an 'off-the-shelf' package?
- Will specialist resource be required?
- Will third-party suppliers or partners be involved?
- Reasons why you have decided upon this approach

The Project Approach is a high-level document to be used as the basis for planning the project in Initiation. You must, however, ensure that the approach that has been adopted is both achievable and conforms to the strategy of the proposed project's operational environment.

Bk4: 4.6 Preparing the Initial Risk Log

We need to identify events that could threaten the successful outcome to the project and decide what we can do to prevent them or to limit the damage should they occur.   This introduces, very early in the project, the topic of Risk Management.

At this stage you need to identify the most serious risks and start to evaluate the likelihood and consequences of them occurring.

Control Logs

When the project was classified as a Type 3 Project, one of the criteria used for making this assessment was risk. Therefore, an initial list of risks may already exist. You will need to record these risks and any additional ones in the **Risk Log**, one of the project's Control Logs.

The defined purpose of the Risk Log is to provide a repository of information about the risks, their analysis, counter-measures and status.   It will be developed further as the project progresses.

Learning Lessons

As NELC is a learning organisation, whilst building the Risk Log you should take note of previous projects and ensure that your project repeats their successes and avoids their problems.   To do this you should review the Lessons Learned Reports produced by all projects similar to this new one, identify any relevant lessons and consider whether these should be included in the Risk Log, or whether they affect the Project Approach (and any subsequent planning).

Bk4: 4.7 Planning the Initiation Stage

Stage Plan

As Project Manager, you are responsible for planning the next stage, Project Initiation. Initiating the project and preparing the Project Plan consume both time and resources so it should be planned carefully in order to ensure that the initiation stage, and the resultant activities, are carried out in a structured manner.

You need to produce an **Initiation Stage Plan** that covers all the activities required to complete the Initiation Stage.

The Initiation Stage Plan incorporates two elements; the PID and the Stage Plan for the stage immediately following Initiation.

When creating this plan consider:

- What is the plan being created for?
- What do you need to know to create the overall Project Plan?
- How does this plan relate to the overall Project Plan
- What needs to be done to plan the production of the PID?
- Who do you need to talk to in terms of project resources?

Bk4: 4.8 Proceeding to the Initiation Stage

You are now in a position to present all the information gathered so far to the Project Board. It is at this Project Review that the Project Board will decide whether to sanction the project to progress to the Initiation Stage, defer the decision pending further information, or terminate the project.

If it is decided that the project is not worth doing then this is a major success of the Start-up process as we will have saved valuable resource by closing the project at this time.

As a check, the diagram overleaf illustrates the processes you must have completed before progressing to the Initiation Stage.

If the Project Board sanction proceeding to the next stage, then the Initiation Stage is authorised.

Summary of Start-up Stage

Review the Project Mandate

Decision:
Go – Commitment to Proceed
Stop – Not worth doing
Go back – more preparation needed

Design and Appoint the Project Team

Project Review

Preparing the Project Brief

Develop the Project Approach

Plan the Initiation Stage

Prepare the Initial Business Case

Prepare the Initial Risk Log
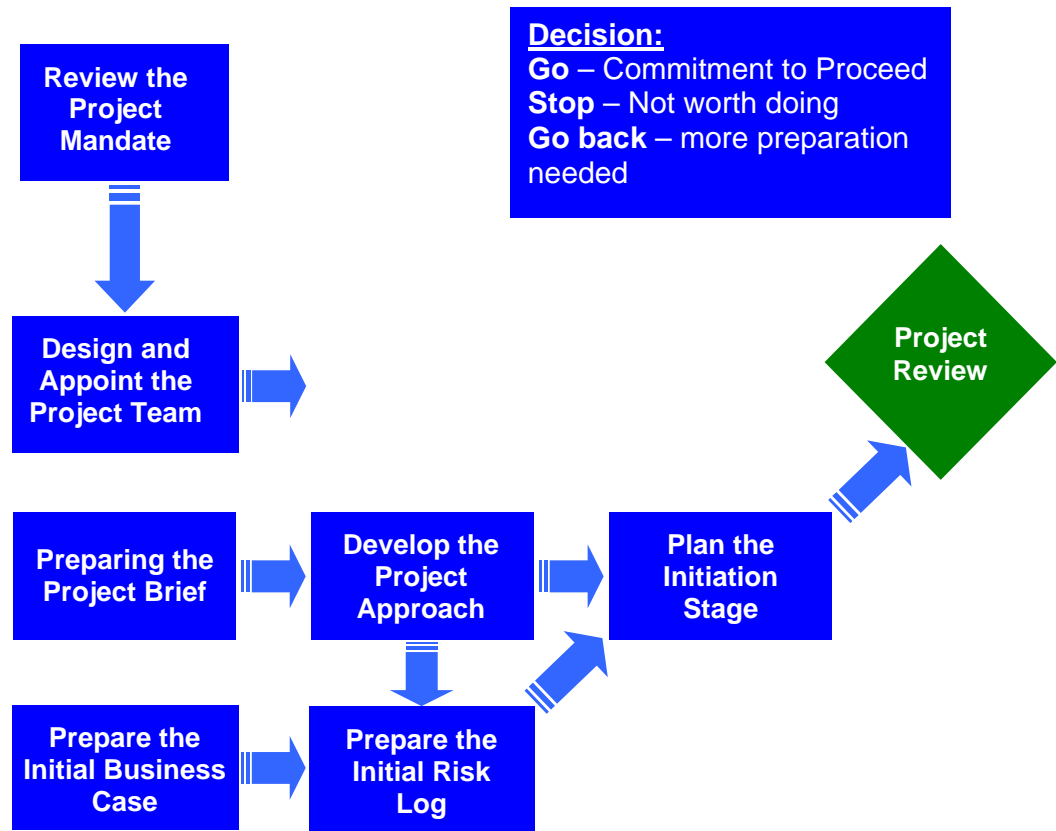
Bk4: 5   Project Initiation Stage

Having been given approval to progress to Project Initiation, the Project Board have now effectively authorised you to define both the solution and how it is to be delivered.

The Initiation Stage is the stage of the project that takes it from a basic outline to a full definition of what the project will involve and achieve. The entry criterion is that the Project Board have authorised project initiation. This implies that they have examined the results of Start-Up and found these to be sufficiently satisfactory to proceed.

The essence of this stage is that one person, or at most a few people, do sufficient work at minimum cost to ensure the project is set up correctly.

The main purpose for the Initiation Stage is to develop a 'contract' in the form of the PID, between the Project Manager and the Project Board so that there is a common understanding of things such as:

- The reasons for doing the project
- What products the project is to deliver
- How and when these will be delivered and at what cost
- The project scope
- Any constraints which apply to the project or its proposed products
- Who will be involved in the project decision making
- Any project risks
- How the quality required will be achieved
- How the project is to be controlled
- Who needs progress updates and when
- The next Stage Plan

It is essential that the above matters are discussed between the Project Manager and Project Board, no matter how informally, as this will form the basis for the production of the PID which will lead ultimately to decision by the Project Board on whether to proceed with the project.

This stage must also cover the following objectives:

- To document and confirm the Business Case
- To plan the first Delivery Stage
- To enable the Project Board to take ownership of the project

The diamond-shaped pointer in the diagram below indicates that Project Authorisation is required at the end of the Initiation stage. It is at this point that a decision will be made as to whether or not the project will progress to the Delivery Stage.
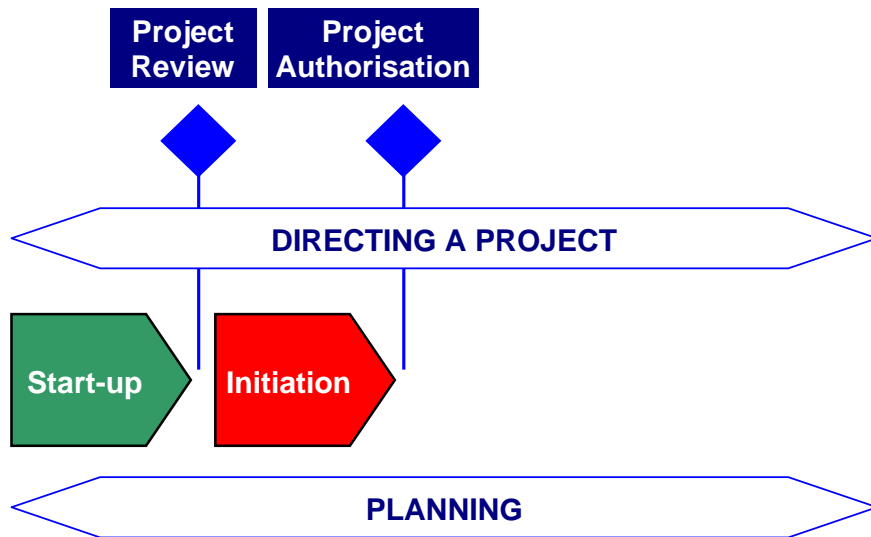
Initiation Checklist

The table below details a checklist of products that should be produced and tasks that have to be completed during Project Initiation. More detailed information of how this is done follows later in this section of the booklet.

Tasks	Products	Decisions	Ref.
Planning Quality			Bk4: 5.1
	❑ Project Quality Plan		
	❑ Quality Log		
Planning during Initiation			Bk4: 5.2
	❑ Project Plan		
	❑ First Delivery Stage Plan		
	❑ Product Descriptions		
Refining of the Business Case			Bk4: 5.3
	❑ Business Case		

Tasks	Products	Decisions	Ref.
	❑ Updated Risk Log		
Setting up Project Controls			Bk4: 5.4
	❑ Communications Plan		
Setting up the Project Files			Bk4: 5.5
	❑ Issue Log		
	❑ Lessons Learned Log		
Preparing the Project Initiation Document (PID)			Bk4: 5.6
	❑ PID		
Project Initiation Meeting			Bk4: 5.7
	➢ Project Board Meeting	Project Authorisation	
	❑ Approved PID		
	❑ Approved First Delivery Stage Plan		

Key

❑   Document (maintained throughout the project)

❖   Report (produced once and not updated)

➢   Action

Bk4: 5.1 Planning Quality

An absolute must for any project is to ensure that the outcome of the project fully satisfies the customer's quality expectations. To do this you must determine and agree what these expectations are, and put in place a means of assessing whether these have been achieved within the final finished products.

Project Quality Plan

Project Quality Plan

The **Project Quality Plan** will normally form part of the **PID** although it could equally be maintained as a separate document.

PID

When producing the Project Quality Plan, consider and document the following:

- What are the quality expectations of the user?

- Who is responsible for quality?

- What are the acceptance criteria?

- Are any organisational quality standards already in place?

- Are there any processes or procedures that have to be adhered to?

- Are there any tools or techniques that can be used to ensure quality?

Quality Log

Control Logs

A further activity when Planning Quality is setting up the **Quality Log**, one of the Control Logs. Its purpose is to summarise all the quality checks that are planned and those that have taken place. The information contained within the Quality Log will ultimately feed into the production of the End Stage, End Project and Lessons Learned Reports.

It is important that you ensure the quality checks required are included in the Project and Stage Plans. This is to ensure that they do not get missed, but even more importantly, these acceptance tests or inspections can take considerable time*. Any plan that does not factor in time for such activities could be severely flawed.*

Bk4: 5.2 Planning during Initiation

Project Plan

As part of the planning activities the timescale and resource requirements must be established prior to committing to any major project expenditure. As Project Manager you are responsible for undertaking this activity.

In order to prepare the **Project Plan** you need input from the Project Brief and should:

- Fully understand the work that is to be undertaken

- Identify the major products and activities involved in the project

Product Description

- Produce a **Product Description** for each of the products

- Identify and assess the risks and put in contingency

- Estimate the effort, resource and cost to complete the project

- Identify the timescales and key milestones of the project

- Establish the key decision and review points of the project and from these decide where the management stage divisions should be set

- Include the Tolerance levels which have been allocated

- Determine the planning standards and tools and techniques that will be used

- Agree the content, format and presentation of the plans

At this point it may be that all factors that have an effect on the project may not have been established. Therefore, the overall plan can be considered as a draft or framework and further detail may be added as the project evolves.

Stage Plans

Stage Plan

Having drafted your overall Project Plan, it is important that a detailed **Stage Plan** of the next stage of the project is in place in order that the Project Board may make an informed decision on whether to proceed.

When creating your Stage Plans consider the following:

- What is the plan being created for?

- What quality measures are to be used for the products of the plan?

- Are there any known pre-requisites to the plan?

- Are there any external dependencies?

- How is the plan to be monitored, controlled and reported upon?

- Stage Tolerances

- Product Descriptions for each of the products of the plan

Bk4: 5.3 Refining the Business Case

Business Case

The **Business Case** documents the reasons for undertaking the project. It compares the estimated costs of development and implementation from the Project Plan and the expected benefits. It must also detail the anticipated risks and weigh these against the expected benefits.

A draft version will have been produced within the Start-up stage, or have been provided as part of the Project Mandate.

However, it is during the Initiation stage that it is refined and agreed by the Project Board.

In refining the Business Case, revisit the:

- Project Mandate
- Project Brief
- Project Plan
- Initial Risk Log
- The Customer

As part of this process, you need to update the Risk Log as some known risks may be able to be expanded upon and new risks may have come to light as result of this exercise. You then need to work out how to manage these risks. This may mean changing your Project Plan.

The Business Case will be baselined during the Initiation stage and then used regularly to monitor the ongoing viability of the project.

Bk4: 5.4 Setting up the Project Controls

Any decisions that are made on a project need to be made in a timely manner by those with the authority to do so, and they must be based on accurate and up-to-date information. By setting up the appropriate level of project controls you ensure that an adequate communication, control and monitoring framework is put in place.

In order that your project can be given the optimum chance of success it is important that these controls are set up at this point in the project; consider the following:

- Identify the reporting structure for the project once it is initiated. This will form part of the Communications Plan and should be agreed and confirmed with the Project Board

- Establish the procedures required to produce and distribute the reporting of information if it is not already defined. This will also form part of the Communications Plan

- Identify the day-to-day controls required to ensure that the project will be controlled in an effective and efficient manner

- Establish and agree the reporting mechanism between yourself and both the Project Board, i.e. Highlight Reports, and Project Team, i.e. Checkpoint Reports. This should contain such detail as

responsibility for compiling the reports, who should receive them and the frequency that they are produced

- Ensure that all individuals clearly understand their roles and responsibilities as part of the project team. These should be detailed within the PID

- Establish monitoring mechanisms to satisfy the information needs of the Project Team and relevant Management and include in resource plans if necessary

- Agree with the Project Board the mechanism for Exception Reporting

Communications Plan

As referred to above, at this point you should also invest some effort in producing a **Communications Plan**. Its purpose is to ensure that all parties with an interest in the project are defined and that the frequency and means of communication between them and the project is determined.

When preparing it, consider:

Communications Plan

- Who are the interested parties?

- Who needs to be communicated to, by whom and to whom?

- What information is required and who is to provide it?

- How often should the information be provided?

- What is the chosen method of communication?

- Are there any communications needs external to the project?

The information required to produce this plan will normally be obtained from sources such as the Project Board, Project Brief, Project Approach and Project Quality Plan.

Bk4: 5.5 Setting up the Project Files

It is important to keep track of all project information and to be able to monitor versions of documents and retrieve information quickly and reliably. This can be made easier by establishing a logical project filing system at the start of the project.

The basics that you should consider when setting up the project files are:

- Establish both an electronic and hard copy filing structure. Details of the filing structure you should use are contained in Bk 5 Section 7

- Assign responsibility for managing the filing system. This may be you or may be allocated to another member of your project team

- Establish what information will be produced throughout the project and what will need filing

- Establish what products will be produced throughout the project and any potential additional storage requirements

- Establish retrieval requirements and access authorities for each project team member

- The need to create any of the control logs that haven't already been set up (Quality Log, Issue Log, Lessons Learned Log and Risk Log)

Issue Log

Control Logs

As referred to above, an important project control that you have to create is the **Issue Log**, one of the **Control Logs**. The Issue Log contains all project issues and their status and is one of the primary project controls.

Whatever its type, every issue raised within the life of the project must be allocated a unique reference and logged as a Project Issue.

Change Log

If a significant number of Requests for Change are expected, it would be sensible to maintain a separate **Change Log** to manage and report on these more easily.

Lessons Learned Log

The Control Logs also contain the **Lessons Learned Log,** a repository for any lessons learned throughout the life of the project. These can be things that happened that had an effect, good or bad, on the running of the project. The important thing is that such events are logged, as you will use these later to compile a Lessons Learned Report at the end of the project, which can then be used to improve future projects.

Bk4: 5.6 Preparing the Project Initiation Document (PID)

PID

The **PID** brings together key information to start the project on a sound and controlled basis. It is the document that contains the *what, why, who, how* and *when* information that has been gathered for agreement by the key stakeholders and for guidance and information for those involved in the project.

The objectives of the PID are to:

- Provide a basis for the decisions to be made on whether the project is authorised to proceed
- Provide a baseline for the project for all other management decisions that need to be taken during the life of the project
- Provide an information base for everyone who needs to know about the project

The table below details the elements that should be covered within the PID.

Element	Notes
Project Definition (Summary)	This can be found in the Project Brief
Business Case	A draft will have been prepared as part of Start-up and refined during the Initiation Stage
Project Organisation Structure	This will have been defined as part of Start-up
Exception Process	This will have been defined during the setting up of the project controls
Tolerance	This will have been set by the Project Board as part of the preparation of the Project Brief
Communications Plan	This will have been produced when setting up the Project Controls
Project Filing Structure	This will have been defined during setting up the project files
Risk Log	This is compiled during the Project Brief and updated during planning and project initiation.
Project Quality Plan	This establishes the objectives and requirements for Quality and will have been developed alongside the planning process. This should be included as an appendix to the PID

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Section 5: Project Initiation Stage

Element	Notes
Project Plan	This should be at an overall project level and be complete with clearly stated assumptions. This should be included as an appendix to the PID
Stage Plan	This should be a detailed plan of the next stage of the project and should be included as an appendix to the PID
Financial Plan	This is planned at project level and will be included as an appendix to the PID if finance is included within your remit. However, on some projects a financial plan may not be required and this should be agreed with the Project Board and stated as such within the PID

The previous table details a number of documents that may be appended to the PID. However, it should be noted that these may form part of the PID or may be prepared as separate standalone documents.

Having prepared the PID you are now in a position to present it to the Project Board for approval. The vehicle for obtaining approval of the PID, and ultimately progression to the next stage of the project, is the Project Initiation Meeting.

Bk4: 5.7 Project Initiation Meeting

The purpose of the Project Initiation Meeting is for the Project Board to approve the PID, and first Stage Plan so that the project can go ahead. It is also the forum where the Business Case and risk management measures can be reviewed to ensure that the project is still justified.

Before submitting the PID to the Project Board for agreement, ask yourself:

- Are all relevant parts of the Project Brief and Initiation work reflected in the PID?
- Is the level of detail appropriate for the project?
- Is the first Stage Plan informative enough to be of practical use for the members of the Project Board?

If all of the above can be answered positively, then the PID is ready to be presented to the Project Board for approval.

It is the Project Manager's responsibility to ensure that formal minutes of the meeting are produced and distributed.

The expected outputs of the Project Initiation Meeting are the approved PID and plans.

Proceeding to the Delivery Stage

At the Project Initiation Meeting the Project Board will have to make one of three decisions; to sanction the project to progress to the Delivery Stage, to defer the decision pending further information or to terminate the project completely.

However, it should be noted that termination of a project at this point should not be viewed negatively. This shows that you have done your Initiation work thoroughly and, in doing so, have helped avoid the use of costly resource. If termination is the chosen option, then the Project Board will authorise you to move the project into the Closure Stage.

As a check, the diagram below illustrates the processes you must have completed before progressing to the Delivery Stage.

If the Project Board sanction proceeding to the next stage, then the Project and the first Delivery Stage are authorised.

Summary of Initiation Stage

Section 5: Project Initiation Stage
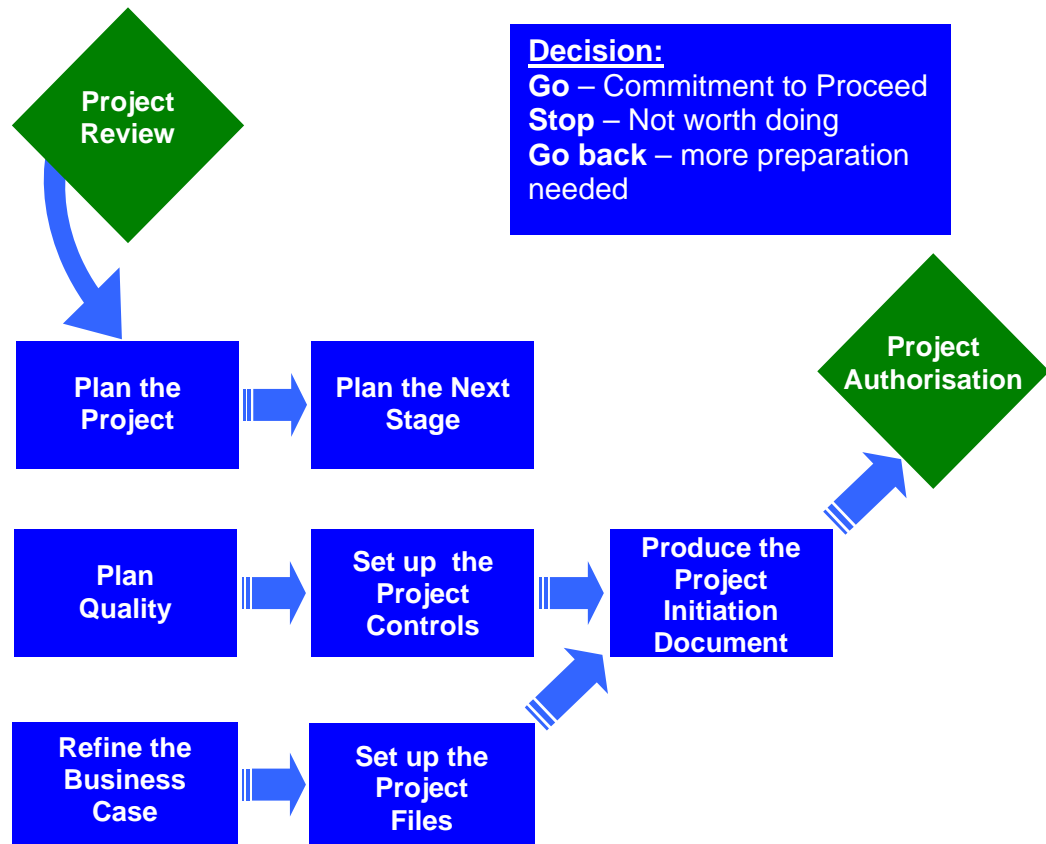
Bk4: 6   Delivery Stage

The Delivery Stage is when the bulk of the projects activities are undertaken. It consists of the completion, and acceptance, of a number of Stages as detailed in the overall Project Plan. How you manage this part of the project is critical to its overall success.

As Project Manager, you are the focal point of the project, especially during the Delivery Stages. On the one hand, you will receive authorisation from the Project Board to proceed to the next stage of the project and reporting back on progress. On the other hand, you are responsible for distributing Work Packages and monitoring the progress of the project team.

The diagram below indicates that at the end of each Delivery Stage, Stage Acceptance by the Project Board is required before commencement to the next Stage. In the case of a Type 3 project, as there may be multiple Stages, this will be required a number of times. At the end of the final Delivery stage acceptance is required before you can move into the Closure Stage.
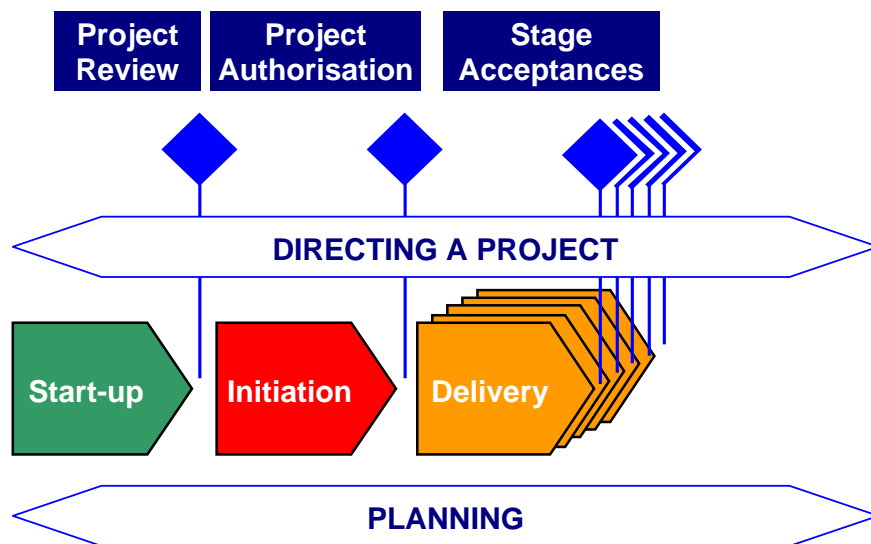
Delivery Checklist

The table below details a checklist of products that should be produced and tasks that have to be completed during Project Delivery.

Tasks	Products	Decisions	Ref.
Authorising and Assigning Work Packages			Bk4: 6.1
	❑ Work Packages		
	➢ Quality Reviews		
Accepting Completed Work Packages			Bk4: 6.2
	➢ Signed off Acceptance of Project Products		
Checkpoint Reporting			Bk4: 6.3
	❖ Checkpoint Reports		
Highlight Reporting			Bk4: 6.4
	❖ Highlight Reports		
Reviewing Stage Plans			Bk4: 6.5
	❑ Updated Stage Plan		
	❑ Updated Quality Log		
	➢ Project Meetings		
Managing Project Issues			Bk4: 6.6
	❑ Updated Issue Log (and Change Log if present)		
	❑ Off Specifications		
	❑ Requests For Change		
	❑ Updated Risk Log		
Management by Exception			Bk4: 6.7
	❖ Exception Report	If required	
	❑ Exception Plan	If required	
Preparing for the Next Stage			Bk4: 6.8
	❑ Updated Project Plan		
	❑ Next/Final Stage Plan*		
	❑ Updated Risk Log		

Tasks	Products	Decisions	Ref.
	❑ Updated Business Case		
	❑ Updated Lessons Learned Log		
	❖ End Stage Report		
Stage Plan Approval*			Bk4: 6.9
	➢ Project Board Meeting	Stage Acceptance	
Proceeding to Project Closure*			Bk4: 6.10
	➢ Project Board Meeting	Stage Acceptance	

Key

❑   Document (maintained throughout the project)

❖   Report (produced once and not updated)

➢   Action

*These items will depend on whether the stage is the final stage of Delivery or not.

You will find that you need to follow the steps detailed in this section, not necessarily in the sequence given below, but as required by the Stage Plan, the occurrence of events and at frequencies built into the Work Packages themselves.

Bk4: 6.1 Authorising and Assigning Work Packages

Assuming that the Project Board have authorised you to proceed with this stage, you now need to trigger the production of the specialist products to be delivered by authorising the relevant Work Packages.

Work Package

A **Work Package** is the trigger from the Project Manager to an individual, or group, to undertake a piece of work during the stage. The Work Package contains the following:

- One or more Product Descriptions

- Known constraints such as time

- Reporting requirements

- Product handover and acceptance requirements

Checkpoint Report

The person allocated to do the work then accepts the work package and takes responsibility for delivery of that work. This responsibility includes agreeing to a delivery date and reporting on progress using **Checkpoint Reports** at a

frequency defined in the Work Package. These reports need to alert you, as Project Manager, to any issues the project team member encounters that threaten the delivery of the product. Finally, a Work Package includes delivering the completed Work Package to the Project Manager.

A useful checklist of things you should do at this time is:

- Review the products to be delivered and ensure the Product Descriptions describe what is required and add any constraints and responsibilities required

- Include the terms of reference if not already issued

- Identify any problems or risks associated with the work and incorporate any necessary changes or other measures to handle these

- Ensure the person is committed to completion of the work within the terms of reference laid down and that their responsibilities, and what is expected of them, are clear

- Ensure that the **Quality Log** part of the Control Logs is kept up-to-date during these activities

Control Logs

As Project Manager it is your job to control the status of the Work Packages that have been authorised. You are responsible for their production, although delivery may be delegated to a number of project team members working for you on the project.

Bk4: 6.2 Accepting Completed Work Packages

Where work has been allocated to an individual or team, confirmation that the work has been completed and accepted by you must be documented.

As the acceptance criteria for each of the Work Packages has previously been defined as part of the Work Package authorisation process, you may find that they have to be accepted and approved by those parties who have a vested interest in the product. This acceptance process is part of the plan and completion of the work package will denote acceptance of the product according to the pre-defined criteria.

Once the Work Packages have been completed, they should be handed back to the Project Manager for assessment and verification.

If all the Work Packages associated with the stage are not complete this is presumably because the plan calls for further Work Packages to be started. This being the case, you need

to assign further Work Packages until all are completed and approval for stage completion can be sought.

Bk4: 6.3 Checkpoint Reporting

Checkpoint Report

A **Checkpoint Report** is a periodic report, normally time-driven, from the project team to the Project Manager. In essence, it is a vehicle for issuing status information although it may also be a means of requesting approval to take necessary action.

It effectively acts as an update of work in progress. The specific aim of this report is to check all aspects of the project against what has been planned in order to minimise the chances of 'nasty surprises'.

The frequency and format of such reports, and any subsequent Project Team Reviews, should be defined within the Work Package. However, it should be noted that, if agreed by you, that the Checkpoint Report may be communicated verbally.

Bk4: 6.4 Highlight Reporting

Highlight Report

A **Highlight Report** is a periodic report from the Project Manager to the Project Board. It can also be used as a means of providing information to the Project Team.

Its purpose is to provide the Project Board with a summary of the project or stage status and will be used to monitor the projects progress. You may also use this report as a means of advising the Project Board of any potential problems or areas where they may be able to provide guidance.

Typically, the Highlight Report will summarise information obtained from the various Checkpoint Reports and the Quality, Issue and Risk Logs. They should also contain a report of achievements within the current period and anticipated achievements over the next period.

The frequency of the Highlight Report will be imposed by the Project Board and will have been agreed and defined within the PID at the outset of the project. Ideally, the Highlight Report should be brief and need be no larger than one page of A4 paper.

Bk4: 6.5 Reviewing Stage Plans

In order to make informed decisions and maintain control, it is necessary to know what has actually happened and then compare this with what was anticipated would happen.

Project management can become dominated by day-to-day problem solving if the project is not controlled adequately. It is therefore vitally important that you maintain an accurate picture of how the project is proceeding. This is achieved by assessing progress of the work being carried out and the status of the resources available. As such, you need a regular flow of information and updates from the Project Team. This can be achieved by:

- Collecting in all progress information, using Checkpoint Reports, for all work currently being undertaken

- Collecting feedback from the Quality Log on recent quality checking activities that have been carried out

- Assessing the estimated time and effort to complete any unfinished work (including that not started yet)

- Assessing the availability of resources in the period under review and for the remainder of the project

- Reviewing with the project team members whether work will be completed on time and to budget

- Accepting completed Work Packages

- Updating the Stage Plan with 'actuals to date' in terms of timescale, budget and resource

In addition, you must ensure that the following are regularly reviewed and updated:

- Risk Log

- Issue Log

Bk4: 6.6 Managing Project Issues

No project can ever be expected to run completely to plan. During the course of the project, various problems, queries and changes will occur. They will arrive in a haphazard manner and will need to be captured in a consistent and reliable way, so that they can be assessed and managed properly. These are called Project Issues.

Control Logs

Logging, reporting and reviewing are the processes the Project Manager uses to control these issues. The Project Manager is responsible for the Control Logs, including the **Issue Log,** and will initiate reviews to determine the impact, benefits, cost, etc. and recommend a course of action.

A project issue is anything that has an effect on the project, detrimental or beneficial.

Project Issues are raised when there is an actual, or potential, problem with the project and is recorded, with a brief synopsis of the issue, in the Issue Log. All project team members have a responsibility to identify and raise a project issue when they believe the issue may affect the project.

Project Issues may relate to previous identified risks or reveal new risks, in which case the Risk Log must be updated and the issue closed.

If an issue can be resolved without exceeding the tolerances placed upon you by the Project Board, then corrective action can be taken without further consultation. If not, you will need to raise a report to the Project Board and update the entries in the Issue and Risk Logs accordingly.   There will be three specific types of project issue that will need to be resolved in this way:

- An Off-Specification
- A Request for Change
- An Exception

Off-Specifications

Off Specification

An **Off-Specification** occurs when it is discovered that any of the projects products cannot meet their original design specification. These will normally be raised as a result of investigation following an earlier identified project issue. In effect, it is a forced change to either the specification or the product.

Each Off-Specification must be recorded, with a brief synopsis, in the Issue Log and identified as having 'Off-Specification' status.

Request for Change

Request for Change

A **Request for Change (RFC)** is raised when there is a requirement to change the functionality or composition of one of the deliverable products. It is normally raised by the Project Board following the investigation of a Project Issue.

Each Request for Change is recorded, with a brief synopsis, in the Issue Log and identified as being a Request for Change. If a significant degree of change is expected (or occurs) then a separate log of RFCs should be considered. This will help with their management and authorisation.

Exception

An Exception is an issue that means that the tolerances for the stage have been, or will be, exceeded.

Refer to the next section of this booklet for the courses of action that should be taken in the event of an exception occurring.

Bk4: 6.7 Management by Exception

Exception Report

As Project Manager, you must raise an **Exception Report** as soon as there is an expectation that the cost or timescales of an approved plan will exceed the tolerances set by the Project Board.

It should contain the following detail:

- Description of the issue
- Summary of the impact of the issue
- Options of the actions that may be taken
- Recommendations and their impact

The Exception Report is then given to the Project Board and a meeting held in order to assess the exception. This process has to be carried out quickly for project control to be recovered.

Once the Project Board has authorised the Exception Report and chosen the course of action they wish to follow, you can now produce the detailed plan for this new exceptional stage. This should be carried out in the same way that you would produce a normal Stage Plan but is called an Exception Plan. However, you have the issue to overcome and this may also alter the overall project plan and the breakdown of stages originally envisaged.

Bk4: 6.8 Preparing for the Next Stage

If all the Work Packages for this stage are almost complete, planning the next stage in detail can begin. The only exception to this is when the Work Packages for the very last delivery stage have been completed and preparation for the Project Closure Stage can commence. In either case, the following steps are taken.

Stage Plan

Next Stage Plan

The high level summary of the next stage is expanded from the Project Plan into the **Stage Plan** with sufficient detail so that you can control progress against it on a day-to-day basis. The plan should detail all the products to be produced within the Stage together with details of the Work Packages to be authorised for the creation of these products.

You will also need to review and update a number of the existing Management Products.

Update the Project Plan

The Project Plan needs to be updated to reflect the current status. This will either be that the previous stage has completed successfully or that an Exception Report has been raised and, subject to Project Board approval, a new Exception Plan has been produced to replace the current Stage Plan. Either way, the Project Plan must be updated.

There is also a requirement to re-visit the Project Quality Plan and Project Approach to check whether they need to be updated or amended.

You must update the Project Plan to reflect the Stage Plan that is just finishing, the next Stage Plan and any Exception Plans that may need to be taken into consideration.

Update the Risk Log

Risk Management needs to be undertaken throughout the project.

You must ensure that the Risk Log is updated when a new risk is identified or when a risk changes.

However, it is especially important that, towards the end of any project stage, you review and update the Risk Log. This acts as a firm foundation for the forthcoming stage review.

Consider the following when undertaking this task:

- Review any new and the existing risks for importance and likelihood
- Capture any new risks that warrant entry to the Risk Log
- Select an appropriate course of action for each risk
- Plan the management of the risks as required
- Close any risks that are no longer relevant

Update the Business Case

The Business Case for the project may need to be updated in the light of current knowledge. If you are not responsible for controlling the Business Case it is important that you communicate any facts and significant changes to costs or project benefits to those with that responsibility.

The Update the Lessons Learned Log

Consider what has been learned from the project thus far and ensure that the Lessons Learned Log is updated with such information regardless of the effect it has had on your project as this information will prove to be invaluable to any similar future projects.

End Stage Report

The results of a stage should be reported back to the Project Board and will also be a major influence on next Stage Plan.

End Stage Report

An **End Stage Report** is produced for the Project Board. It includes the actual results of the stage in terms of cost, dates achieved and products produced. These are then compared with the original Stage Plan. A report is also given on the quality control activities undertaken and the results of that work.

You should also include a summary of all Project Issues raised during the stage, detailing their current status.

Before presenting an End Stage Report to the Project Board you must satisfy yourself that all of the products within that stage have been completed.

Bk4: 6.9 Stage Plan Approval

With all the preparatory work described above completed, the Project Board will review the previous stage and determine whether to proceed to the next stage.

The objectives of this end stage assessment are to:

- Assure the Project Board that all products in the current stage have been completed as defined
- Provide the information needed for the Project Board to assess the continuing viability of the project
- Obtain authorisation for the start of the next stage
- Record any lessons learned that may help later stages of the project or other projects

If the Project Board is satisfied that the stage has been completed satisfactorily they will authorise you to move to the next stage of the project.

Bk4: 6.10 Proceeding to the Closure Stage

If you have now successfully completed all of the Delivery Stages and obtained the necessary sign-off, you are now in a

position to request that the Project Board approve that the project be prepared for Closure.

The diagram below illustrates the inter-relationship between the Project Board, you, the Project Manager, and the processes that are followed during the Delivery Stage.

If the Project Board is satisfied that the products of all Delivery Stages have been completed satisfactorily, then the project can proceed into the Closure Stage.

Summary Of Delivery Stage

Project Authorisation	Proceed to Closure Stage

Project Board

Provides direction and authorises stage plans

Next Stage Authorisation

Prepare for Next Stage	Highlight Reporting	Managing Exceptions

Reviewing Plans	**Project Manager**	Managing Project Issues

Managing Work Packages	Checkpoint Reporting

Project Team
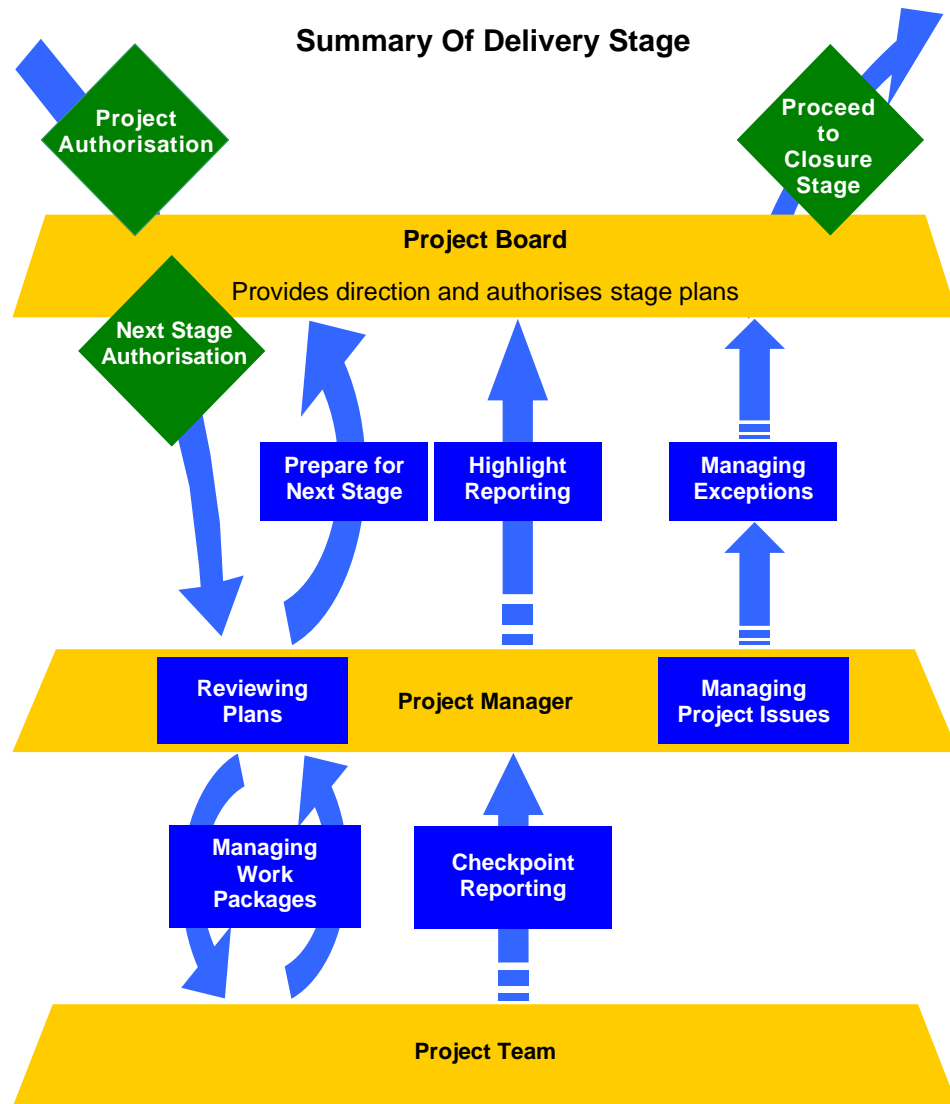
Bk4: 7   Project Closure Stage

As the project approaches its completion, you will need to do a number of things to ensure that it is closed correctly.

Preparation for closing the project is triggered by the impending end of the final stage, or by a decision by the Project Board that the project is no longer viable. In either event the project needs a defined end, a point in which the project team can be disbanded.

Regardless of the nature of the project, the main principles that you must follow when closing your project are:

- Make sure that it is closed in an orderly and structured manner

- All interested parties are in agreement that the project has delivered what was expected

- Everyone who has provided resource for the project is made aware that the project is closing and therefore they can plan for the return of that resource

- Project records should be retained for future reference

As part of this process you must ensure:

- All Project Issues have been closed or recommendations made for any appropriate follow-on actions

- Any remaining Project Risks are converted to Project Issues and recommendations made for follow-on actions

- All products of the project comply with their defined purpose and that all Acceptance Criteria have been met

- All of the project's products have been approved and delivered to the customer or user

- An adequate support mechanism is in place for the products operational environment

- All organisations and parties involved in the project are aware that the project is to be closed

A Project Closure meeting needs to be held prior to the project being closed. It is at this meeting that the Project Board will give their decision on whether or not the project can be formally closed.
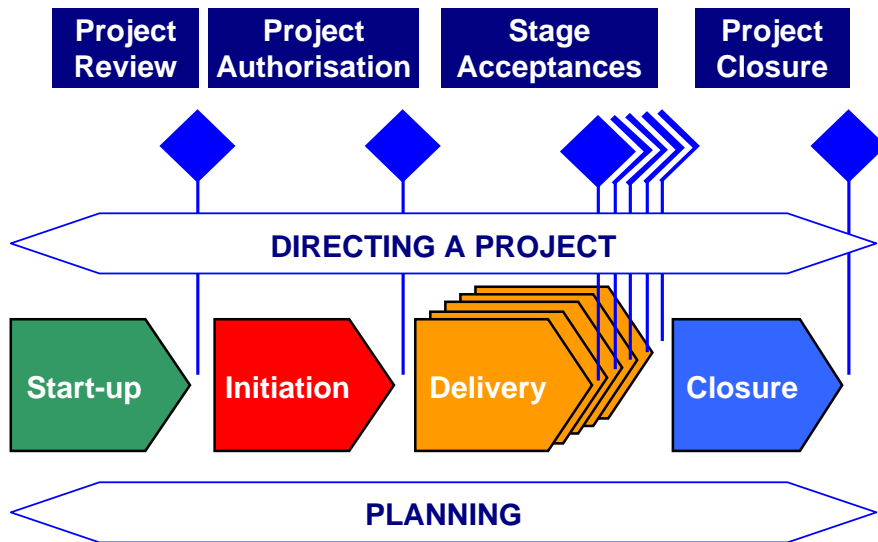
Closure Checklist

The table below details a checklist of products that should be produced and tasks that have to be completed during Project Closure. More detailed information of how this is done follows later in this section of the booklet.

Tasks	Products	Decisions	Ref.
Assess Follow-on Actions			Bk4: 7.1
	❑ Updated Risk Log		
	❑ Updated Issue Log		
Produce End Project Report			Bk4: 7.2
	❖ End Project Report		
	❖ Follow-on Action Recommendations		
Post Project Reviews			Bk4: 7.3
	❖ Post-Project Review Plan		
Produce Lessons Learned Report			Bk4: 7.4
	❖ Lessons Learned Report		
Closing the Project			Bk4: 7.5
	➢ Project Board Meeting	Project Closure	

Key

❑   Document (maintained throughout the project)

❖   Report (produced once and not updated)

➢   Action

Section 7: Project Closure Stage

As Project Manager, you are responsible for closing the project, subject to approval from the Project Board.

Bk4: 7.1 Assess Follow-on Actions

In order to close the project you must ensure that there are no loose ends. As previously stated, you must review both the Issue and Risk Log and, where Issues or Risks are not marked as closed, consider what should happen to each one. If a Change Log has been used, this should also be reviewed and any outstanding RFCs should be closed (with agreement) or handed over to the group providing ongoing support of the project's products.

You must ensure that a follow-on action is recommended for each outstanding risk and issue, after which they can be closed. Where necessary, you should discuss these with the customer for further advice.

Follow-on Action Recommendations
.

The **Follow-on Actions Recommendations** can either be included within the End Project Report, or if they are significant, in a separate report.

Bk4: 7.2 Produce End Project Report

End Project Report

The purpose of the **End Project Report** is to examine the project and provide feedback in terms of its successes, failures and achievement of the goals and objectives.

If there were any project issues that could not be closed prior to project closure, then this report is the vehicle for making recommendations for what should happen and any follow-on actions that need to be taken.

As a guide, the End Project Report should include reviews of the following:

- Achievement of the Project objectives identified in the PID
- Performance against planned time and cost
- The total impact, positive and negative, of approved changes
- Statistics of all quality work carried out
- Lessons learned

As Project Manager, you are responsible for the production and distribution of the End Project Report to the Project Board.

Bk4: 7.3 Post Project Reviews

The project will often be closed before it is possible to achieve the full benefit from its results. This is because it takes time to bed down some changes to the business, and they can ripple on for some time. It is, therefore, usual to plan a Post Project Review that the business will carry out at a time when benefits are expected to have been realised.

Post Project Review Plan

As Project Manager, you should produce this **Post Project Review Plan**, getting agreement from the business management that they will be responsible for undertaking this review at the appropriate time. The plan can either be documented in the End Project Report, or in a separate document.

Bk4: 7.4 Produce Lessons Learned Report

At the start of the project you created a Lessons Learned Log. This has been used as a repository for logging any instances where the project management team have identified things that have either made a significant contribution to the project's achievements or have caused a problem.

Lessons Learned Report

At this point in the project, all these notes should be correlated and a **Lessons Learned Report** produced.   The main objective of this report is to answer the question,

"What should be done differently next time?"

This is an extremely useful exercise as it can be used as a reference point for any future projects – they may benefit from the positive points but will not suffer the drawbacks (if any were experienced).

As Project Manager, you are responsible for the preparation and distribution of the Lessons Learned Report. However, you should seek additional information from anyone else involved in the project.

Bk4: 7.5 Closing the Project

Having now followed through the Closure process, you are now in a position to request that the Project Board approve project closure. This would normally take place at the Project Closure Meeting.

Project Closure Meeting

The purpose of the Project Closure Meeting is to:

- Review the PID, and ensure that all deliverables laid down at the outset of the project have been achieved

- Review the End Project Report against the PID

- Review the Lessons Learned Report

- Discuss outstanding issues, recommendations and, where necessary, follow-on actions that need to be effected

- Confirm, with the Project Executive, a date on which the Post Project Review is to take place
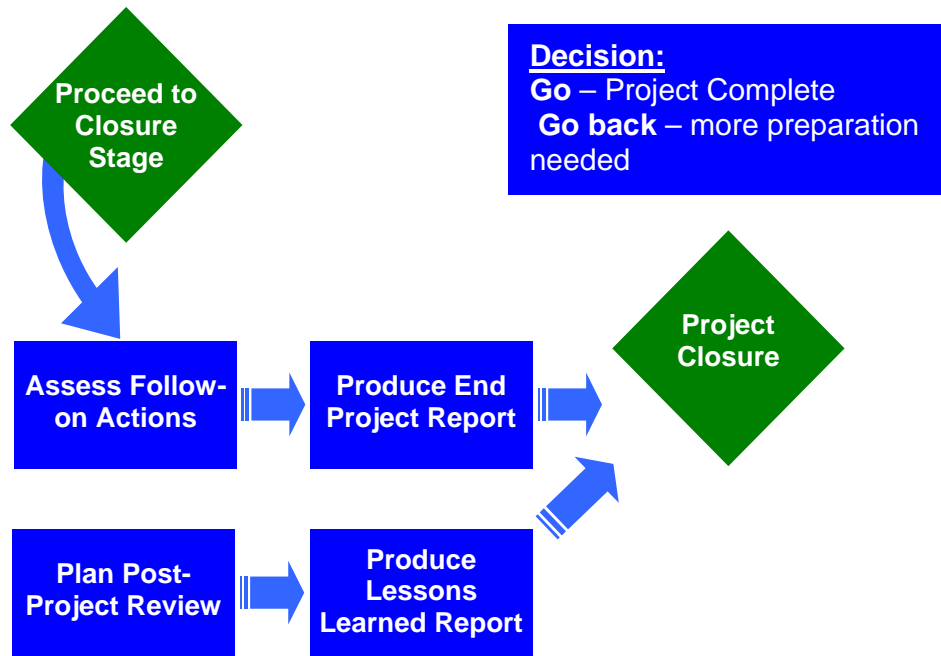
The Project Manager and Project Board must be in attendance at this meeting.

As with any other project meeting, it is the Project Manager's responsibility to organise the meeting and ensure that formal minutes are taken, produced and distributed to all relevant parties.

As a check, the diagram below shows the processes you must have completed before asking the Project Board's permission to close the project.

All being well, the project is now complete and can formally be closed down with the agreement of the Project Board.

Summary of Closure Stage

```
   ┌────────────┐                    ┌─────────────────────────────────┐
   │ Proceed to │                    │ Decision:                       │
   │ Closure    │                    │ Go – Project Complete           │
   │ Stage      │                    │  Go back – more preparation     │
   └────────────┘                    │ needed                          │
                                     └─────────────────────────────────┘

   ┌────────────┐    ┌──────────────┐              ┌──────────┐
   │ Assess     │ →  │ Produce End  │ →            │ Project  │
   │ Follow-    │    │ Project Report│             │ Closure  │
   │ on Actions │    │              │              └──────────┘
   └────────────┘    └──────────────┘

   ┌────────────┐    ┌──────────────┐
   │ Plan Post- │ →  │ Produce      │
   │ Project    │    │ Lessons      │
   │ Review     │    │ Learned Report│
   └────────────┘    └──────────────┘
```

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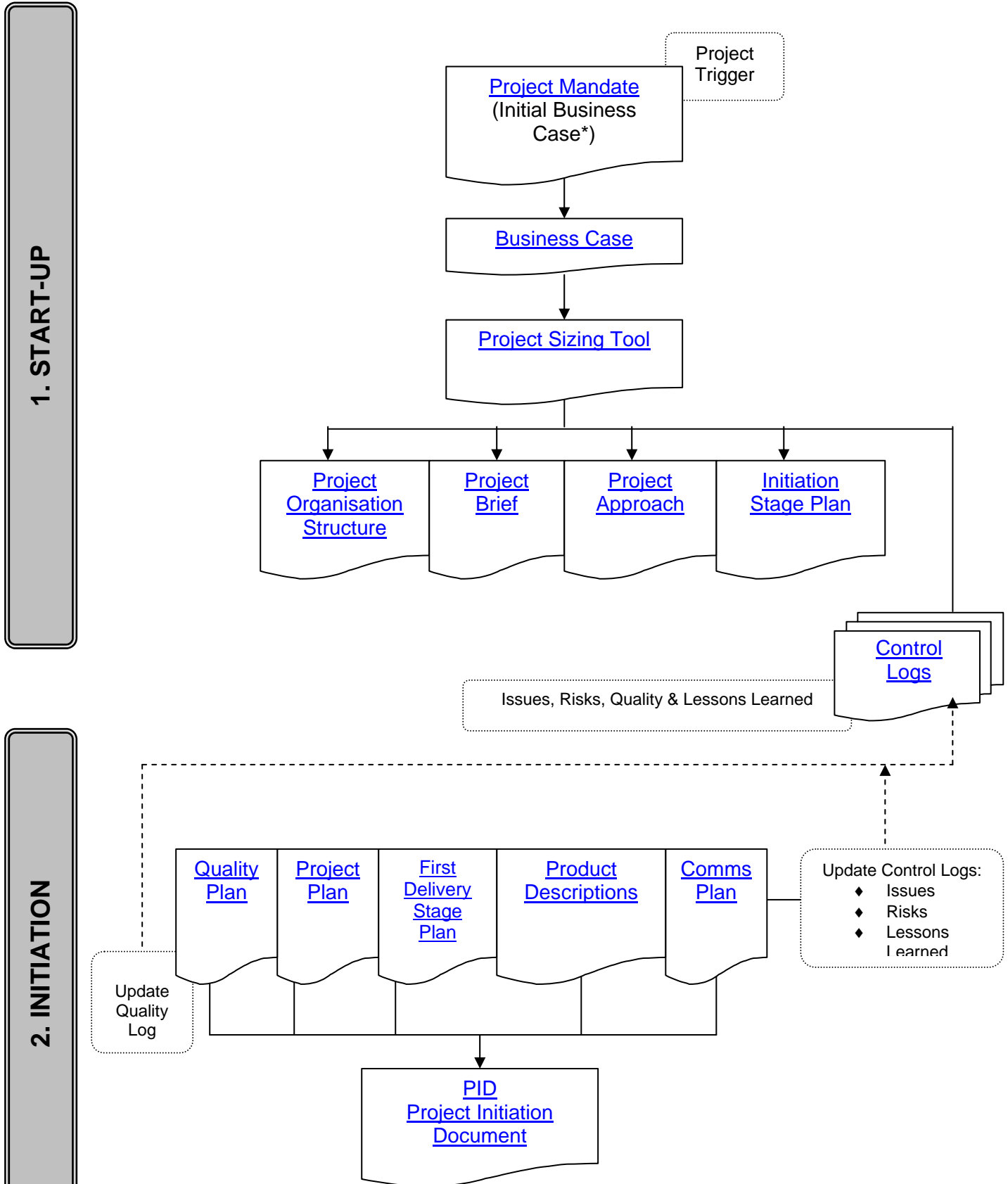Moreton
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Project Management Framework
Type 3 Project
Management Products

Set out below is an abbreviated version of the main elements of North East Lincolnshire's Project Management for Type 3 projects, which are projects scored as being complex.

1. START-UP

Project Trigger

Project Mandate
(Initial Business Case*)

↓

Business Case

↓

Project Sizing Tool

↓

| Project Organisation Structure | Project Brief | Project Approach | Initiation Stage Plan |

Control Logs

Issues, Risks, Quality & Lessons Learned

2. INITIATION

| Quality Plan | Project Plan | First Delivery Stage Plan | Product Descriptions | Comms Plan |

Update Control Logs:
- Issues
- Risks
- Lessons Learned

Update Quality Log

↓

PID
Project Initiation Document

MUST BE MAINTAINED THROUGHOUT DELIVERY STAGE & COMPLETED AT CLOSURE STAGE

Control Logs

Issues, Risks, Quality & Lessons Learned

3. DELIVERY

Production

Work Package

Checkpoint Report → **Highlight Report** **Exception Report** **Off Specification** **Request for Change**

Controlling Production

Managing Project Issues

End Stage Report

Stages Complete?

NO → **Next/Final Stage Plan**

YES

End Project Report

Follow-On Actions Recommendations

Post Project Review Plan

4. CLOSURE

Lessons Learned Report

Project Complete

A report which is produced once and not updated
A document which is maintained/updated throughout the project

1. START-UP

1.1 Project Mandate

To provide the trigger for the project and to define the project's terms of reference. A mandate should contain (OR have attached) an initial business Case

1.2 Business Case

The Business Case documents the reasons for undertaking the project and weighs the estimated costs of doing it against the anticipated benefits that can be gained from its outcome.
The Business Case will be maintained throughout the project life and reviewed by the Project Board at key decision points
The Business Case is owned by the Project Executive throughout the life of the project although the day-to-day monitoring can be delegated.

1.3 Project Organisation Structure

The purpose of this document id to state who will carry out the various project management roles, and what responsibilities those roles will have.

1.4 Project Brief

To provide a full and firm foundation for the initiation of the project.
The contents are extended and refined into the Project Initiation Document, which then becomes the working document for managing and directing a project.
The project brief provides the framework for the initiation stage, but once this is complete, the project initiation document superseded the project brief, and there is no requirement to maintain the project brief after initiation.

1.5 Project Approach

To define the type of solution that is to be developed by the project and method of delivering the solution. When producing the project approach you should consider how the products of the project are to be produced.
It should also identify any environments into which the solution must fit.

1.6 Stage Plan

The purpose of this document is to state how the stage will attain its objectives. It will describe the products that are to be created throughout the stage. It will show target dates against which these products will be produced. The resources required during the stage in both costs and resource terms will be defined, and acceptance of this stage plan denotes acceptance that these resources will be used by the Project Manager

1.7 Control Logs

To assist project Management and ensure that the project is kept under control throughout its lifecycle.
There are four control logs:

- ♦ Issue Log
- ♦ Risk Log
- ♦ Quality Log
- ♦ Lessons Learned Log

This Stage Plan will be the baseline against which the Project Manger will measure progress. If the stage is forecast to be unable to deliver within the tolerances set in this document, the Project Manager will raise an exception to the Project Board.

2. INITITATION

2.1 Project Quality Plan
To define the quality techniques and standards to be used by the project to control quality for each product type.
The Project Quality Plan is an input to Project and Stage planning, and will help ensure that products meet their specifications.
The Project Quality Plan is a key part of the Project Initiation Document.
The plan will provide assurance and control during the implementation of the project.

2.2 Project Plan
The purpose of this document is to state how the project will attain its objectives. It will describe the major products that are to be created, both at the end of the project and during the project. It will show the timeline against which these products will be delivered, and identify the stages that the project will be divided into to aid Project Board direction of the project. The overall resources required by the project in both costs and resource terms will be defined, and these will go forward into the project's Business Case to be set against the expected benefits of the project.
This Project Plan will be the baseline against which the project's progress will be measured

2.3 Product Descriptions
- ♦ To understand the detailed nature, purpose and function of the product
- ♦ To identify the sources of information or supply for the product
- ♦ To describe the required appearance of the product
- ♦ To identify the level of quality required of the product
- ♦ To enable activities to develop and quality control the product to be identified
- ♦ To define the people or skills required to develop and check the product

2.4 Product Checklist
To list the products to be produced within a Stage Plan, together with key status dates.
This document will be used by the Project Board to monitor progress.

2.5 Communications Plan
The Communication Plan defines the means and frequency of communications between members of the project team. It should be read by all members of the project team in order to ensure a common view of communications.
Communication is required between a number of parties. This document defines the following groups of individuals:

- ♦ Responsible parties – the project team
- ♦ Accountable parties – inclusive of the Project Board
- ♦ Concerned parties – those who have a vested interest in the project
- ♦ Interested parties – all other parties

2.6 Project Initiation Document (PID)

Purpose of this document is to define the following aspects of the project:
- ♦ Scope
- ♦ Objectives
- ♦ Deliverables
- ♦ Roles and responsibilities of project staff
- ♦ Project organisation, including management structure, to be established
- ♦ Project governance processes that will be followed

This document should be read by all members of the project in order to ensure a common understanding of the project.

3. DELIVERY

3.1 Work Package

To provide the information about one or more required products collated by the Project Manager to pass responsibility for work or delivery formally to a Team Manager or team member.

3.2 Checkpoint Report

To report the status of work over a period by either an individual or a team. Checkpoint Reports are produced at a frequency defined in the Stage Plan and/or Work Package.

3.3 Highlight Report

To provide the Project Board with a summary of the stage status at intervals defined in the PID.
The Project Board uses the report to monitor stage and project progress. The Project Manager also uses it to advise the Project Board of any potential problems or areas where the Project Board could help.

3.4 Exception Report

An Exception Report is produced when an approved Stage Plan is forecast to exceed tolerance levels set. It is prepared by the Project Manager in order to inform the Project Board of the adverse situation.
An Exception Report will normally result in the Project Board asking the Project Manager to produce an Exception Plan.

3.5 Off-Specification

To document any situation where a product is failing, or is forecast to fail, to meet its specification
An Off-Specification can be raised at anytime by anyone associated with the project in order to request acceptance of this failing as a concession and create a record of the failing.

3.6 Request for Change

To define the change proposed as a result of a Project Issue and the analysis of the proposed work, its cost and its impact on the project.
Once details of the proposed change are defined in Section 3, this Request For Change (RFC) is referred to the Change Authority (defined in the Project Initiation Document) for a decision to proceed or not, which should be recorded in Section 4. The same Section 4 is then used to record allocation of work and final acceptance of the results of the change by the customer.

3.7 End Stage Report

The purpose of the End Stage Report is to give a summary of performance in the stage now completing the overall project situation and sufficient information to ask for a Project Board decision on what to do next with the project.
The Project Board uses the information in the End Stage Report to decide what action to take with the project: approve the next stage, ask for a revised next Stage Plan, amend the project scope or stop the project.

3.8 Change Log

To assist project management in the control of Requests For Change (RFCs).
This document is optional; the information on it is also held on the Issue Log and the RFCs, but it is very helpful in managing change if a significant number of RFCs are raised. This log provides a central, succinct list of RFCs and is of benefit in managing the Change Budget.

This log could be added to the Control Logs spreadsheet if preferred. It does not have to be kept separately; indeed, there is the benefit that it will share the People list with the other logs.

4. CLOSURE

4.1 End Project Report

This report is the Project Manager's report to the Project Board (who may pass it on to corporate or programme management) on how well the project has performed against its Project Initiation Document, including the original planned cost, schedule and tolerances, the revised Business Case and final version of the Project Plan.

4.2 Follow-on Action Recommendations

To pass details of unfinished work or potential product modifications to the group charged with future support of the final product in its operational life.
Any relevant Project Issues should have a corresponding entry in this document and should have been closed with an entry to signify that they have been transferred to these recommendations.
Any available useful documentation or evidence should accompany these recommendations.

4.3 Post-Project Review Plan

To define for the Project Executive how and when a measurement of the achievement of the project benefits can be made.
The plan must also include recommendations on how to realise or improve benefits, or counter unexpected problems.

4.4 Lessons Learned Report

The purpose of the Lessons Learned Report is to pass on any lessons that can be usefully applied to other projects.

The data in the report should be used by a corporate group, such as quality assurance, who are responsible for the quality management system, in order to refine, change and improve the standards.

Statistics on how much effort was needed for products can help improve future estimating.

A18- A180 Link Road Resource Plan

Task	Main elements	Resource Identified
Scheme Entry	Programme Entry	NELC Transport Policy Team
	Prepare Final Approval Bid Documents	NELC Transport Policy Team/Consultant
	DfT review traffic model/BCR/MSBC	NELC Transport Policy Team/Consultant
Land Acquisition	Seek by agreement/options to purchase	NELC Estates
	Determine Licenses and Easements	NELC Estates
	Start CPO process	External resource
	Agree Land entry	NELC Estates
Legal	Prepare Side Road Orders/TRO's	Detailed designer/NELC Legal
	Issue CPO notices	External resource
	Organise Public inquiry	External resource
Planning	Prepare & submit Planning Application	Detailed designer/NELC Planning
	Prepare accompanying Environmental Statement	Detailed designer
	Issue Planning Notices	NELC Planning
	Determine planning application	NELC Planning
Surveys	Carryout Topographical Survey	North Lincs Council
	Carryout Geotechnical Survey	North Lincs Materials Lab
	Assess Crop damage	Detailed designer
	Noise assessments	Detailed designer
	Carry out Ecological Survey	Detailed designer
	Make Flood Risk Assessment	Detailed designer
Detail Design	Horiz/vert alignments	Detailed designer/NELC Engineers
	Earthworks	Detailed designer/NELC Engineers
	Drainage + lagoon + consents	Detailed designer/NELC Engineers
	Pavement	Detailed designer/NELC Engineers
	Culverts and minor structures	Detailed designer/NELC Engineers
	Street lighting	Detailed designer/NELC Engineers
	Traffic signs	Detailed designer/NELC Engineers
	Landscaping	Detailed designer/NELC Engineers
	Noise Insulation	Detailed designer
	Safety Audit	NELC Traffic Section
Peripheral Works	Pelham road	Detailed designer/NELC Engineers
	B1210/A1173	Detailed designer/NELC Engineers
Statutory Undertakers	Liaise with SU's	Detailed designer/NELC Engineers
Accommodation works	Field accesses	Detailed designer/NELC Engineers
	Boundaries	Detailed designer/NELC Engineers
	Environmental mitigation/ voles / nesting birds	Detailed designer/NELC Engineers
Contract Documents	Conditions of Contract	Detailed designer/NELC Engineers
	Specifications	Detailed designer/NELC Engineers
	Bills of quantities	Detailed designer/NELC Engineers
	OJ Notice	Detailed designer/NELC Engineers
	List of tenderers	Detailed designer/NELC Engineers
	Let contract	NELC Legal/Procurement
Public Involvement	Planning/SRO/TRO consultations strategy	NELC Legal&Planning/Detailed designer
	Scheme publicity	NELC Communications/ Detailed designer
	Public relations	NELC Communications/ Detailed designer
Scheme Evaluation	Before and after traffic surveys	NELC Transport Policy
	Noise surveys	Specialist consultants
	Air pollution	Specialist consultants