Lingnan University

Project Management Policy and Procedure

Revision History

Version	Prepared By	Approved By	Date	Revision
1.0	ITSC	Teaching, Learning and Information Services Management Board (TLISMB)	20 Feb 2014	Initial version
1.1	ITSC	Prof. Seade, Chairman of TLISMB (Chairman's action)	4 April 2014	Diagram 1 Revised

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OVERVIEW

Information Technology Services Centre (ITSC) is committed to continuously improve the delivery of information technology (IT) solutions within budget and scope, on schedule, and contributes to accomplishing the University's strategic mission. A unified Project Management Policy and Procedure promotes consistency and better control of IT projects, thereby reduces risks and increases the chance of project successes.

This Project Management Policy and Procedure is based on the worldwide accepted principles of the PRINCE2® methodology. It does not cover how to 'perform' project management. It does, however, include the procedures with various tools that can be used for the management of projects.

An IT project is defined as an endeavor undertaken by or on behalf of the university which:
  · Has clearly defined beginning and ending dates;
  · Provides suitable/appropriate technology products or services;
  · Classifies based upon cost and complexity;
  · Fulfills a defined business objective to improve business processes to a department or to the university; and
  · Incorporates improvements to the technology architecture through new or existing systems.

This document sets out how IT projects involving ITSC should be managed. Projects can be of varying size and complexity, some smaller size projects do not require the carrying out of every process.

This policy and procedure follows the threefold division of project management set out by PRINCE2: project initiation, project implementation and project closure. PRINCE2 recommends that each of these stages should be controlled with an emphasis on initiation. Past experience has shown that the better and more comprehensive the pre-implementation planning, the greater the likelihood of success.

PURPOSE

The expected outcome of implementing this standard is to increase IT project success through management commitment and implementation of a best practice based project management methodology, and the establishment of defined processes that measure and evaluate project progress throughout the project lifecycle.

This document describes the essential elements in the management of all projects.

The objectives of this policy and procedure are to ensure that:
· Projects are effectively managed within the limitations of scope, quality, resources (time and budget) and risk;
· Appropriate governance and control is established;
· Communication, quality and risk management plans are developed and executed throughout a project's lifecycle;
· Appropriate authorization and acceptance is established throughout the life of a project;
· Stakeholders communication are inclusive; and
· Post implementation reviews are conducted and actively used to improve the conduct of project delivery.

To achieve these objectives, the elements of this Project Management Policy and Procedure must be included in the initiation (planning), implementation (execution) and closure (sign-off).

The policy and procedure in this document help ITSC, with the participation of users, to deliver IT projects on scope and schedule. Project Management also helps to define the project scope, schedule, risks, budget, resources, status reports, and issue resolution.

SCOPE

IT projects involving ITSC that are considered to be "major" are to comply with this policy and procedure. The criteria for sizing a project and whether the project should be considered as "major" are determined and reviewed by the Information Technology Prioritization and Oversight Committee (ITPOC) from time-to-time. An example of the criteria is attached in Appendix 1.

POLICY STATEMENT

1. ITPOC is a business-led IT governance group that sets IT project priorities while the TLIS Management Board oversees the management and budget allocation for ITSC.

2. ITSC provides a complete list of projects including those AA&I projects approved by UGC, and system/service maintenance/upgrade to the ITPOC, so that the ITPOC would have a complete overview of the IT projects.

3. A "major" project requires a member of the University Senior Management to act as the Project Executive for the duration of the project, from initiation through to project closure.

4. A Project Mandate applies to whatever information is used to trigger the project. The Project Mandate should provide the terms of reference for the project and should contain sufficient information to identify at least the prospective Executive of the Project Board.

5. For non-ITSC IT project, a Project Mandate is to be provided by the requester and where appropriate, approved by the Department Head concerned.

6. A Project Manager must be appointed after the Project Mandate is authorized. Project outside of ITSC should normally have a Project Manager from a business unit/area who initiated the project request and has the knowledge, experience, skills and available time to manage the project.

7. Projects require the establishment of a Project Board and a Project Team under the guidance of a Project Manager at the planning phase.

8. Budget, risk and status reports must be sent to the Project Executive and included at Project Board meetings. Project management, communication, risk and quality plans are to be endorsed by Project Board.

9. Any major development changes affecting the scope, budget, and/or timeline should be referred back to the initiating requester and/or department, and where appropriate be re-submitted to ITPOC for priority setting.

10. All projects should include a business/user acceptance phase.

11. The Project Board, on advice from the Project Manager will determine the project closure.

12. A Post Implementation Review is to be conducted by ITSC in conjunction with the business users to ensure quality standards were met throughout the project implementation.

PROCEDURE

1. The ITPOC calls for project requests proposal submission by various offices and departments at regular intervals within each academic year. The proposal requestor is referred to as the Senior User.

2. The ITPOC meets on a regular basis to consider, evaluate and prioritize the requests.

3. A Project Board is formed for each project. The Board usually includes the Project Executive, Project Manager, key stakeholders, Senior User(s) and functional end users.

4. Appropriate ITSC staff member works with the Senior User to draft the Project Mandate.

5. The Project Mandate is refined to develop the Project Brief. A Project Brief incorporates the outline Business Case, Project Product Description and project approach. Project management team structure and role descriptions are also included.

6. The Project Manager, with the assistance from ITSC, prepares the Project Brief.

7. An approved Project Brief triggers the development of a Project Initiation Document by the Project Manager.

8. The Project Board shall endorse the Project Initiation Document.

9. The Project Manager reports regularly to the Project Board, keeps members informed of the progress and highlight any problems he/she can foresee.

10. A Project Team under the guidance of a Project Manager is to be established.

11. The Project Board provides the Project Manager with the necessary decisions for the project to proceed and to overcome any problems.

12. The Project Executive and Project Board approves Budget, End Stage Reports, Risk and Quality Registers.

13. The Project Board should approve all major development changes.

A diagram showing the high-level project management process can be found in Appendix 2.

ROLES AND RESPONSIBILITIES

1. The Director of ITSC is responsible for ensuring the Project Management Policy and Procedure is applied to all ITSC involved University Projects that are classified as "major". For "small" projects, the Director of ITSC acts as the Project Executive and reports to the TLIS Management Board directly.

2. A member of the University Senior Management acts as the Project Executive for each project.

3. A Project Executive is accountable for the delivery of the project and the ongoing outcomes after project completion. The Executive manages and influences stakeholders, ensures resources are committed, approves key deliverables, gives directions and makes recommendations when required, and owns the Project Mandate.

4. A Project Executive monitors progress regularly by conducting project status meetings with the Project Manager, Senior User(s), functional end users and other stakeholders.

5. At the time of setting priority, agreement should be sought from ITPOC on the Project Mandate, budget and timeline. A Project Board is to be formed to oversee each of the projects, ensuring that the project is being executed in line with the goals and objectives of the Project. The Board resolves any issues escalated by the Project Manager, reviews and assesses the current stage of the project flow.

6. A Project Board approves the appointment and responsibilities of the Project Manager. It approves all major plans and authorizes any major deviation from the agreed plan. It provides directions and guidance to the project to ensure it remains within specified constraints. It is responsible for signing off the completion of each stage and authorizing the start of the next stage. It ensures that required resources are committed and arbitrates on any conflict within the project.

7. A Project Executive (or Project Manager on behalf of the Project Executive) is responsible for the formation of Project Team, namely the Project Leader and Project Team members.

8. A Project Manager is responsible for all project documentations. This includes preparing project plan, updating relevant documents, performing management of risk(s) of the project and the development of relevant contingency plan(s);

configuration management with change control, project completion and production of lessons learned report.

9. A Project Manager is responsible for the Project Team from the initiating phase through to the closing phase. The Project Manager is the point of contact for the project and ensures each phase (plans, monitors and controls) is well managed.

10. A Project Manager performs the overall day-to-day management of the project to ensure project objectives are achieved with the time/cost/quality constraints, whilst managing stakeholder expectations. S/he also directs and motivates the Project Team.

11. Project Manager reports project progress to the Project Board to ensure the project's overall direction and integrity, and escalates issues/problems to the Project Executive and Project Board.

12. A Project Manager is accountable to the Project Board for matters related to the assigned project. The Project Board has single-point accountability for defining and creating a project solution which ensures realization of the required benefits articulated in the business case.

13. A Project Team undertakes project tasks and work packages, provides specialist and expert knowledge, and communicates any work issues to Project Manager.

14. A Team Leader takes direction from the Project Manager to create work packages, and prepares work plans for the team members with the agreement of the Project Manager.

15. A Team Leader reports to the Project Manager on the progress (include success and deviation), issues/problems, constraints, and risks. Team Leader enters all related changes and risks into the related log files.

16. A Team Leader motivates team members and monitors work to ensure quality control.

17. Team Members are responsible for the product delivery and identifying issues/ problems and risks.

18. Team members introduces new processes, whenever necessary, and develops a high level implementation plan and designs measures and feedback systems to ensure that the new processes work effectively.

19. Work Packages are documents that define the work that are required to be completed by the Project Team to produce products for the project, and are collated by the Project Manager.

20.   A Team Leader liaises with the Project Manager to define the start and end dates.

PROJECT STANDARDS

To ensure that quality is maintained throughout the project and to effectively manage all the documentation created throughout the project, configuration management is vitally important. Configuration management controls and tracks all documents and ensures the correctly authorized documents are being worked with, and the outdated documents are archived.

 Key to the success of any project and to configuration management is the "sign-off" on agreed specifications. It is vitally important that Stakeholders are aware of this sign-off and comply with this requirement. This prevents scope creep and allows changes to be easily managed.

A set of standard project management templates is listed in Appendix 3 with a link to allow easy access to each document.

REFERENCES

Appendix 1: Criteria for Sizing a Project

Appendix 2: The Project Management Process Diagram

Appendix 3: List of Prince2 Project Management Templates

Revised: February 2014

Appendix 1

Criteria for Sizing a Project

The size of the project is used to determine the extent to which project management practices are formally applied to the project. Project size is determined based on the level of complexity, project cost and risk.

Project management policy and procedures help ensure that projects can be completed in a structured fashion – on time, on budget and producing expected results. But one size may not fit all. All projects need a minimum of project management to ensure project success. However, project management process should not overtake the project. When applying the project management policy and procedures, we must consider differences in project size.

How to Size a Project

For each project, complete the following:

1. Fill in the 'Project Type Assessment Scoreboard' (Diagram 1);

2. Sum up to a 'Total Complexity Score' and a 'Total Risk Score'; and

3. Go to the 'Project Type Assessment Matrix' (Diagram 2), move along the x-axis using the 'Total Complexity Score' and then move along the y-axis using the 'Total Risk Score', where the two intercepts, the size of the project is defined.

Small Projects: Projects with complexity level < 20 and risk level < 20 (green squares in the picture below) are categorized as small projects.

Medium Projects: Projects with complexity level > 20 but <= 50 and risk level > 20 but <= 45 (yellow squares in the picture below) are categorized as medium projects.

Major Projects: Projects with complexity level > 50 and risk level > 45 (red squares in the picture below) are categorized as major projects.

ITSC will complete the Scoreboard for all projects requests, including both ITSC-initiated and requests from other offices/departments. Those projects categorized as 'Major Projects' will then be submitted to IT Priorities and Oversight Committee (ITPOC) for consideration and prioritization.

Prepared by ITSC (30 January 2014)

Revised by ITSC (4 April 2014)

Diagram 1

Project Type Assessment Scoreboard

Complexity Scorecard

1. Clarity of Scope	X	Score
Undefined, Vague Scope		10
Some Gray Areas		5
Clearly Defined		1
	Score	0

2. Compliance	X	Score
Legal		20
Cross Institution		7
Lingnan		3
None		0
	Score	0

3. Duration of Project	X	Score
> 9 months		10
3-9 months		7
1-3 months		4
< 1 month		1
	Score	0

4. Stakeholders	X	Score
> 6 departments		8
4-6 departments		5
2-3 departments		3
Single Department		1
	Score	0

5.Effort (Mandays)	X	Score
> 90		20
60-89		15
30-59		10
<30		5
	Score	0

6.Total Project Cost	X	Score
>HK$1,000,000		10
HK$500,001 – HK$1,000,000		7
HK$100,000 - HK$500,000		3
<HK$100,000		1
None		0
	Score	0

Total Complexity Score (max:78)	0

Risk Scorecard

1. Number of Systems to be Integrated/Affected by Project Implementation	X	Score
4 or more		10
2-3		7
0-1		3
	Score	0

2. Number of Users affected by Project	X	Score
500 or more		10
100 to 499		7
50-99		4
<50		1
	Score	0

3. Staff Skill Set	X	Score
Low		20
Medium		14
High		6
	Score	0

4. Technology	X	Score
New		20
Evolving		14
Proven		6
	Score	0

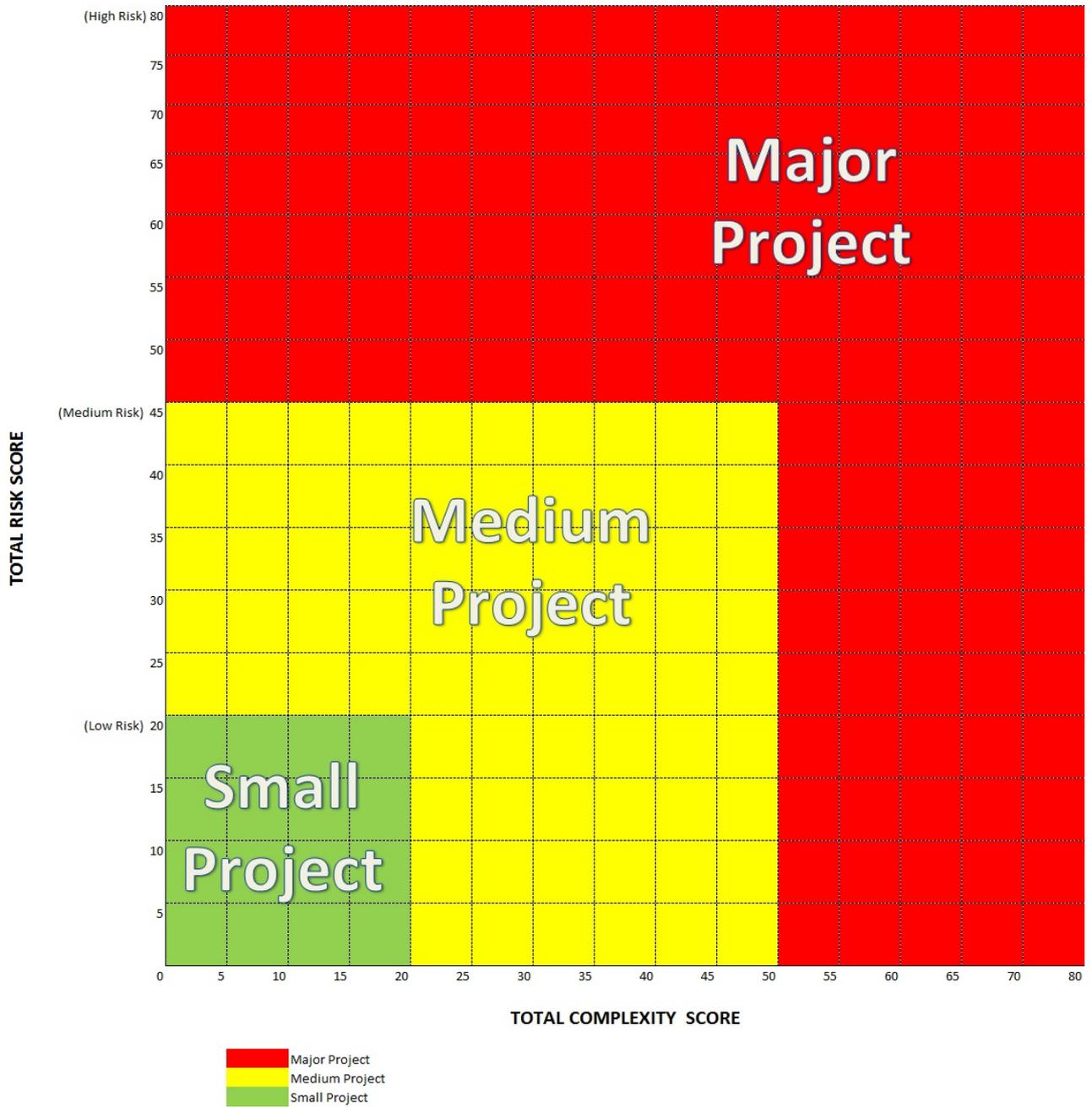| 5. Nature of Data (Migration, changes to data, Security issues with data)	X	Points
High (Complex data structure Changes required. Large number of systems and applications involved)		10
Medium(Moderate number of systems and applications involved)		7
Low (Small number of systems and applications involved)		2
None (No Data Affected)		0
	Score	0

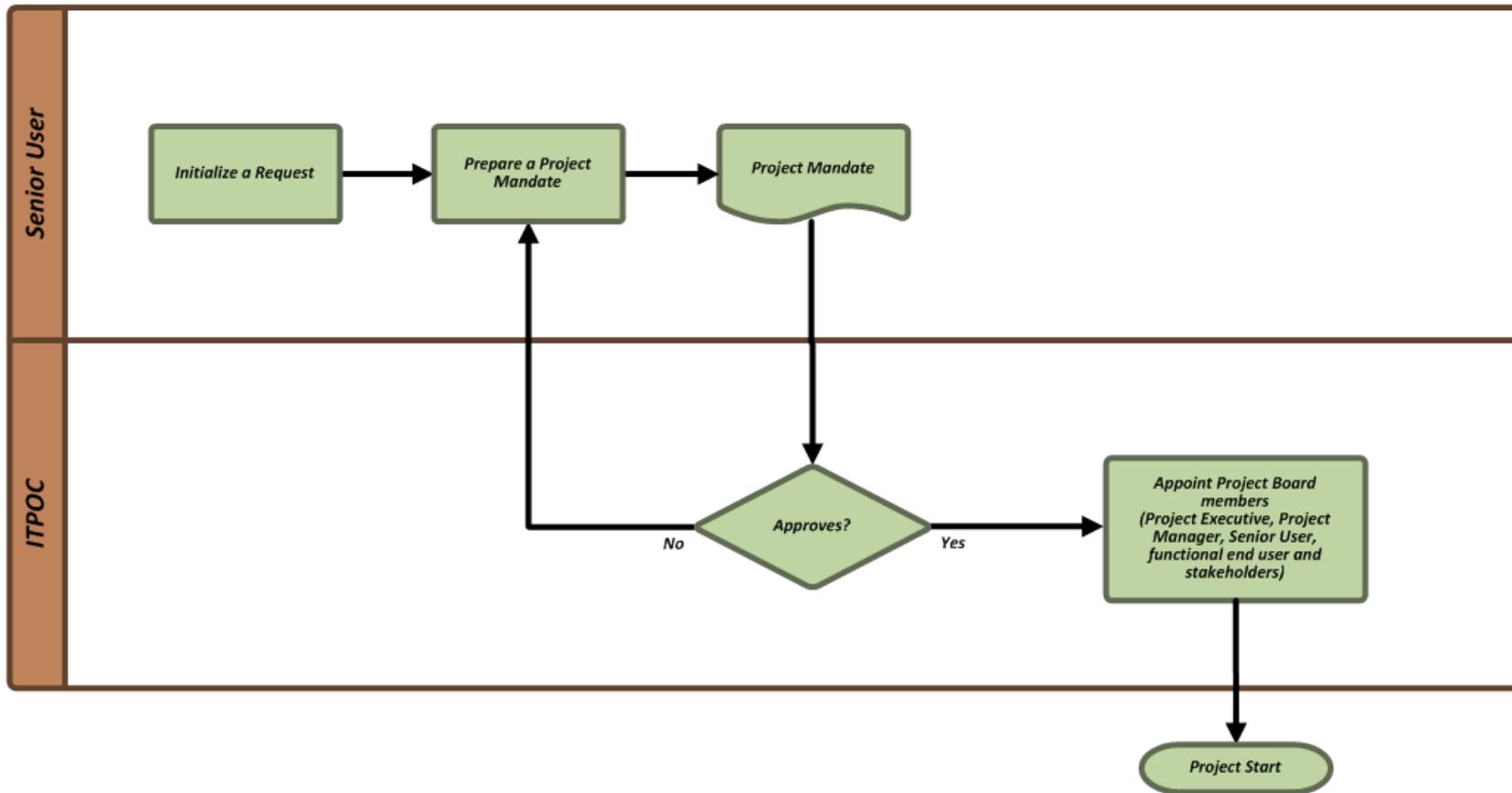| 6. Urgency (Project Deadline)	X	Score
Immediate Action		10
Very Urgent (High)		7
Urgent (Moderate)		4
Less Urgent (Low)		1
	Score	0

Total Risk Score (max:80)	0

Project Name : _____

Completed by : _____ Date : _____

Diagram 2

Project Type Assessment Matrix

The Project Management Process

The Project Management Process

Project Board

Project Start

Appoints Project Manager

Approve the Project Brief

Authorize Project Closure? — No / Yes — Project End

Project Manager

Appoints Team Leader and Members

Prepare Project Brief with Outline Business Case

Develop Project Brief with Detailed Business Case

Prepare Work Packages

Resolve issue/ risk arose (seek for PB's advice if necessary)

Perform Project Closure tasks

Team Leader and Members

Execute Work Packages

Encounter issue?? — Yes / No

Test and Accept? (by end users) — Yes / No

2

Appendix 3

A standard set of templates used throughout a project's lifecycle can be found below:

1. Project Mandate (S:\public\AllStaff\PM\Template\Project Mandate.doc)
2. Project Brief (S:\public\AllStaff\PM\Template\Project Brief.doc)
3. Business Case (S:\public\AllStaff\PM\Template\Business Case.doc)
4. Project Initiation Documentation (S:\public\AllStaff\PM\Template\Project Initiation Documentation.doc)
5. End Stage Report (S:\public\AllStaff\PM\Template\End Stage Report.doc)
6. Highlight Report (S:\public\AllStaff\PM\Template\Highlight Report.doc)
7. Lessons Log (S:\public\AllStaff\PM\Template\Lessons Log.xls)
8. Work Package (S:\public\AllStaff\PM\Template\Work Package.doc)
9. Issue Register (S:\public\AllStaff\PM\Template\Issue Register.xls)
10. Quality Register (S:\public\AllStaff\PM\Template\Quality Register.xls)
11. Risk Register (S:\public\AllStaff\PM\Template\Risk Register.xls)