Environment, Highways and Waste

Project Management Toolkit

2010/2011

Kent County Council

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1 Introduction

1.1 What is a project?

A simple definition of a project is: A process which has a definite **start**, **end** and **output**.

A project could be something which is not normally part of 'the day job' or something planned within a bigger programme of projects.

A 'programme' or 'programme management' is the process of managing several related projects. A project tends to deliver an output, such as a new office building or ICT system; a programme tends to create outcomes by combining a number of project outputs. So, combining a series of projects might deliver increased income or reduced operating costs.

1.2 Purpose of this toolkit

There are many project management techniques available to managers – PRINCE2 being a key one. However, these are often felt to be too involved and complicated for the size of projects we regularly seek to manage. So, we have been seeking to find something which will help us manage our projects, whatever the size, more effectively.

This toolkit was developed following a joint session between staff in Environment & Waste and colleagues from DEFRA, who devised a set of tools, based on PRINCE2 methodology, which had helped them to manage their projects more effectively and efficiently. Thanks therefore go to them and their consultants.

Rather than being added bureaucracy, it is hoped that this toolkit will give managers and staff at every level of the organisation the means of planning and executing projects so that they always (as far as possible) achieve their outputs. It is also intended as a means of clarity for, and support to, managers in managing a diverse range of projects and programmes.   It is not intended to replace PRINCE2 methodology and, where appropriate, managers will be encouraged to use PRINCE2 and to take the full PRINCE2 training if they are to be managing high risk projects on a regular basis.

1.3 Types of projects

Any project management system should be able to cope with different sizes and levels of projects. This toolkit can do just that. It can be used and scaled down or up for lower or higher risk projects as appropriate.

The following categorisation has been agreed to define the size of projects. These are just a guide and it is the role of managers to decide what level of project management is appropriate for individual projects. Each project manager needs to ensure that their line manager/Project Sponsor agrees the category of the project and what scale of business case, for example, they would need to see. For instance, projects that might be regarded as politically sensitive ought to follow the full process.

Low risk
- Likely to be lower cost, business-as-usual and/or part of a lower profile activity already agreed in the Business Plan
- Not likely to involve many internal or external partners, and have lower political interest or involvement

Medium risk
- Likely to be medium cost, part of a higher profile activity which may have already been agreed or identified in the Business Plan.
- May have some internal and/or external partners, and have some political interest or involvement

High risk
- Likely to be higher cost, higher profile activity usually having Member interest and greater involvement of procurement processes.
- More complex partnership involvement, particularly with external partners and external funding

Flow charts to indicate the increasing complexity of project management at these varying levels can be found at Appendices 1 and 2, and as you go through this approach there are tools to help you identify the risk category of your project.

2 The project management process

Every project, regardless of size, goes through a similar set of stages. The length of time each project will spend in each stage will vary. A low risk project will probably spend very little time in the initiation and agreement period, as it may already have been agreed in the Business Plan, but a new idea which is potentially a high risk project may need to spend much more time in this stage.

2.1 Issues you should consider before starting a project

Before starting any work on your project you need to consider what you have actually been asked to do and why you have been asked to do it. Ask yourself if this project is essential – part of your core work or nice-to-do? Have you much project management experience – have you done this kind of thing before? You need to find out if something like this has already been done and, if so, by whom and ask why you have been asked to do it this time – are you the best person to do the project, and can you do it more effectively than before? Also, find out if it is likely that this project will need to be done again or on a regular basis as that might change the way you do it.

2.2 Communication with others

You need to consider what effect your project will have on your stakeholders – customers, colleagues, partners, and others – and how you will consult and inform them of the progress and outputs of your project. Do you know what they would be looking for from your project and if you did, would that change what you are intending to do? How will you be keeping your customers informed about what is happening and the changes to the service they can expect as a result of this project? For further advice speak to your service unit communications officer.

2.3 Involvement and consultation with stakeholders

Consultation is a form of communication that invites a response to specific issues. Consultation may be very focused and involve a small number of people and a narrow range of approaches or it may be a large and complex process. Consultation helps to give people the opportunity to be heard. Community engagement can be valuable both to the individual and the project. Involvement and participation give an opportunity for our customers to influence the way we manage, develop and deliver the services we provide for them. Therefore, consultation should be considered as part of all projects undertaken by us. It is our statutory duty to involve, consult or inform our customers if we plan to make changes to our services. For further information and guidance on this please see KNet: http://knet2/policies-and-procedures/community-engagement/community-engagement#involve

2.4 Equality and Diversity

As part of KCC's commitment to equality and the Equality Framework for Local Government (EFLG), **Equality Impact Assessments** must be undertaken for all new policies, procedures, projects and services at the earliest opportunity. This is to ensure that everyone in Kent is treated fairly when using KCC services and that everyone has equal access and opportunity to the services we provide regardless of their age, disability, ethnicity, gender, gender identity, religious belief or sexual orientation.

Equality Impact Assessments are an essential part of the Risk Management process. A copy of the initial Equality Impact screening grid can be found at Appendix 3, and recommendations on where and how to use Equality Impact Assessments can be found on KNet under the Equality and Diversity section of Policies and Procedures: http://knet2/policies-and-procedures/equality-and-diversity

2.5 Environmental Performance and Climate Change

KCC is committed to reducing its impact on the environment and to achieving and maintaining accreditation to the international standard for Environmental Management, ISO 14001. The KCC Environment Policy sets out the authority's commitments and targets for achieving good environmental performance.

When planning your project you need to be clear whether it will support the policy or if there are aspects which may conflict with the policy (and thus present an 'environmental risk'). Where a risk is identified actions need to be taken to eliminate or mitigate the risk as far as is practicable. It is also important to identify where positive environmental impact will result.

A checklist has been put together to help you assess the environmental impacts of your project and how the project will help to fulfil KCC's policy commitments. This can be found at Appendix 4. If you need further advice on environmental issues, please contact the Sustainability and Climate Change team at scc@kent.gov.uk

2.6 Crime and Disorder

The decisions that KCC makes as an authority can have an impact on the level, or fear, of crime that communities experience. Section 17 of the Crime and Disorder Act 1988 requires all local authorities to develop strategies to tackle problems in their area and take account of crime and disorder in all of their forward planning, policy development and implementation processes.

Section 17 is not the duty of any one officer but that of all Councillors and staff and, as there is potential for our projects to make a positive contribution to the reduction of crime and disorder, you need to think about incorporating and reinforcing community safety in all your planned projects. Where appropriate, business cases, project plans, action plans and risk plans must record how you have taken account of the impact of crime and disorder and their prevention and detection.

2.7 Value for Money and Procurement

Most projects involve some kind of procurement and it is important that you follow the rules and process required by the Council. There may already be a framework or contract in place that you can procure against or you may need to be going through a formal tendering process. A full guide, *Spending the Council's Money*, can be found on KNet and a short guide to procurement can be found at Appendix 5.   Make sure that if you have included any estimates in your business case you update these as actual costs become known.   Expenditure should be monitored and reported regularly to ensure that you are in control of your costs.

2.8 Health and Safety

There is a legal requirement to consider health and safety (H&S) issues to be assessed on a start-to-finish basis for any project. This will require reasonable duty of care to be applied in ensuring any significant risk is identified and minimised. H&S risk assessments need to be undertaken as a project progresses since new tasks might present new risks. Planning a project may involve limited H&S risk but implementation may involve travel, lone working, physical work or exposure to unfamiliar environments, equipment and processes for staff. The outcomes or outputs of a project may present risks to the public or users where KCC's liability needs to be properly assessed. Risk assessments do not need to be long or complicated but should reflect the level of risk presented. The easiest way to carry out project risk assessments will be to carry out a generic assessment in the planning stage and review to make it more specific at each phase of the project.

Project Managers will also need to consider Construction design and management (CDM) regulations where appropriate. Everyone controlling site work has health and safety responsibilities. Checking that working conditions are healthy and safe before work begins, and ensuring that the proposed work is not going to put others at risk, require planning and organisation.

General guidance can be found on: http://knet2/policies-and-procedures/health-and-safety and http://www.hse.gov.uk/

More specific advice and guidance can be obtained by contacting the directorate health and safety advisors.

3 The stages of the project management process

There are **6** main project stages for most projects; not all stages will be appropriate to all projects, and stages will be as long or short as necessary for each project. The stages are:

PLAN	**Stage 1: Pre-project approval** – where a project idea is worked on further and initial approval is given either to proceed to delivery or to do more work on the idea.
	Stage 2: Project development – where a more comprehensive business case is worked on and approved.
	Stage 3: Project planning – where the project manager plans how to achieve the project.
DO	**Stage 4: Project delivery** – where the project activity is delivered, monitored and the progress of the project is regularly reviewed.
	Stage 5: Project closure – where the project is formally closed and any outstanding issues identified and assigned.
REVIEW	**Stage 6: Project review** – where the project's objectives are examined to see if they were actually realised.

Each project will involve a series of people who will have different roles and responsibilities. These are summarised below and more detail can be found at Appendix 7:

Project Manager – responsible for ensuring that the Project Team completes the project.

Project Sponsor - commissions others to deliver the project and champions it throughout its duration.

Project Board - oversees the progress of the project and reacting to any strategic issues and problems.

Project Team Members - staff who work on the project at any point during the life of the project; their role is to deliver work required by the project.

Project Administrator - maintains the project plan and other project documents, and provides administrative support to the Project Manager.

Cost Centre Manager - responsible for the budget from which the project funds have been allocated.

The following pages detail the processes you can use to manage your project, guidance on the governance required at each stage and what the next steps are at each stage.

3.1 Stage 1: Pre-project approval

Every project, low, Medium or high risk, begins with an idea for a change in activity, process or procedure, or for an event. Once you have an idea for a project to be further explored and considered, you should use the five questions framework contained in the Project Initiation Form to guide your thinking. This explores the *What*, *Why*, *How*, *Who*, *When* of the idea. Share your initial thoughts with someone else if appropriate to refine and test them (a 'project buddy'). A list of project buddies within EHW is available on KNet.

Project Initiation

- Revise and complete the **Project Initiation Form (Form 1***)* to create a first level business case for the Project, and give this to the Line Manager or Project Sponsor responsible for the project. A copy of this is at Tool 4.1. If however there is a local assessment scheme already in place, such as the Scheme Prioritisation System in KHS, then this can be considered as the business case. Nonetheless, the principles for delivery within this toolkit should still apply.

- You should now complete the **Project Assessment Spreadsheet (Form 2***)* to ascertain the category of the project (low, Medium or high risk).   A copy of this is at Tool 4.2. This will determine the level of project management needed – this should be agreed with the Project Sponsor.

Impact Assessments

At this stage it is also important to undertake impacts assessments of how your project will affect a diverse range of people, the environment and impact on other agendas such as health and wellbeing.   The results of these assessments will feed into the business case and can lead to specific actions in your project plan. These assessments should be stored in the project filing.

- **Customer Impact Assessment (Form 3)** - Equality Impact Assessments are an essential part of the Risk Management process and a screening grid can be found at Appendix 3 to start this process. Some Medium and all high risk projects are likely to require a full impact assessment and details of this and a flow chart outlining the process can be found on the EHW KNet pages under the Equality and Diversity section of Policies and Procedures.

- **Environmental Assessment (Form 4)** - As part of the commitment to delivering action on Climate Change, KCC's Environment Policy states that we will integrate environmental considerations into our decision making and 'climate proof' them. Completing the assessment at Appendix 4 will enable you to be clearer about how your project will impact on the environment and start you thinking about what action you need to plan into your project.

- **Crime and Disorder -** EHW supports KCC's policy to ensure that Kent residents and their families can live their lives in security and safety by reducing crime and the fear of crime.   It is also our duty to comply with Section 17 of the Crime and Disorder Act 1998. Recording how you have taken account of the impact of crime and disorder and their prevention and detection is essential in your project planning.   Therefore, where appropriate, your business cases, project plans, action plans and risk plans must record how you have taken account of the impact of crime and disorder and of their prevention and detection.

Governance

- The line manager (from now on referred to as the Project Sponsor) agrees and signs off the Project Initiation Form and the project can proceed to the next stage.

Next steps

- For a low risk project, the Project Initiation Form, if agreed and signed by the Project Sponsor, is the project's business case and constitutes project approval and the Project Manager can move directly to Stage 3, Project Planning.

- For a Medium or high risk project, further work will be needed to develop the business case, particularly where spend is likely to be more than £50k. For these kinds of projects, the Project Manager should move to Stage 2, Project Development after getting a signed Project Initiation Form.

- For Medium and high risk projects, details need to be entered on to the directorate Project Register. Projects outside of this criteria may also be entered on to the register if specifically requested by the Project Sponsor.

  Project details should be emailed to Nannette McAleer for E&W and IS&P and Paul Denman/David Thomas for KHS for inclusion on the directorate Project Register. These projects may be called to a Service Management team meeting or the Directorate's Senior Leadership Team (SLT) for scrutiny. The Project Register will be regularly updated and checked.

> ✍ **Stage 1 Checklist***
>
> Tools and processes you should use at this stage (as appropriate to the level of your project):
>
> | Tools/process | Tick as completed (or NA) |
> |---|---|
> | Project Initiation Form (PIF) completed (Form 1) | |
> | Project Assessment spreadsheet completed (Form 2) | |
> | Entry on to the directorate Project Register if appropriate | |
> | Agreement to move to next stage (signed PIF) | |
> | Equality Impact Assessment (Form 3) (Appendix 3) | |
> | Environmental Assessment (Form 4) (Appendix 4) | |
> | Crime and Disorder considered | |

* Full checklist of all stages can be found at Appendix 6.

3.2 Stage 2: Project Development

Having received initial agreement from the Project Sponsor for the project to progress, further work on developing a 'business case' will be required for Medium and High risk projects.

(For a low risk project, at this point, proceed to Stage 3 Project Planning)

For Medium and High risk projects you can use the following tools:

- The *22 Questions* to further clarify the business case (**Form 5**).
- *Outcome* and *Risk Mapping* tools to clarify what the project is seeking to deliver and identify the key risks in the project (**Form 6 and 7**);
- A full business case will be required for any project intending to spend £50k or more (**Form 8**).

Stakeholder involvement

If you have identified that your project will have a lot of stakeholders and their expectations might be quite varied, it would be helpful to have a stakeholder needs assessment or plan to list the stakeholders and for each one to identify:

- · what objectives they might want to achieve through your project
- · how supportive they might be to the stated project objectives
- · the level of influence they would have on the project
- · how best to involve them in your project and communicate with them

This information can be used to inform your communication and involvement plan in Stage 3.

Governance

- Submit the Business Case and supporting documents to the Project Sponsor or to a Project working group or board. The size and membership of a Project Board will be dependent on the project but could include line manager, grandparent, an external challenger (possibly Finance or other). See Appendix 7 for an explanation of roles.

- The Project Sponsor or Project group will now consider the business case for the project. The decisions at this stage are:

  - · Is there a robust business case for this project to deliver its objectives?
  - · If yes, who should be the Project Manager?
  - · Does the project fall into specific phases which need to be separately monitored and reviewed?
  - · What reporting and review mechanisms are required by the Board?

  If they agree that there is a robust business case, they will approve that the project can proceed.

Next Steps

- Once you have written approval for the project to go ahead from the Project Sponsor or Project Board, move to Stage 3, Project Planning.

✍ Stage 2 Checklist

Tools and processes you should use at this stage (as appropriate to the level of your project):

Tools/process	Tick as completed (or NA)
22 Questions completed (Form 5)	
Full business case (Form 8) (if required)	
Outcome Map (Form 6) (if required)	
Risk Map (Form 7) (if required)	
Agreement to move to next stage (Business Case signed off)	

3.3 Stage 3: Project Planning

Once project approval has been granted, if the project is complex you may need to put together a team to deliver the project and agree project roles (see Appendix 7). Results from the *22 Questions* and from any outcome and risk mapping work would be useful at this stage.

Project Planning

For **all** levels of project a **Project Plan (Form 9)** needs to be prepared to show (all from the initial planning phase):

· What you are intending to achieve (the project objectives),
· Key milestones
· Key deliverables

Then the project needs to be broken down into tasks: –

· Take each strand of the work and keep dividing it up until you get to a chunk of work for which someone can take responsibility.
· Assign that responsibility to a member of the project team or someone who can deliver that task for you.
· Work out the dependencies between the strands as you work through the list of tasks i.e. what strand/task needs to be completed before you can move on to tackle another strand/task.
· Estimate how long each task will take.
· What the expected outcome is for each task.

For a low risk project, a simple list of tasks showing dates and who will deliver the tasks may be all that you need as your project plan.

In putting together the project plan, you can use a critical path technique or timeline – plotting what needs to happen when and noting the dependencies (what has to happen before something else etc).

The information can also be put into a Gantt chart format as it will often help to show the dependencies and links between the parts of the project. The Gantt chart can be a simple Excel spreadsheet or table with the timescale across the top and the actions listed down the side or a chart produced in MS Project if available.

	Week 1	Week 2	Week 3	Week 4	Week 5
Action 1					
Action 2					
Action 3					
Action 4					
Action 5					

Use different colours for different strands of work and arrows to indicate links or dependencies.

For Medium and High risk Category projects, a **Risk Management Plan (Form 10)** should also be prepared at this time. For each risk that could effect the delivery of the project you need to, (using the matrix below):

· Assess the Likelihood of each risk (Very unlikely to very likely)
· Assess the Impact of each risk (Minor to Major)
· Give each risk a score (see grid)

			1	2	3	4	5
Likelihood	Very likely	5	5	10	15	20	25
	Likely	4	4	8	12	16	20
	Possible	3	3	6	9	12	15
	Unlikely	2	2	4	6	8	10
	Very unlikely	1	1	2	3	4	5
			1	2	3	4	5
	Risk Matrix		Minor	Moderate	Significant	Serious	Major
			Impact				

Your Risk Action Plan should set out the action to be taken to eliminate, mitigate or manage the risk. More work will need to be done for risks with higher scores.

For further, comprehensive help and guidance on Risk Management, see the Risk Management Toolkit on KNet: http://knet2/policies-and-procedures/internal-audit/riskmanagement1/BUSINESS%20RISK%20MANAGEMENT%20TOOLKIT%20%20 revision%2009.doc

For Medium and High category projects you will need to prepare a **Communication Plan (Form 11***)* which sets out:

· What you want to achieve with your communications
· Key messages – 4-5 messages explaining purpose of your project and other matters relevant to your audience
· The audiences you want to reach
· What resources you have (money, people, etc.)
· Your action plan with details of the communication tasks (what communication, who will do it and a deadline)

For higher category projects the *8 Common Causes review* **(Form 13)** should also be considered at this stage. This has been created using the common causes of project failure identified by the National Audit Office and the Office of Government Commerce. It is a helpful self-check list to ensure that the project has covered these main areas of possible failure. It is recommended that the Project Manager completes this review at the beginning of the project and shares it with the Project Sponsor. It will help to identify any potential problems early on and solutions which might be proposed to deal with them.

Governance

▪ Submit the *Project Plan, Risk Management Plan* and *Communication Plan* to the Project Sponsor/Project Board for agreement. The deliverables, reporting and review timetables and formats (monthly report, project team meetings etc.) should

also be agreed at this time. Project appraisal date(s) and post implementation review should also be agreed. The Project Sponsor/Project Board should agree who will undertake any reviews during the life of the project and which ones will be used.

Next steps

- Now that you have your plans in place, you will start delivering the project itself and move to Stage 4, Project Delivery.

✍ Stage 3 Checklist

Tools and processes you should use at this stage (as appropriate to the level of your project):

Tools/process	Tick as completed (or NA)
Project Plan completed (Form 9)	
Time line/GANTT chart (if required)	
Risk Plan (Form 10) (if required)	
Communication Plan (Form 11) (if required)	
Review: 8 Common Causes completed (Form 13) (if required)	
Approval to move to next stage (Project plan agreed)	

3.4 Stage 4: Project Delivery

The project manager and project team (if there is one) will now be engaged on delivering the project itself. It is important that the actions in the project plan are monitored regularly to ensure that the project remains on course for delivery. The project may need to be broken down further into areas of work and further plans prepared to show how the work will be delivered.

Keeping track

- A shared drive folder should be set up, with access enabled for all project team members, to store all project management information – the Project Initiation Form, Business Case, Project Plans etc.

- Some form of **Activity Log (Form 12)** should be used to record actions taken. If appropriate, each project team member could have their own log, held on a shared drive, to note actions taken on their strand of work. This will help them to be clear where they are in the process and would enable another project team member to pick up that strand if the original team member were unable to continue. It will also help to provide information to the project manager when they produce the regular progress reports. The project manager could also use them to prepare for progress meetings.

- A **Lessons Learned Log (Form 17)** should be updated throughout the project. This information will help when completing health check reviews and closing the project.

    The Task Manager function in Outlook is a useful way to record actions, particularly for simpler projects.

- The Project Manager should have regular ***reporting meetings*** with those delivering the project to check on progress. Frequency will depend on the size and nature of the project. At these reporting meetings the Project Management Plan, the Risk Management Plan and any other subordinate task plans should be monitored for progress and action proposed to deal with any deviations from the plan. The Project Manager will also meet with the Project Sponsor and/or Project Board to report progress and agree any variations to the business case. Project progress and outputs/outcomes should also be shared with any stakeholders and consultees in a timely manner.

- At the end of Stage 2 for higher risk projects, the Project Board/Project Sponsor may have agreed the key phases for the project. This will depend on the size and nature of the project but ***interim reviews*** could be conducted before committing major expenditure, mid-way through the project, after delivery of major equipment or changes to the service.

    For low risk projects this could be a simple cross check with the initial five questions to check that the project is on track with its original brief, and could be a conversation between the line manager and the project manager. For a Medium category project the ***22 questions*** format could be used again to examine whether the project is on track to deliver its outputs – the line manager and project

manager might want to enlist a third person here to help them 'critically' examine the project.

Any subsequent interim reviews could use the ***Health Check*** **(Form 14)** template. These Health Checks should be conducted by an officer (or officers if the project is high risk) from outside the project team and immediate service area – a *Reviewer*. The Reviewer will go through the project with the Project Manager, Project Team and stakeholders to examine the process of the project and to see whether the original vision and objectives of the project are likely to be delivered. The number and timing of Health Checks should be agreed between the Project Sponsor and Reviewer.

Governance

- Some Medium or High risk projects may be chosen by a Service management team or the Directorate Senior Leadership Team (SLT) for review. There may be two kinds of review:

  1. A number of projects may be chosen for written updates from project managers to be circulated to the appropriate management team on a specified timetable.

  2. A selection of key projects could be chosen for personal update to the management team on a quarterly basis. The project manager may be required to supply:

     - Business case
     - Progress report
     - Supporting plans, expenditure reports
     - Lessons learned report (if project completed)

Next Steps

- At some point during this stage you will be clear that the work to complete your project is coming to an end and you will need to close the project. At this point move to Stage 5, Project Closure.

- Project Managers should also bear in mind that if the impact on the customer, environment or crime and disorder has changed significantly since initial assessment as at stage 1, they may need to revisit these to make sure their initial thoughts are still applicable.

✍ **Stage 4 Checklist**

Tools and processes you should use at this stage (as appropriate to the level of your project):

Tools/process	Tick as completed (or NA)
Project Activity Log (Form 12) (if required)	
Lessons Learned Log (Form 17)	
Reporting frequency and formats agreed	
Review: Health check frequencies agreed (if required)	
Health Check review(s) undertaken (Form 14)	
Management Team Review process agreed (if required)	

3.5 Stage 5: Project Closure

At an appropriate point the Project Sponsor/Project Board will need to agree that the project is now completed and closed. For low risk projects it will simply be an acknowledgement that the project has ended and that anyone responsible for the continuing maintenance of the project deliverable is aware that it is now their responsibility. For Medium category projects this might also be sufficient. However, for some Medium and all High risk projects the Project Manager should present a completed **Project Closure Form (Form 15)**, **Post Project Review (Form 16)** and a **Lessons Learned Log (Form 17).**

Post Project Review

- The purpose of a Post Project Review is to examine how the project delivered its objectives and records anything learned from the project that can be shared with other project managers to the benefit of the organisation.

  The Post Project Review highlights what went well in the project, showing how well the project dealt with things that did not go so well and showing how project management processes and techniques were applied. This can help future project managers to ensure they make use of (or indeed improve on) those things that worked well, and avoid making the same mistakes.

  The Project manager has overall responsibility for completion of the review, but information can come from anyone involved with the project. To ensure that lessons are captured throughout the project's life it is useful if you record them on the Lessons Learned Log as they arise.

Governance

- The Project Board/Sponsor will sign off the closure and should examine the post project review findings. The Board/Sponsor should then agree a date for a **post-implementation review** to take place to ensure that the objectives of the project are still in place (if appropriate).

Next steps

- The Lessons Learned Log should be sent to your Business Development Manager (or equivalent) who will be the keeper of the Lessons Learned Log.

✍ **Stage 5 Checklist**

Tools and processes you should use at this stage (as appropriate to the level of your project):

Tools/process	Tick as completed (or NA)
Project Closure form completed (Form 15)	
Post Project Review completed (Form 16)	
Lessons Learned Log completed (Form 17)	
Date for post-implementation review agreed (if required)	
Project closed (Project sponsor/board signs closure form)	

✍ **Stage 5 Checklist**

3.6 Stage 6: Post Implementation Review

For High and some Medium risk projects a post implementation review should be undertaken to find out if the project is continuing to deliver what it set out to do in its business case. It will also help the service to learn from the outcome of consultations and evaluations and ensure that the results have a real influence on decisions, policy, service development and future projects.

This review will be commissioned by the directorate Senior Leadership Team (SLT), Project Board/Sponsor or another senior officer. An independent officer should use the **Post Implementation Review (Form 18)** as a basis to examine whether the project outputs have been sustainable and delivered the required changes, etc. The results will be fed back to the commissioning manager (SLT, Project Board, etc). Any lessons learned should be added to the Lessons Learned log and resubmitted to the appropriate Business Development Manager.

✍ Stage 6 Checklist

Tools and processes you should use at this stage (as appropriate to the level of your project):

Tools/process	Tick as completed (or NA)
Post Implementation Review completed (Form 18)	
Lessons learned fed back	

4 Project Management Tools

The following pages contain the tools you can use to manage your project as described in the sections above.

4.1 Stage 1: Form 1 - Project Initiation Form

Proposed Project Name:

Submitting officer:

What?	
- Do you want to achieve? - Changes do you want to make? - Are the benefits? - Happens if we do not do it? - Are the risks?	
Why?	
- Do you want to do the project? - Do you want to make the changes? - Now?	
How?	
- Are you going to do it? - How else could this be achieved? - Are you going to consult/inform your stakeholders? - Much will it cost? - Will it be paid for? - Sustainable is this?	
Who?	
- Will you need to inform or consult? - Will be involved as part of the project? - Will make the changes? - Are potential partners?	
When?	
- Do you want to do it? - Is the deadline?	

Line manager's comments:

Agreed/rejected:

Line manager's signature:

Name and Job Title:

Date of consideration:

Level of Project Management required: Low / Medium / High

Name of Project Manager:

4.2 Stage 1: Form 2 - Project Risk Assessment Spreadsheet

Summary:

Programme / Project Details:	
Programme / Project name or title:	
Programme / Project Description:	
Date of issue of this sheet:	
Date of current update / version number:	

Programme / Project Manager	
Name:	
Job Title:	
Address:	
Telephone Number:	
Mobile number:	
E-mail Address:	

Overall Risk Assessment		
	Maximum Score	**Allocated Score**
Strategic Context	22	
Technical Factors	15	
Business Impact	32	
Delivery Capacity	14	
Total	**83**	
Project Assessed as*		

Risk Thresholds for projects: Score of 41 or more = High risk
Score of 21 to 40 = Medium risk
Score of 20 or less = Low risk

- If the programme / project is assessed as low it is likely to be low cost, lower risk, business as usual activity, part of a low profile activity already agreed in the Business Plan. It is not likely to involve many internal/external partners and have low political interest or involvement. So, using the 5 questions in the Project Management Toolkit and sign off by the Line Manager should be sufficient for this type of project.

- If the programme / project is assessed as medium it is likely to be medium cost, medium risk, part of a higher profile activity which may already have been agreed / identified in the Business Plan. It may have some internal / external partners and some political interest / involvement. So, you may be able to use the 5 questions and get sign off from the Line Manager, although it is more likely that the 22 Questions will need to be answered.

- If the programme / project is assessed as high it is likely to be high profile, high risk, possibly with Member interest and greater involvement of procurement processes. It is likely to have more complex partnership involvement, particularly with external partners and external funding. It is likely that the 22 Questions from the Project Management Toolkit will need to be answered as a minimum as the project will be more complex to deliver

NB: Any Project over £50k will require Business Case sign off by an authorised signatory

	Strategic Context		
No	**Question**	**Options**	**Score for question**
1	What is the complexity of stakeholder involvement?	☐ Small number of stakeholders (score 2)	
		☐ Wide range of stakeholders (score 4)	
		☐ Stakeholders still to be identified (score 6)	
2	To what extent is the project dependent on and connected to other projects and wider organisational changes?	☐ Stand alone project (score 0)	
		☐ Depends on another authority initiative (score 2)	
		☐ Depends on cross-cutting initiative (score 3)	
		☐ Legislative requirement (score 4)	
3	To what extent is the project politically sensitive – T2010, NIS, LAA etc.	☐ Not linked (score 2)	
		☐ Important (score 4)	
		☐ Essential (score 6)	
4	What risk to delivery is there regarding stakeholder's acceptance or sign up to the project?	☐ Low risk - community & political agreement (score 2)	
		☐ Medium risk - Community & political sign-up likely with close liaison (score 4)	
		☐ High risk - Politically sensitive and requires careful liaison (score 6)	
Total Score for Strategic Context			

Technical Factors			
No	**Question**	**Options**	**Score for question**
5	To what extent does the programme/project depend upon the implementation of an innovative solution to meet the business requirement?	☐ Proven solution, proven application (score 1)	
		☐ Proven solution, new application (score 2)	
		☐ New solution, proven application (score 3)	
		☐ Unproven approach (score 5)	
6	To what extent will the project need to develop interfaces to existing IT systems and processes?	☐ Not applicable (score 0)	
		☐ Standalone – no integration (score 2)	
		☐ Data migration & some links (score 3)	
		☐ Extensive links (score 5)	
7	To what extent are there key components to the project outside KCC's control (e.g. land purchase or access to site / building or approvals/legal process required)?	☐ Limited risk - Project is not dependent on components outside of KCC control (score 0)	
		☐ Medium risk - Some dependency but processes in place for approvals (score 3)	
		☐ High risk - Project is highly dependent on factors outside KCC control and outcome uncertain (score 5)	
Total Score for Technical Factors			

Business Impact			
No	**Question**	**Options**	**Score for question**
8	What are the financial implications of the project i.e. the cost to deliver & anticipated business benefit /	☐ Low cost implication - less than £50k (score 1)	
		☐ Medium cost implication - £50k to £500k (score 3)	
		☐ High cost implication - more than £500k (score 8)	
9	Number of people affected within organisation	☐ Less than 10 staff (score 1)	
		☐ 10 to 50 staff (score 2)	
		☐ 51 to 100 staff (score 3)	
		☐ More than 100 staff (score 4)	
10	What impact will the project have on the organisation's business processes both during its development and after implementation? (Select all that are applicable)	☐ Not significant (score 0)	
		☐ New Business Process (score 4)	
		☐ Significant organisational restructuring & re-training (score 6)	
		☐ Transfer of staff / outsourcing (score 8)	
11	What will the impact of the project be on service users?	☐ Internal impact only (score 2)	
		☐ Some changes to an existing service (score 4)	
		☐ Major changes to an existing service (score 6)	
		☐ New service (score 8)	
12	How complex are the contractual or procurement arrangements?	☐ Not applicable (score 0)	
		☐ Single supplier with contract in place (score 1)	
		☐ Single supplier without contract in place (score 2)	
		☐ Multiple suppliers with contract in place (score 3)	
		☐ Multiple suppliers without contract in place (score 4)	
Total Score for Business Impact			

Delivery Capacity			
No	**Question**	**Options**	**Score for question**
13	What is the allocated project team's experience of successful delivery of this type of programme / project?	☐ Experienced Team (score 1)	
		☐ Team with some experience (score 3)	
		☐ Team with limited experience (score 6)	
14	Has the authority allocated adequate resource to the project yet?	☐ Fully resourced (score 0)	
		☐ Most key posts filled (score 2)	
		☐ Posts to be allocated (score 4)	
15	Has the supplier (who will help deliver the project) allocated the agreed resource to the project?	☐ Fully resourced (score 0)	
		☐ Most key posts filled (score 2)	
		☐ Posts to be allocated (score 3)	
		☐ Supplier not involved at this stage (score 4)	
Total Score for Delivery Capacity			

4.3 Stage 2: Form 5 - The 22 Questions

Project name:

Project manager:

Vision	
− What is our vision for this project?	
− Is this in line with our core business?	
Stakeholders	
− Who are they?	
− What outputs are the priority stakeholders looking for?	
− How will you engage with and feedback to your stakeholders?	
Scope	
− What is the scope of this initiative - what are we prepared to do?	
Success	
− What are the critical success factors?	
− What has to be in place to make this a success?	
Products of the project:	
− What are we going to have to produce?	
Others:	
− What do we need from others?	
− How big are these things?	
− What sequence do they need to be done in?	
− What resources do we have available?	

Risk Management:	
– What assumptions are we making?	**30**
– What are the constraints?	
– What are the barriers to success?	
– What are the likely consequences and side effects of our success?	
– Who or what is likely to be disadvantaged by our success?	
– What are they likely to do that would cause problems?	
– What are the potential risks if engagement and consultation is not carried out?	
– What are the likely probability and impact of each risk?	
– What should we do to reduce the probability and or impact?	
– What contingency arrangements do we need?	

– What is the PLAN? (What next?)	

4.4 Stage 2: Form 6 - Outcome Mapping

Outcome mapping can help you to identify the benefits of your projects and identify what people are expecting to see happening as a result of your project (i.e. what their expectations of your project are).

Using flip charts or PostIt^{TM} notes to record the answers:

- ➢ **Step 1.** Firstly you need to ask: *In what ways do we want the world/the service/etc. to be different as a result of this project/initiative?* (Using words like 'better', 'improved', 'cleaner', 'more', 'quicker', 'achieved', etc.)

  For example:

  More people travelling by public transport, quicker journey times, Government targets achieved, cleaner air, etc.

  These are the outputs or benefits of your project

- ➢ **Step 2.** Add in anything that might be different as a result of achieving those aims – both positive and negative consequences

  For example:

  More people travelling by public transport might lead to worse overcrowding on trains/buses or longer queues at bus stops and also fewer cars on the road

  These are the further outputs or further benefits of your project

- ➢ **Step 3.** Add in what you will need to do to achieve your outputs outlined in 1 above

  For example:

  Better timetable information might be one of the things that you need to get more people travelling by public transport.

  These are the project inputs that you will need to deliver in order to make the benefits happen

The next page shows an example of an outcome map used to revise this Project Management approach.

Project Management Task and Finish Group - **OUTCOME MAP**

Knowing what Project Managers want/need

Knowing what others use and do – in KCC and outside

Scrutiny process

Easy to use tools

Training in use of tools and process

Simple process

Revised set of tools and process for managing projects and training in use of approach & process

Successful projects, delivered to time & budget

Greater understanding of project management in Directorate

Projects stopped where not viable

Greater understanding at senior management level of our projects

Improved reputation

Greater trust by others – trusted to deliver big capital and other schemes

More money allocated or easier to get money allocated?

| Step 3: The project Inputs | The Project | Step 1: outputs of your project | Step 2: Further outputs of your project |

4.5 Stage 2: Form 7 - Risk Mapping

You can use a similar technique to Outcome Mapping to identify the risks of your project, what might happen as a result (the consequences) and where that risk originates from (the sources of risk).

Using flipchart paper and PostIt^{TM} notes to record your answer:

➢ **Step 1**. Ask what the risks of your project are

For example: the new software is not acceptable to users, or the project comes in over budget.

➢ **Step 2**. Then ask what the consequences of these risks are

For example: The new software is not acceptable to users may lead to the new software not being used; or the project comes in over budget may lead to other projects being delayed.

➢ **Step 3**: Then add in further consequences of these consequences

For example: Other projects have to be delayed may lead to Loss of money for future projects.

➢ **Step 4:** Now add in what might be the cause or source of the original risk

For example: The new software is not acceptable to users might be caused by lack of clarity by the users on what they want from the software

Show the 'cause and effect' relationships by drawing arrows between them.

There may be more than one risk from one source – link them with arrows.

There may be many consequences from one risk – show them all.

A simple example of a risk map
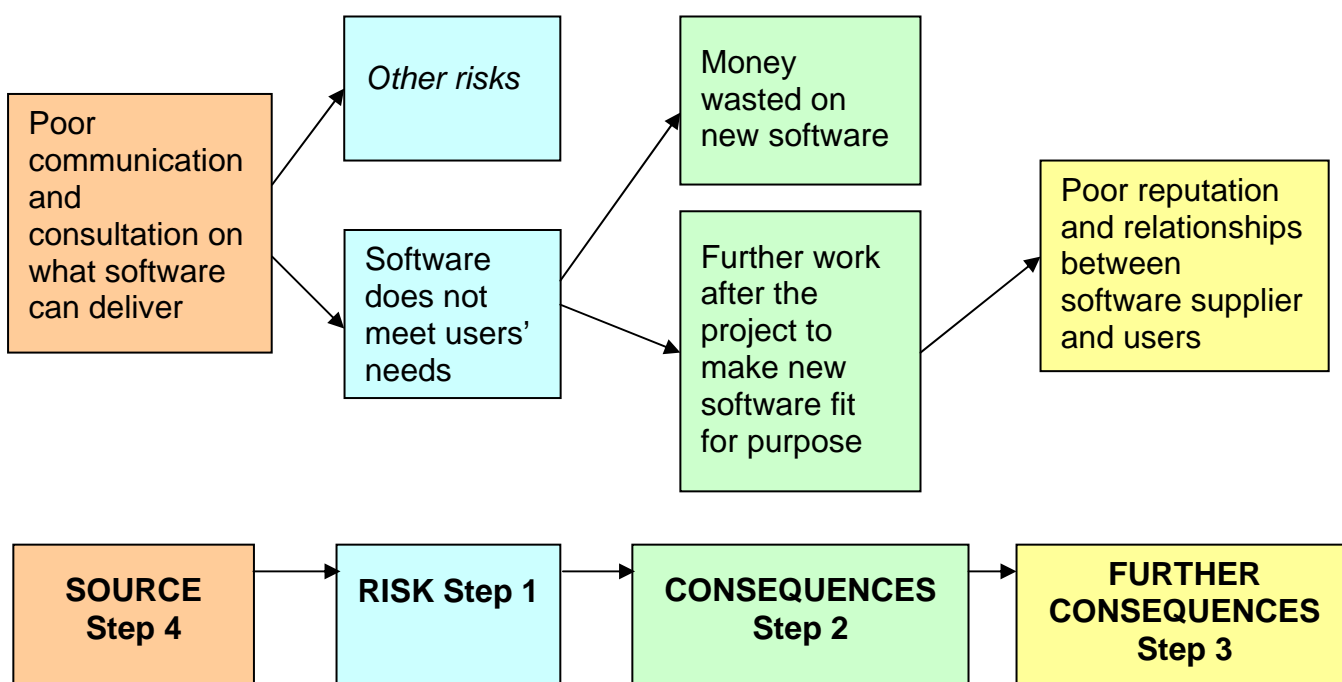
4.6 Stage 2: Form 8 - EHW Business Case and Financial Appraisal

ENVIRONMENT, HIGHWAYS & WASTE

BUSINESS CASE AND FINANCIAL APPRAISAL

Name of Project:

Project Manager:

Budget Manager:

EHW Finance Rep:

Proposed Start Date:

Expected Completion Date:

Likely Cost: **(one-off)**
                                    (annual)

Introduction and vision

Introduction to what the project is all about, where the idea has come from etc. What are the key benefits of the project? Is it a project designed to bring income into the Service or to change a way of working, etc? State what the end product(s) will be.

Rationale and Objectives

Why do you need to do the project or make the changes? What happens if we don't do it? Has something similar been done before? What are the objectives of the project?

Timescale and Methodology

When do you want to do it – possible project start and finish dates? Why do the project in the timescale specified/why now? How are you going to do the project?

Beneficiaries and stakeholders

Who will be affected by or benefit from the project? Who are the key stakeholders and consultees?

How have the users' and other stakeholders' needs been evaluated? Have the objectives and success factors been agreed with the stakeholders? What were the results of the Customer Impact Assessment and what equality and diversity issues have been or need to be considered?

Resources required

Briefly what resources will be required? Is there existing budget for this and where will it come from? Is there capital spend involved? Is pump-priming money required? Is partnership money involved?

Measures of Success

What will success look like – what are the critical success factors? How will you know that your project has been a success? What indicators will you use to measure this? What are the expected and potential effects and outputs as a direct or indirect result of the success of this project?

35

KCC Objectives

How does this project link to any of KCC's major strategies or objectives (Vision for Kent, Towards 2010, PSA2, Supporting Independence, etc.)? What business plan objectives does this project meet (e.g. Managing Kent's Waste, Changing Attitudes and Behaviours to our Environment, Conserving and enhancing Kent's Countryside, Coast and Heritage, etc)?

Management Team

Who are the proposed management team for the project?

Project Sponsor:

Project Board Members:

Project Manager:

Project Team:

Sustainability

a) What is the long-term value for money of this project?

b) Will the project create a long-term service need or expectation which we can or cannot fulfil?

c) What effects will the project have on the environment and what action will you be taking to mitigate against these effects?

d) How will the product of this project be impacted by climate change over its lifetime? (How will the product stand up to increased flood risk or hotter drier summers, for example?)

Risks, assumptions and constraints

What are the risks of the project? What assumptions are being made around this project, around user needs, around costs, around quality expectations, around the availability of staff or services to help with the project etc. Is this project dependent upon the success of any other projects? What constraints are there upon the proposed project?

Options Financial Evaluation

There may be more than one option for the project depending on its size and type. The costs of a project and potential income may depend on how high risk a project we want to go for or how much risk we are prepared to take. For each option we should be detailing the costs and potential income (if any). Each project should have two options as a minimum ('do nothing' and the 'preferred' option).

Option 1 (Preferred Option)

Description of option	
Employees ▪ No of staff involved in project team & total hours expected ▪ Projected salary costs	
Training ▪ Cost of training courses, etc, one off or annual (please specify)	
Equipment ▪ Cost of any equipment needed by the project team	
One-off costs ▪ Specify what these are	
Running costs ▪ Specify what the ongoing revenue costs/implications are	
Income expected ▪ Specify annual or one-off income	
Where is the funding expected to come from?	
Has funding already been agreed? ▪ If yes, state budget code and cost centre manager, and details of any partnership funding ▪ If no, explain how you propose to secure funding	

Option 2 (Do Nothing Option - dismissed)

Description of option	
What are the financial implications of this option? Short term and in the longer term	
Why is this option rejected?	

Other options, if required, should follow the same format for option 1 with the addition of why these are not the preferred option

Appendices

Append here any further information which would be beneficial when considering the business case – drawings, plans, spreadsheets, etc.

Finance Officer Endorsement	
This financial evaluation has been discussed and agreed between myself and the budget manager	
Name of Finance Officer	
Signature	
Date	

Name of Project:

Project Manager:

DECISION

The Proposal and Option x has been:

Approved	
Rejected	
Deferred	

Comments/Conditions:

Authorised By:

(Budget Manager / Senior Manager)

Date:

4.7   Stage 3: Form 9 - Project Planning

PROJECT PLAN *(Insert version number and date)*

Project Name: **Project Manager:**

Team Members: *(if appropriate)*

Activity	Tasks	How?	Outcome required	Timescale	Lead	Action	Status

4.8 Stage 3: Form 10 - Risk Management Plan

Name of Project:

Project Manager:

Date set up:

Risk Action Plan

Risk	Risk Rating	Risk Control	Responsible Officer	Comments
	L = I = Score =			
	L = I = Score =			
	L = I = Score =			
	L = I = Score =			
	L = I = Score =			
	L = I = Score =			
	L = I = Score =			
	L = I = Score =			
	L = I = Score =			

Date of last update:

4.8 Stage 3: Form 10 - Risk Management Plan

4.9 Stage 3: Form 11 - Communication Plan

Name of Project:

Project Manager:

Purpose of communications plan:

Key messages:

Key audiences:

Resources available:

Date set up:

ACTION PLAN

Information & Audience	Communication Medium	Responsibility	Detail of communication required	Target Date
Objective:				
Example: Let staff know that the Project management approach is being updated and inviting contributions	Email	Nannette McAleer	Timetable for update Names of Project Team How to contribute	January 2009

4.10 Stage 4: Form 12 - Project Activity Log

Name:	
Phone:	
Fax:	
Email:	

Project Name:

Date	Actions & Activities	Time Allocation

4.11 Stage 4: Form 13 - 8 Common Causes Review

Project name:

Project manager:

Estimated date of project completion:

Project objectives:

Reviewing manager:

Date of review:

4.11 Stage 4: Form 13 - 8 Common Causes Review

8 Common Causes Checklist

Cause 1: Lack of clear link between the project and the organisation's key strategic priorities, including agreed measures of success.	
Do we know how the priority of this project compares and aligns with our other business activities?	
Have we defined the critical success factors (CSFs) for the project?	
Have the CSFs been agreed with key stakeholders?	
Do we have a clear project plan that covers the full period of the planned delivery and all business changes required, and indicates how we will realise the benefits?	
Is the project founded upon realistic timescales, taking account of statutory lead times, and showing critical dependencies so that any delays can be handled?	
Are the lessons learnt from relevant projects being applied?	
Has an analysis been undertaken of the effects of any slippage in time, cost, scope or quality? In the event of a problem/conflict at least one must be sacrificed.	

Cause 2: Lack of clear senior management and Member ownership and leadership.	
Does the Project Sponsor have a suitable track record of delivery? Where necessary, is this being improved through training?	
Does the project management team have a clear view of the interdependencies between projects, the benefits, and the criteria against which success will be judged?	
If the project crosses organisational boundaries, are there clear management arrangements to ensure sustainable alignment with the business objectives of all organisations involved?	
Are all proposed commitments and announcements first checked for delivery implications?	
Are decisions taken early, decisively, and adhered to, in order to facilitate successful delivery?	
Does the project have the necessary approval to proceed from the Portfolio holder either directly or through delegated authority to a designated senior manager?	
Does the Project Sponsor have the ability, responsibility and authority to ensure that the business change and business benefits are delivered?	
Does the Project Sponsor have a suitable track record of delivery? Where necessary, is this being improved through training?	

Cause 3: Lack of effective engagement with stakeholders	
Have we identified the right stakeholders?	
In so doing, have we as intelligent customers, identified the rationale for doing so (e.g. the why, what, who, where, when and how)?	
Have we secured a common understanding and agreement of stakeholder requirements?	
Does the business case take account of the views of all stakeholders including users?	
Do we understand how we will manage stakeholders e.g. ensure buy-in, overcome resistance to change, allocate risk to the party best able to manage it?	
Has sufficient account been taken of the underlying organisational culture?	
Whilst ensuring that there is clear accountability, how can we resolve any conflicting priorities?	

Cause 4: Lack of skills and proven approach to project management and risk management	
Is there a skilled and experienced project team with clearly defined roles and responsibilities? If not, is there access to expertise, which can benefit those fulfilling the requisite roles?	
Are the major risks identified, weighted and treated by the Project Sponsor, Project Manager and/or project team?	
Has sufficient resourcing, financial and otherwise, been allocated to the project, including an allowance for risk?	
Do we have adequate approaches for estimating, monitoring and controlling the total expenditure on projects?	
Do we have effective systems for measuring and tracking the realisation of benefits in the business case?	
Are the management arrangements robust enough to ensure that "bad news" is not filtered out of progress reports to senior managers?	
If external consultants are used, are they accountable and committed to help ensure successful and timely delivery?	

Cause 5: Too little attention to breaking development and implementation into manageable steps	
Has the approach been tested to ensure it is not 'big-bang', for example in IT-enabled projects?	
Has sufficient time been built in to allow for planning applications, in Property & Construction projects for example?	
Have we done our best to keep delivery timescales short so that change during development is avoided?	
Have enough review points been built in so that the project can be stopped, if changing circumstances mean that the business benefits are no longer achievable or no longer represent value for money?	
Is there a business continuity plan in the event of the project delivering late or failing to deliver at all?	

Cause 6: Evaluation of proposals driven by initial price rather than long-term value for money (especially securing delivery of business benefits)	
Is the evaluation based on whole-life value for money, taking account of capital, maintenance and service costs?	
Do we have a proposed evaluation approach that allows us to balance financial factors against quality and security of delivery?	
Does the evaluation approach take account of business criticality and affordability?	
Is the evaluation approach business driven?	

Cause 7: Lack of understanding of and contact with the supply industry	
Have we tested that the supply industry understands our approach and agrees that it is achievable?	
Have we asked suppliers to state any assumptions they are making against their proposals?	
Have we checked that the project will attract sufficient competitive interest?	
Are senior management sufficiently engaged with the industry to be able to assess supply-side risks?	
Do we have a clear strategy for engaging with the industry or are we making sourcing decisions on a piecemeal basis?	
Are the processes in place to ensure that all parties have a clear understanding of their roles and responsibilities, and a shared understanding of desired outputs, key terms and deadlines?	
Do we understand the dynamics of industry to determine whether our acquisition requirements can be met given potentially competing pressures in other sectors of the economy?	

Cause 8: Lack of effective project team integration between clients, the supplier team and the supply chain	
Has a market evaluation been undertaken to test market responsiveness to the requirements being sought?	
Are the procurement routes that allow integration of the project team being used?	
Is there early supplier involvement to help determine and validate what outputs and outputs are sought for the project?	
Has a shared risk register been established?	
Have arrangements for sharing efficiency gains throughout the supply team been established?	

4.12 Stage 4: Form 14 - Project Health Check

Project name:

Project manager:

Reviewing manager:

Date of Health Check:

Purposes of the Health Check

- review the business need of the Project

- confirm that the Project is in line with business strategy and policy

- establish the financial scope and that adequate allowance has been made for financial and staff resource

- establish that the stakeholders and customers have been identified and their level of involvement agreed

- confirm that Customer Impact Assessments have been carried out and completed where required

- confirm that actions resulting from Customer Impact Assessments at all relevant stages have been relayed to the customers affected by the project

- confirm that an Environmental Assessment has been carried out and actions arising have been incorporated into the project plan and are being delivered

- confirm management arrangements and responsibilities have been agreed and are in place

- confirm that identifying and managing risks (both internal and external) has been undertaken

Process of the Health Check

The review will involve talking to key project staff and stakeholders to:

- Seek their views on the general wellbeing of the project

- Identify areas where the health check should focus to optimise its benefit

- Gather evidence for later analysis (the good and the not so good for the lessons learned review)

Assessment Questions

1. **What is the scope of the Project or Programme? What is it seeking to achieve?**

   ### Evidence expected
   - Evidence or identification of the high level boundaries of the Project with exclusions and inclusions.

   ### Possible examples
   - Definition of scope with assumptions, inclusions and exclusions, timescales and constraints.

   Evidence:

   Findings:

   Recommendations:

2. **What is the vision of the Project and how does it relate/contribute to the Business Strategy it supports? What contribution is it intended to make to the achievement of KCC's overall strategic objectives? How does it relate to other strategic objectives? Is its achievement in any way dependent on things happening, which are out with the scope of the project?**

Evidence expected

▪ Evidence linking the Project to a specific business strategy or strategies with clear evidence of specific targets of achievement that have been agreed and owned by all key stakeholders.

Possible examples

▪ Vision statement (reached through visioning exercise).
▪ Documented evidence that Project is aligned with the appropriate KCC or Service Level strategy.
▪ Defined outputs
▪ List of benefits to the organisation and customers.
▪ A description of the business/policy drivers/objectives and how they contribute to the business strategy
▪ An outline of the required outcomes & outputs

Evidence:

Findings:

Recommendations:

3. **Are there appropriate levels of management control in place (and resourced) to facilitate the management of the project and clarity on roles & responsibilities? What are they? How effective are they?**

Evidence expected

- Evidence of management arrangements at appropriate levels, meetings at appropriate intervals and evidence of information flow and decision making.

Possible examples

- Project breakdown structure
- Contact details of all levels of project management
- Roles and responsibilities of each level
- Key roles identified (Project Sponsor, Project Manager, Project Board members, etc)
- Reporting procedures
- Meeting schedule (regular meetings of project board and regular meetings with project team etc.)

Evidence:

Findings:

Recommendations:

4. **Achievability: Is the short and medium term approach identified and realistic? Are any specific areas causing difficulty?**

Evidence expected

- Plan developed showing deliverables/milestones, activities, timescales, and resources and tested with technical experts.

Possible examples

- Deliverables and Milestones evidence
- Gantt Chart
- Timeline
- Resource List /Resource management plan
- Detailed project plans
- Assessment through circulation with independent experts

Evidence:

Findings:

Recommendations:

5. **Affordability: Are the funds available for each stage of the project? If not, what decisions still need to be taken?**

Evidence expected

- Budget provision for project (initiation, planning, implementation and closure) and preparation of business case

Possible examples

- Budget approval
- Budget owner / manager
- Budget management strategy
- Budget breakdown
- Spend / financial profile

Evidence:

Findings:

Recommendations:

6. **Is there evidence of appropriate quantity and quality of information at all levels of the project? What reporting systems are in place? How well do they work? Do you get the reports that you need in a timely manner?**

Evidence expected

- Evidence of timely information sharing, reporting of progress and appropriate levels of risk escalated.

Possible examples

- Exception reporting
- Progress reports

Evidence:

Findings:

Recommendations:

7. **What will success look like and how will it be achieved? What will be different in the future when the project is complete? Have we identified specific benefits and is their realisation being tracked / managed?**

Evidence expected

- The critical success factors for each of the main objectives (with measurement and targets) and the target date for completion.

Possible examples

- Definition of key success criteria (e.g. from 22 questions)
- Critical success criteria

Evidence:

Findings:

Recommendations:

8. **Are the required skills and capabilities for this project available? If not, what's missing and are there plans to remedy this? What are the implications should the current position continue?**

Evidence expected

- Project team have the necessary project management skills or have made the commitment to acquire the needed skills.
- Project is realistic about its abilities to manage the change (e.g. lessons learned from past experience and technical expertise)

Possible examples

- PDP
- Skills analysis
- Attended Project management training/briefing
- PRINCE2 qualification

Evidence:

Findings:

Recommendations:

9. **Who are the stakeholders, how will stakeholder involvement be managed and to what extent would they be involved? Has an analysis of stakeholder views/requirements been undertaken? Is there a communication plan relevant to each stakeholder group? Has a Customer Impact Assessment been carried out and to what level?**

Evidence expected

- List of principal stakeholders (both internal and external) and statement of their specific interest/s and their support for the project and how they will be managed.
- Strategy concerning stakeholders and a listing of the stakeholders showing the level of contact or involvement, the method of involvement and the interval of involvement.
- Understanding of how the project will impact on a variety of customers and stakeholders.

Possible examples

- List of Stakeholders (from 22 Questions)
- Stakeholder breakdown
- Stakeholder strategy
- Stakeholder involvement monitoring arrangements
- Completed Customer Impact Assessment screening grid and full assessment (as appropriate)

Evidence:

Findings:

Recommendations:

10. **Is there an understanding of the environmental impacts of the projects? How have these been quantified? What action is being taken to mitigate the effects of or plan for climate change?**

Evidence expected

- Understanding the wider impacts of the project on the environment.
- Understanding what effect Climate Change may have on the outputs of the project.

Possible examples

- Environmental checklist
- Risk register

Evidence:

Findings:

Recommendations:

11. **Are there any elements (Internal or external) that this project is dependent on or contributing to?**

Evidence expected

- Description of dependencies/other factors/programmes that could affect delivery of the Project?

Possible examples

- Dependencies / Interdependencies list
- Definition of Interdependencies

Evidence:

Findings:

Recommendations:

12. **Have the major risks been identified? How are they being managed?**

   Evidence expected

   - List of potential major risks, which should include strategic, political and legislative risks and risk related assumptions made.

   Possible examples

   - Risk register
   - Risk logs
   - Risk management strategy

   Evidence:

   Findings:

   Recommendations:

13. **Are the necessary procedures in place to ensure the required quality of products/outputs/outcomes?**

Evidence expected

- Appropriate quality criteria applied to information, products, documents and procedures.
- Strategy for dealing with Quality requirements

Possible examples

- Quality management strategy
- Independent reviews
- Documents control procedures
- Change controls procedure
- Stakeholder review

Evidence:

Findings:

Recommendations:

4.13 Stage 5: Form 15 - Project Closure Form

Project Title:

Project Manager:

Date:

Objectives

▪ What was the vision and objectives of the project?

▪ How have they been delivered?

Project Plan

▪ Have all the activities planned in the Project Plan been delivered?

▪ Detail any remaining post-Project activities and to whom they have been assigned.

Risks

▪ Have any remaining project risks been identified?

▪ To whom have these risks been assigned for monitoring/action?

Project Review

▪ Has a project review been undertaken? If not, when will it be done?

▪ Has a lessons learned log been completed and submitted to the Business Development Manager?

Project Sponsor/Board Sign-off

Signed:

Name:

Role:

Date:

4.14 Stage 5: Form 16 - Post Project Review

Project Title:

Project manager:

Date of project closure:

Reviewing officer:

Date of review:

Short project summary

Project Objectives	
What were the objectives of the project as stated in the business case?	
Which of these objectives have been achieved / delivered?	
Which of these objectives have not been achieved / delivered?	
What additional benefits of the project have come to light which were not anticipated in the original business case?	
What changes occurred during the life of the project which may have affected the realisation of the objectives?	

Costs	
What were the expected costs of the project for a) Delivery? b) On-going costs?	
What was the total cost of delivery of the project?	
What are the known or expected on-going costs?	
List any additional or unexpected costs that have been incurred as a result of the project	
List any savings or income which has been made as a result of the project	
What changes occurred during the life of the project which may have affected the costs incurred or savings made?	

Time	
How did the project perform against its project timescales?	
What issues were raised as a result of the project achieving/not achieving its timescales?	
Quality	
Is the outcome of the project –the product - (e.g. change to way of working, new system etc) fit for purpose?	
Does the product meet or exceed customer requirements/ stakeholder objectives?	
How have you ascertained that the product meets the customer's requirements/met the stakeholder objectives?	
What changes need to be made to the product improve the fitness for purpose?	
User Satisfaction	
How has the organisation measured user satisfaction with the product?	
What did this show?	
What changes have been made as a result of this?	
Consultation and Engagement	
What consultation with stakeholders was undertaken at the project development stages?	
How was progress with the project fed back to the stakeholders?	
Project Management	
What was the category of this project	LOW / MEDIUM / HIGH
What project tools and techniques were used to manage the project?	
How did you find the tools and techniques helpful/unhelpful to the management of the project?	
What changes to the project tools did you make or would you like to see made?	

Risk Management	
Was a risk plan created to manage the risks of this project?	
What issues or risks became apparent during the project that were not logged in the business case or the risk plan?	
Could these issues or risks been foreseen at the project initiation stage?	
Change	
What future changes to the business are likely to affect the outcome of the project?	
How will the organisation ensure that the product still delivers the business benefits during or after these changes?	
Recommendations	
Recommendations for action in relation to this project	
Recommendations for action in relation to future projects [1]	

---

[1] To be added to Lessons Learned log

4.15 Stage 5: Form 17 - Lessons Learned Log

Project Title:

Project manager:

Date of project closure:

Lesson	Identified By	Type[2]	Comments

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[2] Types are: Product, Project Tools, Management

4.16 Stage 6: Form 18 - Post Implementation Review

Project Title:

Project manager:

Date of project closure:

Reviewing officer:

Date of review:

Project Objectives	
What were the objectives of the project as stated in the business case?	
Which of these objectives have been achieved/are still being delivered?	
Which of these objectives have not been achieved/are no longer being delivered?	
What additional benefits of the project have come to light which were not anticipated in the original business case?	
What changes have occurred which may have affected the realisation of the objectives since the project ended?	
Costs	
What were the expected costs of the project for a) Delivery? b) On-going costs?	
What was the total cost of delivery of the project?	
What are the known or expected on-going costs?	
List any additional or unexpected costs that have been incurred as a result of the project	
List any savings or income which has been made as a result of the project	
What changes have occurred which may have affected the costs incurred or savings made since the project ended?	

Quality	
Is the outcome of the project –the product - (e.g. change to way of working, new system etc) still fit for purpose?	
Does the product meet or exceed customer requirements?	
What changes need to be made to the product improve the fitness for purpose?	
User Satisfaction	
How is user satisfaction with the product being measured?	
What does this show?	
What changes are being made as a result of this?	
Change	
What future changes to the business are likely to affect the product?	
How will the organisation ensure that the product still delivers the business benefits during or after these changes?	
Recommendations	
Recommendations for action in relation to this project	
Recommendations for action in relation to future projects [3]	

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[3] To be added to Lessons Learned log

5 Appendices

The following pages contain guidance and check lists you can use as an aide memoir to help manage your project.

5 Appendices

5.1   Appendix 1: Low risk Project Flow Chart

Low risk: Low cost, low profile, few/no partners, low political interest

Stages 1 & 2:	Stage 3:	Stage 4:	Stage 5:	Stage 6:
Pre-project approval & Development	Project Planning	Project Delivery	Project Closure	Post Implementation Review
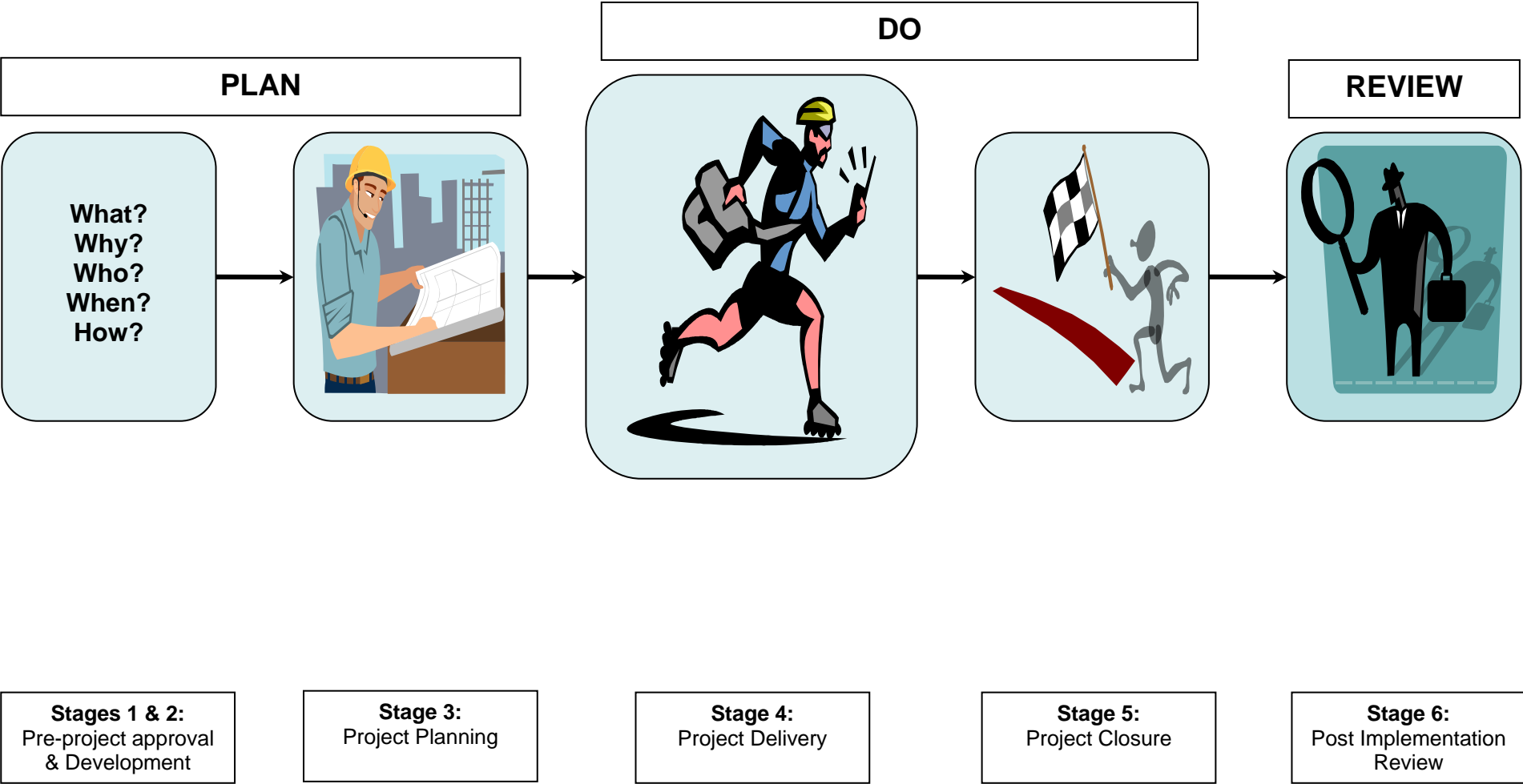
5.2 Appendix 2: Medium and High risk Project Flow Chart

Medium risk: Medium cost, higher profile, some partners, some political interest

DO

PLAN

REVIEW

What?
Why?
Who?
When?
How?

22
Questions

Initial
Screening
part of the
Customer
Impact
Assessment

Project
Plans

Monitoring

Stages 1 & 2: Pre-project approval & Development	**Stage 3:** Project Planning	**Stage 4:** Project Delivery	**Stage 5:** Project Closure	**Stage 6:** Post Implementation Review

High risk: High profile, political interest or complex partnership

| **PLAN** | **DO** |

Outcome mapping

8 Common Causes Review

Health Check reviews

REVIEW

What?
Why?
Who?
When?
How?

22 Questions

Risk Mapping

Assessment part of the Customer Impact Assessment

Project Plans

Monitoring

| **Stages 1 & 2:**
Pre-project approval & Development | **Stage 3:**
Project Planning | **Stage 4:**
Project Delivery | **Stage 5:**
Project Closure | **Stage 6:**
Post Implementation Review |

77
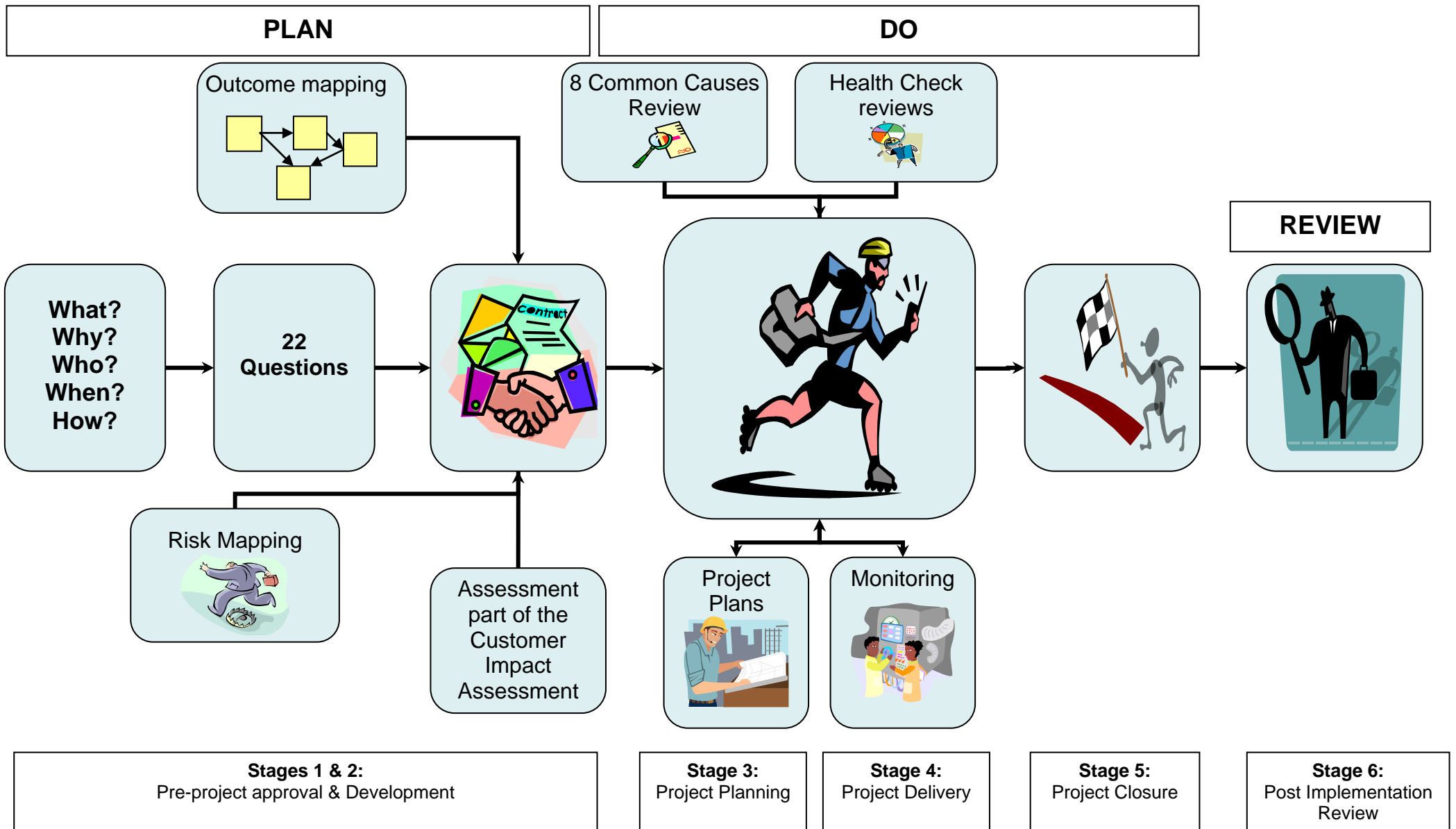
5.3 Appendix 3: Form 3 - Equality Impact Assessment (EIA) Screening Grid

Characteristic	Could this policy, procedure, project or service affect this group differently from others in Kent? YES/NO	Could this policy, procedure, project or service promote equal opportunities for this group? YES/NO	Assessment of potential impact HIGH/MEDIUM/LOW/ NONE/UNKNOWN		Provide details: a) Is internal action required? If yes, why? b) Is further assessment required? If yes, why? c) Explain how good practice can promote equal opportunities
			Positive	Negative	
Age					
Disability					
Gender					
Gender identity					
Race					
Religion or belief					
Sexual orientation					
Pregnancy and maternity					

5.4 Appendix 4: Form 4 - Environmental Checklist

Kent County Council is committed to reducing its impact on the environment and to achieving and maintaining accreditation to the international standard for Environmental Management ISO 14001. The KCC Environment Policy sets out the authority's commitments and targets for achieving good environmental performance.

When planning new projects it is important to be clear whether the project supports the policy or if there are aspects which may conflict with the policy and thus present an 'environmental risk'. Where a risk is identified actions need to be taken to eliminate or mitigate the risk as far as is practicable. It is also important to identify where positive environmental impact will result.

Use this checklist to make sure you help to fulfil our policy commitments and have considered advice on making your project better for the environment. If further advice is needed, please contact the Sustainability and Climate Change team at scc@kent.gov.uk.

Project:

Date:

Contact:

General notes and overview:

☑ **Recommended actions**	**Notes**	☑
Energy and resource efficiency		
• Wherever practicable will all activities use online applications as first choice – email, internet, PDF files etc?		
• Where printed matter is needed, paper will be 80% minimum recycled content; this includes copier, office, and printing papers as well as publications.		
• Does the project promote energy saving practices?		
• If installing electrical equipment, select efficient 'A-rated' appliances.		
Water		
• Will the project result in an increase in water usage?		
• Does the project carry out any activities that could potentially cause water pollution or discharge chemicals or solids to drain? If yes, discharge consent may be required.		
• Consideration made to reduce water consumption – such as tap water for meetings, re-usable plastic bottles, water fountains and water efficient equipment.		
Waste		
• Will there be an increase in waste arisings?		
• What, if any, waste minimisation or recycling schemes will the project implement?		
• Minimise use of materials and ensure they can be recycled at the end of their life.		
• Were possible negotiate with suppliers to take back all packaging waste for recycling?		
Travel		
• How can the project help to minimise the need to travel (especially by private car) and provide for more sustainable travel choices (e.g. by public transport)?		
• Will ICT technologies be utilised in order to minimise the need to travel? E.g. teleconferencing and videoconferencing		
• Will the project generate more traffic? If so, approximately how many new trips?		

| ☑ Recommended actions	Notes	☑
Wildlife and green spaces		
• Will the project seek to have a positive effect on green space and biodiversity? • Avoid impact on protected or priority species or site allocations e.g. bats.		
Pollution		
• Will the project increase noise, light or air pollution? • Will the project require any pollution permits?		
Procurement		
• How will the procurement of goods and services for the project seek to prioritise environmentally beneficial options e.g. FSC wood? • Consideration made to source goods, services and labour from local and ethical sources. • Are there ways in which the project can promote businesses or partnership opportunities that bring environmental benefits too – for example in eco-products, services and green technologies?		
Climate change		
• How will the project assess whether there will be a net increase or net decrease in carbon emissions as a result of the project? • Has the project been 'climate proofed' to mitigate the long term impacts of climate change and potential increase in severe weather events?		
Sustainable construction		
• All new project builds to achieve BREEAM minimum very good or excellent standard. • Projects should identify how they will promote the use of local resources to reduce materials transport. • Projects should aim for a zero waste approach in construction via the use of site waste management plans. • Can the project source energy from on site renewable sources (generated or purchased)?		

5.5 Appendix 5: Procurement Process

Spending the Council's Money – a quick guide

IDEA

Business Case – It is best practice to write a business case for all procurements but if the contract cost is over £100k, the business case must be formally recorded and capital projects over £1m have additional requirements. There are also procedures around the making and recording of decisions.

SEE GUIDANCE

It is EHW policy that a business case must be produced for all procurements over £50k and the value for money type questions within the Project Management Toolkit must be addressed for procurements between £8k and £50k.

ARE YOU BUYING A NAMED INDIVIDUAL?

YES – SEE SECOND FLOW CHART

NO

IS THERE AN EXISTING ARRANGEMENT?

YES – If there is then you can usually use the existing arrangement.

SEE GUIDANCE

NO – If there are none in place, it is necessary to use the Competitive Process. However there are some exceptions, for example if the goods or services are sourced internally.

SEE GUIDANCE

WHAT IS THE ESTIMATED CONTRACT VALUE?

Below £8k – Formal competitive processes are not required however the statutory requirement to achieve value for money applies to all transactions.

SEE GUIDANCE

£8k to £50k – At least 3 written quotations must be sought, but it may be appropriate to follow the competitive tender process.

SEE GUIDANCE

Over £50k – The full competitive tender process must be followed.

SEE GUIDANCE

European Union Directives Contracts above £139,893 for goods and services and £3,497,313 for works.

SEE GUIDANCE

Contract Award – There are procedures to be followed.

SEE GUIDANCE

Member Notification – There are procedures to be followed – particularly if the procurement was over £50k. Where a non-competitive process was used, the approved Award Report must be sent to the Head of Democratic Services within 14 days of the contracts being awarded so the Members of the Cabinet Scrutiny Committee may be notified.

SEE GUIDANCE

Spending the Council's Money – a quick guide

BUYING A NAMED INDIVIDUAL

WHAT IS THE ESTIMATED CONTRACT VALUE?

Below £8k – Formal competitive processes are not required however the statutory requirement to achieve value for money applies to all transactions.

£8k to £20k – The Chief Executive and Managing Directors are free to determine the management processes and levels of delegation around non competitive procurements appropriate for their directorate.

Over £20k

Before the Award – The Award Report must be forwarded to the relevant Cabinet Member prior to the appropriate officer approving the report.

After the Award – Being a named individual a "Consultant" must by definition, have been sourced via a non-competitive process. All contracts for a consultant from £20,000 must be reported, as a non-competitive procurement to the Head of Democratic Services within 14 days of the contract being awarded so that Members of the Cabinet Scrutiny Committee may be notified.

Additionally, all documentation should be copied to Anne Swift (EHW Finance) in order that the details can be correctly recorded on the EHW Consultants Register.

NB: This guide is to assist you in navigating around Kent County Council's '*Spending the Council's Money'* document, which is available via KNet. It is recommended that all staff read '*Spending the Council's Money'* and do not rely solely on this flow chart - it should be used as a guide only. For definitions of the financial values quoted in the flow chart, please see the relevant sections of '*Spending the Council's Money'.*

5.6 Appendix 6: Project Management Checklist

Action	Page	Tick/NA
Stage 1		
Project Initiation Form completed (Form 1)	23	
Project Risk Assessment sheet completed (Form 2)	24	
Project Register (High risk projects only)	10	
Equality Impact Assessment (Form 3)	78	
Environmental Assessment (Form 4)	79	
Agreement to move to next stage	10	
Stage 2		
22 Questions completed (Form 5)	29	
Outcome Map (Form 6) (if required)	31	
Risk Map (Form 7) (if required)	33	
Full business case (Form 8) (if required)	34	
Agreement to move to next stage	11	
Stage 3		
Project Plan completed (Form 9)	40	
Time line/GANTT chart (if required)	13	
Risk Plan (Form 10) (if required)	41	
Communication Plan (Form 11) (if required)	42	
Approval to move to next stage	15	
Stage 4		
Project Activity Log (Form 12) (if required)	43	
Reporting frequency and formats agreed	14	
Review: 8 Common Causes completed (Form 13) (if required)	44	
Review: Health check frequencies agreed (if required)	17	
Health Check Review(s) undertaken (Form 14)	54	
Management Team Review process agreed (if required)	16	
Stage 5		
Project Closure form completed (Form 15)	67	
Post Project Review completed (Form 16)	68	
Lessons Learned log completed (Form 17)	71	
Date for post implementation review agreed (if required)	21	
Project closed	21	
Stage 6		
Post Implementation Review (Form 18)	72	
Lessons learned fed back	21	

5.7 Appendix 7: Project Management Roles and Responsibilities

Project Manager
Role
The Project Manager is responsible for ensuring that the Project Team completes the project. The Project Manager develops the Project Plan with the team and manages the team's performance of project tasks. It is also the responsibility of the Project Manager to secure acceptance and approval of deliverables from the Project Sponsor and Stakeholders. The Project Manager is responsible for communication, including status reporting, risk management, escalation of issues that cannot be resolved in the team, and, in general, making sure the project is delivered in budget, on schedule, and within scope.
Responsibilities
▪ Managing and leading the project team. ▪ Recruiting project staff and consultants. ▪ Managing co-ordination of the partners and working groups engaged in project work. ▪ Detailed project planning and control ▪ Developing and maintaining a detailed project plan. ▪ Managing project deliverables in line with the project plan. ▪ Recording and managing project issues and escalating where necessary. ▪ Resolving cross-functional issues at project level. ▪ Managing project scope and change control and escalating issues where necessary. ▪ Monitoring project progress and performance. ▪ Providing status reports to the project sponsor. ▪ Managing project training within the defined budget. ▪ Liaising with, and updating progress to, Project Board/senior management. ▪ Managing project evaluation and dissemination activities. ▪ Managing consultancy input within the defined budget. ▪ Final approval of the design specification. ▪ Working closely with users to ensure the project meets business needs. ▪ Definition and management of user acceptance testing ▪ Identifying user training needs and devising and managing user training programmes.

Project Sponsor
Role
The Project Sponsor is the manager who commissions others to deliver the project and champions it throughout its duration. The Project Sponsor has demonstrable interest in the outcome of the project and is responsible for securing spending authority and resources for the project. They will normally be a senior member of staff with a relevant area of responsibility that will be affected by the outcome of the project. The Project Sponsor acts as a decision-maker for the project. The Project Sponsor will participate in and/or lead project initiation. The Project Sponsor generally chairs any steering group for high risk projects. The Project Sponsor may also be a Programme Manager, responsible for the centralised, co-ordinated management of a group of related projects to achieve the programme's strategic objectives and benefits.
Responsibilities
▪ Acting as champion of the project. ▪ Being accountable for the delivery of planned benefits detailed in the project's business case. ▪ Ensuring resolution of issues escalated by the Project Manager or the Project Board. ▪ Sponsoring the communications programme; communicates the programme's goals to the organisation as a whole. ▪ Making key organisation/commercial decisions for the project. ▪ Assuring availability of essential project resources. ▪ Approving the budget and decides tolerances. ▪ Leading the Project Board. ▪ Holding ultimate authority and responsibility for the project.

Project Board
Role
The Project Board is responsible for overseeing the progress of the project and reacting to any strategic issues and problems. The Project Sponsor-Project Manager relationship may be sufficient for best control of most projects, but for higher risk projects that cross functional boundaries or with high political impact a Project Board will be required. The membership of this Board will be drawn from senior management.
Responsibilities
▪ Championing the project and raising awareness at senior level. ▪ Approving strategies, implementation plan, project scope and milestones. ▪ Resolving strategic and policy issues. ▪ Driving and managing change through the organisation. ▪ Prioritising project goals with other ongoing projects. ▪ Communicating with other key organisational representatives.

Project Team Members
Role
These are the staff who work on the project at any point during the life of the project and their role is to deliver work required by the project. There may also be Project Team Leaders who are responsible for a group of staff who are contributing to the project. If in place the Team Leaders will be responsible for reporting progress on their team's actions to the Project Manager.
Responsibilities
▪ Delivering specific products and other work as specified in the project plan ▪ Reporting progress to Project Manager (or Project Team Leader if in place) ▪ Advising on, documenting and analysing current and future processes or systems required by the project

Project Administrator
Role
Higher risk, cross-functional projects may require a project administrator. Their role is to maintain the project plan and other project documents, and provide administrative support to the Project Manager.
Responsibilities
▪ Setting up and managing support functions covering planning, tracking, reporting, quality management and internal communication ▪ Producing reports for the Project Board including work to date, key issues and risks, and financial reporting as directed by the Project Manager ▪ Managing the project library of documents ▪ Reviewing project activities for compliance with KCC procedures and standards ▪ Managing the support and provision of project tools and equipment ▪ Assisting with the production of user documentation (if required by project) ▪ Assisting with product testing as required

Cost Centre Manager
Role
The cost centre manager is responsible for the budget from which the project funds have been allocated. They may also be the Project Sponsor or they may be providing funding to a project being delivered through another function.
Responsibilities
▪ Liaising with the Project Manager on how much money (capital and/or revenue as appropriate) can be made available for the project ▪ Agreeing how the money will be accessed from their cost centre ▪ Signing invoices and other requests for payment from their budget ▪ Monitoring and reporting how much money is being spent from their cost centre ▪ Requesting spend forecasts from the Project Manager at key points in the project.

6 Useful Links, Contacts and Feedback

If you want to find out more about Project Management training, look on KCC's Learning and Development KNet site for details of the courses they provide:http://knet2/staff-zone/training-and-development/training-courses/management-development/project-management/

For more information on PRINCE2 see the following website: http://www.prince2.com/

Feedback

We welcome any feedback you may have on this project management approach. If you have any amendments, comments, suggestions for additional material, details of how you have adapted or refined any of the tools or processes, would like further support, information or training please contact:

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David Thomas / Iain Norman (KHS) david.thomas@kent.gov.uk / iain.norman@kent.gov.uk

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