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Project management framework

***Revision History***

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| ***Version*** | ***Revision Date*** | ***Revised by*** | ***Section Revised*** |
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# 1 Introduction

The purpose of this document is to define the project management framework to be adopted by XXXX employees including the Dubai branch.

This document supersedes all previous project management framework policies issued by the XXXX.

The recommended approach is to combine aspects of the Prince2 and Agile project methodologies which will be tailored to suit the needs of XXXX. Prince2 is a clearly defined framework whereas the benefits of Agile promote continual delivery and evaluation of the project to keep the project on track and adaptable to changing requirements or unforeseen issues.

This straight forward approach will enable business sponsors, project managers, stakeholders and users to understand the steps involved in managing projects using a structured approach and help to ensure a successful outcome promoting proactive conversations.

This approach aims to improve and provide clarification of:

* The effectiveness and efficiency of the portfolio direction processes
* The sponsorship of projects
* The management of projects
* Disclosure and reporting

This ensures that all projects are identified within one portfolio, roles and responsibilities are aligned to decision-making capacity, the teams responsible for projects are capable of achieving the projects’ objectives, and that information to support the decision-making processes is delivered in a timely, relevant, and reliable manner.

For this framework to be effective the adoption of the following principles is necessary:

* **Involvement of senior managers.** Senior managers are the decision makers, and such initiatives should encourage their input and buy-in.
* **Assign ownership and accountability for project governance.** More than an individual, a select group of experienced resources should be assigned to deliver, monitor, and control any governance initiative. It is recommended that the company’s board of directors own the governance process.
* **Design governance at the portfolio, program, and project levels.** Consistency and synergy lead to adoption and successful implementation.
* **Provide transparency.** Visibility is vital because it builds confidence and understanding of the process.
* **Learn, then adopt any redesign.** Governance is an evolutionary process. Learn from mistakes and new or improved knowledge.
* **Information Security Requirements.** Information Security Requirements will be factored in and monitored from the design of the project till the closure of the project.

# 2 Project Management

What defines a project? Who should be involved and what documentation is needed?

The following table defines the categorisation of projects and pieces of work and identifies the corresponding documentation and processes that are required to deliver them:

|  |  |  |
| --- | --- | --- |
| **Category** | **Definition / criteria** | **Supporting documents** |
| Project | A time and budget bound deliverable that is handed over for BAU processing on completion of delivery. Considerably large deliverable usually a solution implementation required to deliver a business need whereby the deliverables require a number of resources to complete the agreed tasks within set constraints such as time bound or cost limitations.  A major upgrade for example would be considered a project. | Mandatory documents:   * Business Case * Project Initiation Document * Risk register * Communication plan * Exception report * Project / Sprint Plan * Benefit review plan * End Stage Report * Highlight report * Lessons learnt log * Change Control * Project Closure report * Configuration Management |
| Controlled assignment | BAU related. A detailed exercise such as a data cleanses required involving a number of the team taking a considerable amount of time. Care should be taken to document the approach and implementation plan with buy in from stake holders and regular progress updates are reported to the stakeholders and project office. This would include a minor upgrade of bug fix to be applied. | Recommended documents include:   * Business requirement * Plan * Risk assessment * RACI model * Change control * Configuration Management * Back out plan * Closure |

# Project Management structure

The Project organisation chart establishes the formal relationships among the Project Sponsor to the Project Team. The following diagram depicts the optimum structure to be employed by XXXX to promote the appropriate communication paths to manage the delivery of a project.

## Roles and Responsibilities



## Project Board

Responsible for execution of the plan toward meeting targeted objectives, including scope, schedule and resources. The Project Board should facilitate alignment and optimal working across team structures and functional work streams. They are responsible for ensuring that the solution satisfactorily meets the agreed-upon requirements and success criteria for the project. The Project Board is the escalation point for any issue that cannot be satisfactorily resolved within the work stream. They are responsible for risk mitigation, resource alignment, communication and change leadership plans, and optimal working across work streams.

This Project Board is made up of the Project sponsor, Program Manager and PMO Manager, Head of Risk, and HOD of departments affected by the project implementation and/or delivery. The Project Board should be represented at all project meetings and receive the status reports. At least one person (likely to be the head of department of the affected project should be present at project meetings. A separate project board meeting will be held at appropriate intervals, this is discussed in a later section.

## Project Sponsor

An executive member of the business. The Project Sponsor provides support and direction to the project team on deliverables and actions, helps remove organizational barriers, aligns with all other external and internal suppliers, partners and has overall accountability for the project. The sponsor also directs the project, change authority and project assurance. The sponsor should receive regular (weekly) updates on the project status including any risks or deviations from the plan. The sponsor is a mandatory attendee of all project meetings.

## Program Manager

Accountable to Executives for deliverables and implementation, responsible for working with the team to set objectives and goals, accountable for risk mitigation, resource alignment, communication and change leadership plans, and optimal working across work streams. The Program Manager oversees all the XXXX projects and is responsible for product success; they manage, monitor and control the project. The program Manager is a mandatory attendee of all project meetings and is responsible for sending status reports to Project Sponsors and EXCO.

## PMO Manager

Handles all administrative functions of the Project Management Office, coordinating the affairs of the project management office, tracking and updating project progress, status updates, tracks and updates the project plan and sets meetings for all the projects. The PMO Manager also circulates the weekly updates of all comms, distributes templates to all projects and manages dependencies to avoid resource conflicts. The PMO Manager ensures project governance is adhered to. This role reports to the Program Manager.

## Business Analyst

The business analyst will work across all on going projects as part of the Project Management Office.

Their role is to justify, translate and communicate business requirements, write business cases for projects and assist with project budgeting and justification. This role also assists with user acceptance testing.

## Project Manager

The Project Manager holds people accountable, closely monitors the project and asks questions, assess progress and provide questions and feedback to the delivery team and PMO. The Project Manager is a mandatory attendee of all project meetings.

## Project Team

The Delivery Team is responsible for the implementation and quality assurance to deliver a fully functional system. This team should receive the necessary organization support from finance, HR, operations, change leadership, client teams, or any other required function or role to assist in the successful delivery of the project. Members of this team where necessary should attend the project meetings as guests to give updates on any particular issues. Meeting schedules, agendas and attendee requirements will be specified and controlled by the Project Manager.

# Project Management Governance

Project governance is the management framework within which project decisions are made. The role of project governance is to provide a decision making framework that is logical, robust and repeatable to govern an organisations investments. The following principles on project governance should be observed:

* The Project Board has overall responsibility for governance of Project Management
* The roles, responsibilities, and performance criteria for the governance of project management are clearly defined
* Disciplined governance arrangements, supported by appropriate methods and controls, are applied throughout the project lifecycle.
* A coherent and supportive relationship is demonstrated between the overall business strategy and the project portfolio.
* All projects have an approved plan containing authorisation points at which the business case is reviewed and approved. Decisions made at authorisation points are recorded and communicated.
* Members of delegated authorisation bodies have sufficient representation, competence, authority and resources to enable them to make appropriate decisions
* The project business case is supported by relevant and realistic information that provides a reliable basis for making authorisation decisions.
* The board or its delegated agents decide when independent scrutiny of projects and project management systems is required and implement such scrutiny accordingly.
* There are clear defined criteria for reporting project status and for the escalation of risks and issues to the levels required by the organisation.
* The organisation fosters a culture of improvement and frank internal disclosure of project information.
* Project stakeholders are engaged at a level that is commensurate with their importance to the organisation and in a manner that fosters trust.

The following governance criteria should be observed throughout the project lifecycle and is captured throughout the lifecycle section of this framework.

## Approved toolsets

Standard Microsoft Office applications will be used to produce project documentation as follows:

MS Project: Used for project resource and timescale planning

MS Visio: Diagram and infrastructure/ resource structuring tool

MS Word: Production for all project documentation such as reporting, exception reports etc

MS Excel: Production of RAID logs and RAG status updates

MS Powerpoint: Production of presentations

A centralised shared folder for the PMO office will be created to hold all project information with sub folders of all XXXX projects.

## Finance and budgeting

Finance plays a key role with the PMO. Finance will approve and control the budget allocation for all projects. The PMO will need to continually track project spend against budget and work with finance to approve or reject any deviations.

## Risk Management and DPIA

The Project Manager will work closely with the operational risk team to access Project Risks – A risk register document should be created early in the project lifecycle within the project initiation phase. This will be a living document which will evolve throughout the project. On Project Closure all entries should be closed or downgraded to minor with the appropriate mitigation measures in place where risks cannot be fully avoided.

Risk categorisation should take place with the project board including a representative from operational risk.

The Data Protection Officer must be consulted before the commencement of any data Protection related project. A DPIA should be completed and stored with the project management documentation.

## Project meetings

Regular project meetings should be held at an agreed schedule identified within the define phase of the project to track project progress, assess risks and track budgeting. Early in the lifecycle (Define phase) it should be agreed who the mandatory attendees are. Meeting notes (templates to be set by the PMO) and actions should be taken at each meeting and factored into the project status updates.

Project Board meetings – The Board should meet on a agreed scheduled basis to review all project statuses and discuss any issues arising.

Project reporting – All project status updates should be sent to the PMO on a weekly basis which will form part of the PMO report to EXCO. This should include RAG statuses, risk registers and exception report reviews.

## Change Management

Change control is an important part of the project management process. The change control process in project management ensures that each change proposed during a project is adequately defined, reviewed and approved before implementation. Each proposed change should include change validation to check the change has had the desired result and impact and a back out or roll back plan for in the event of a failure. The change control process helps avoid unnecessary changes that might disrupt services and also ensures the efficient use of resources. Change control is factored into the execution phase of a project and should be captured within the IT change management system with appropriate stakeholder approvals.

## Information Security

The business case document shall clearly state the requirements for information security, this will include an information security risk assessment as part of the project risks, controls to mitigate against identified security risks and plans to design the controls into the building of the project. The information security risk objectives will be tested along the business objectives during the User Acceptance Test. At all phases of the project, information security will be factored in and tested. For new projects and acquisitions, XXXX-PRC-ALL-028 - Project Information Security Requirements will be followed.

# Project Management Process

The project framework implemented at XXXX will be a unique blend of the Prince2 framework and Agile methodology.

Traditionally the Prince2 approach to project management is very rigid with little room for change; it also requires upfront planning for the lifecycle of the project. The advantage of Prince2, which is beneficial to XXXX, is the level of documentation to support the project which also supports the XXXXs auditing requirements.

The Agile methodology allows for dynamic project management, continual evolution and is adaptable, this allows for a higher probability of successful delivery. The Agile methodology supports planning projects in phases “sprints” throughout the project; this allows flexibility to support changing requirements or adjustments to constraints, this methodology also promotes increased communication between teams and stakeholders to ensure the delivery is kept on schedule and any issues are captured and the plan readjusted accordingly. Sprint planning will also allow for better communication between teams and more regular catch ups will increase output rather than waiting for project meeting once per week where little or no progress is made meaning the project takes longer to deliver and people are working in silos rather than delivering as a single function.

Each Sprint will have specific objectives, start and end points, and assigned resources. Sprint planning is best suited to the delivery of IT focused developmental projects as depicted further in Appendix A – execution phase.

Project delivery is broken down into phases as described below:

## Initiation Phase

The Initiation Phase is where a business requirement has been identified and a project starts. The Business Sponsor and Project Manager will produce a Business Case document which will form the basis of the project. This document should contain the requirement for the project whether this is a solution to a problem or the implementation of a new business requirement.

A business case should be produced stating the requirement, benefit and justification for the project, gaps identified, estimated costs, risks, budget approval, and approach. This document should be presented by the PMO to EXCO (for business awareness and approval), the IT Steering committee (if IT or system related) and the Tenders Committee (to approve spend and verification that due diligence of vendors has been carried out) to access the viability of the project and should be open to be challenged.. If declined the project is cancelled. Upon approval the project team should be assembled compiling of the Business Sponsor, Project Manager, Business Analyst and Project Support, roles and responsibilities should be agreed and documented.

A project kick off meeting should be held to agree the scope of work and agree the approach and methodologies to be used as well as identifying the key stakeholders and expectations. The scope of work should be produced and approved by the project board before proceeding to the define phase.

## Define Phase

The Define Phase should start with the initiation of regular project meetings by the project manager, The project team should agree the schedule on which the project team should meet whether this be weekly or fortnightly. This goal of these meetings is to construct and utilise the Project Initiation Document including a User Acceptance Testing Pack and high level project plan. These documents then need to be approved by the project board and Executive Committee (ExCo) before continuing to the next phase. If approval is not granted the project should be evaluated and a decision made as to whether to re-work the project or close the project should the delivery be deemed insufficient to meet the business requirements.

This phase is largely driven by documentation outputs to define the project and its success criteria.

The Define phase should produce the following outputs which are broken down further below:

* Produce the PID document – ultimately produced by the project manager but requires output from all members of the project team.
* High level UAT document – produced by the project manager with input from entire project team.
* Sign off the project plan by the project board and ExCo.
* Initiate the risk register – initiated by the project manager but input from all members of the team required, this is a living document that will be continually updated throughout the project
* Allocate budgets and resources – managed by the project manager with input from finance for budgets and various team managers for resource planning.
* Review of lessons learnt from previous projects – driven by the project manager but shared with the project team for discussion to ensure past issues are not encountered.
* Commence high level requirements gathering with the business sponsor and departments with a vested interest in the project – produced by project manager
* List tasks and activities in a Project Plan – produced by the project manager
* Produce benefits review plan – Project manager should develop a benefits review plan to define what a successful delivery looks like for discussion with the project team.
* Sign off the benefits review plan – to be signed off by the business sponsor.

### 5.2.1 – Project Initiation Document

The purpose of the PID document is to define the objectives of project

The Project Initiation Document does the following:

* Define the project and its scope.
* Brief overview of benefit and justification of the project
* Secure funding for the project, if necessary
* Estimate the budget for delivery
* Define the roles and responsibilities of project participants.
* Give people the information they need to be productive and effective right from the start.

### 5.2.2 – High level project plan

A high level plan with milestone deliverables and estimated dates should be defined, each mile stone should be planned in detail as the end of the previous milestone approaches.

### 5.2.3 – High level UAT

The User Acceptance Criteria should be defined in the early stages of the project so it is clear what deliverables are to be tested and by whom to ensure that the project delivers the expected results.

### 5.2.4 – Project Risk Register

A risk register should be produced at the outset to identify project risks, this document is a living document which should be reviewed and updated throughout the project life cycle. A template risk register for the project will be supplied by the PMO. It is advised that a member of operational risk be consulted to review the document at the outset and at the project meetings.

### 5.2.5 – Budgets and resources

Budgets for the project should be identified and approved early on, estimations for costs should have been identified as part of the business case, these costs should now be confirmed based on time and effort required as well as any external consultancy or solutions to be implemented. It is advised that the project manager work with finance to keep track of the budget and report on any deviations or potential exceptions that may arise to the project board.

### 5.2.6 – Previous Lessons Learnt

A lessons learnt log should be maintained for all projects and shared and discussed in the first project meeting, the purpose of this exercise is to attempt to prevent previous issues reoccurring throughout the project.

### 5.2.7 – High level requirements

The high level requirements should clearly state what the output of the project should deliver and if related to systems development state the functionality required. These requirements should be linked to business objectives.

### 5.2.8 – Benefits Review Document

The project should address a problem or new business requirement and as such the project should deliver a number of business benefits, these business benefit requirements should be documented in the define stage and reviewed throughout the project to ensure the project deliverables are on track and scope creep is not occurring.

## Execution phase

The execution phase is where the bulk of the project work takes place. During this phase the Project Manager should monitor and control the resources and activities. Any changes to the project must be updated in the project plan as well as the Project Initiation Document. All changes should be referred back to the project board to for approval in the form of an exception report. If there is any deviation from the planned time or budget constraints these should also be captured in an Exception Report and submitted to the Project Sponsor for approval.

Project meetings must be regular, and attendance requirements set in advance with mandatory/optional attendees (guests). Deliverables against agreed deadlines should be documented and reviewed at every meeting, this will be captured in the project status updates and circulated by the Project Manager to the PMO.

**Analysis Tasks** detailed requirements should be gathered at this stage and form the basis of the business requirements document, the project plan should be reviewed to ensure that these requirements are addressed. Detailed User Acceptance Criteria should be defined here.

**User Acceptance Testing** is a key feature of projects to implement new systems or processes. It is the formal means by which we ensure that the new system or process meets the user requirements and the benefits review plan. Each system change to be implemented must be subject to one or more User Acceptance Tests (“UAT”) before being ‘signed off’ as meeting user needs.

UAT is:

* A chance to completely test new system enhancements, business processes and software;
* A scaled-down or condensed version of a system;
* The final UAT for each system module is the last chance to perform the above in a test situation.

The scope of each UAT will vary depending on which business process is being tested. In general however, tests should cover the following broad areas:

* A number of pre-defined test cases using quality data to validate end-to-end business processes;
* A comparison of actual test results against expected results;
* A meeting/discussion forum to evaluate the process and facilitate issue resolution.

The objectives of the User Acceptance Test are for a group of key business users to:

* Validate system set-up for transactions and user access
* Confirm use of system in performing business processes
* Verify performance on business critical functions
* Assess and sign off go-live readiness

The plan for each round of UAT should be agreed in advance by the Project Manager with the project team and areas of the business affected by the project. The time required will vary depending on the extent of the functionality to be tested.

The UAT process should be resourced by appropriate staff to carry out the UAT process, it is likely that these people will already be part of the project team.

Each iteration for development should allow time for discussion and issue resolution.

A execution lifecycle will typically be structured as follows:

* Execution (sprint) plan – Agreed aims of this iteration of development
* Development of environment
* Test output against requirements and aims
* UAT
* Review of UAT
* Sign off
* Training
* Documentation
* Deploy / Update
* Test new ‘Live’ environment
* Release/Go Live

The UAT process must be carefully managed by the Project Manager to ensure that it is able to meet the objectives detailed above.

The Project Manager should work with relevant stakeholders to identify/commit the staff who can best contribute to the system testing which most likely be those who have already been involved in the earlier discussions and decision making about the system set-up.

The Project Manager is responsible for co-ordinating the preparation of all test data and the UAT individuals will be responsible for the execution of all test cases with support from their departments. The Project Manager and the project board should formally sign off the UAT test packs to indicate that they agree that the range and level of the testing is appropriate for the system change/implementation.

The UAT testers will:

* Ensure that the definition of the tests provide comprehensive and effective coverage of all reasonable aspects of functionality;
* Execute the test cases using sample source documents as inputs and ensure that the final outcomes of the tests are satisfactory;
* Validate that all test case input sources and test case output results are documented and can be audited;
* Document any problems, and work with the project team to resolve problems identified during the tests;
* Sign off on all test cases by signing the completed test worksheets;
* Accept the results on behalf of the relevant user departments;
* Recognise any changes necessary to existing processes and take a lead role locally in ensuring that the changes are made and adequately communicated to other users

The Project Manager will:

* Provide first level support for all testing issues;
* Review all UAT results to ensure correct interpretation of the conclusions of the testers;
* Advise on changes required to business processes and procedures
* Track and manage test problems;
* Make amendments to the Sprint Plan and Project Initiation Document where required should UAT introduce issues which may affect the delivery of a sprint.

## Closure Phase

Upon completion of the project, regardless of whether successful or unsuccessful, the project closure process should be followed. This allows for reflection, comparison against initial project requirements and gives the project team and wider business an opportunity to review the lessons learnt as part of the process as well as tying off any loose ends.

A lessons logged file will be maintained as part of the overall project management process. This file will be stored in the project directory on the XXXX network and should be updated throughout and especially at the end of the project.

All user acceptance training forms should be collected to form part of the project closure document.

At this point in the project all open risk events entries should be closed or downgraded to minor where they cannot be close and mitigating factors be detailed.

The project board should meet to review the project delivery and ensure that all benefit requirements have been realised.

A formal project evaluation meeting should be held and run by the Project Manager with all involved in the project, following the meeting the Project Closure document should be devised before formally closing the project. This document should be submitted to ExCo for approval to close the project. This point is particularly important from auditing purposes and should not be overlooked.

# Document requirements

## Project Mandate

## Business Case

Introduction

Problem/Requirement

Solution/Proposal

Known risks

Business benefit

Costs associated

Estimated timescales

## Project Initiation Document

Introduction

Solution description

Objectives

Risk assessment

Budget

Timescales

Resources Required

High-level user acceptance criteria

High-level Project Plan

## Risk Register

## Project Plan

Project objectives

Resources required

Timescales

Communication plan

UAT criteria

Project plan review

- UAT results

- Outcome of delivery

- Phase sign off

## Project Closure Document

Introduction

Lessons learnt

Review of delivery

Benefits review

Risk register review

Success result

End project closure report

## 7.1 Document Ownership

This Framework is owned by the YYYY

## Document Coordinator

This Framework is coordinated by the YYYY

## Document Approvers

|  |  |  |
| --- | --- | --- |
| **Approver Name** | **Signature** | **Date** |
|  |  |  |

## Distribution

* *Distribution is to all staff*