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# SA NT DataLink

## Project Management Reporting Framework

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**Organisation:** University of South Australia

**Unit:** SA NT DataLink

**Issue Date:** 22 January 2010

**Version:** v1\_00

This document was re-developed by the SA NT DataLink Unit, based on material provided by South Australian Department for Environment and Heritage.

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## DOCUMENT HISTORY

### File Details

<b>File Location</b>	Z:\SA NT DATALINK\Policy and Procedure\Project_Management_Reporting\Project_Management_Framework_v00_01.doc
<b>File Reference</b>	AP-01

### Document Revision/Release Status

Version	Date	Summary of Changes	Author / Editor	Quality Review
v0_01	15/01/10	Initial draft	Chris Radbone	Aidan Nyongo
V1_00	22/01/10	1 <sup>st</sup> Release, following Steering Committee approval.	Chris Radbone	Aidan Nyongo

### Authorisation

Role	Name & Position Title	Signature	Date
Director	Robyn McDermott Director SA NT DataLink		22/01/2010

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# 1. INTRODUCTION

## 1.1 PURPOSE

This document provides an outline of the project planning, delivery and reporting approach being taken by SA NT DataLink. The SA NT DataLink Project Management Reporting Framework provides a structured approach for managing the delivery of timely, cost and business effective outcomes for SA NT DataLink projects.

This framework discusses the project lifecycle key phases and the role and importance of project governance. It also provides tools such as guidelines and templates to help manage projects.

## 1.2 CONTEXT

### 1.2.1 METHODOLOGY

The SA NT DataLink Project Management Framework is based on the PRINCE2 (Projects in a Controlled Environment version 2) methodology.

This framework identifies:

- The project lifecycle.
- The key elements of a project.
- The project structure.
- The project resources (standards, templates and tools).

### 1.2.2 ALIGNMENT TO BUSINESS PLANNING

SA NT DataLink managed projects will be treated as discrete projects and managed consistently under this project management framework, however the level of formality and detail will be tailored according to the size, risk and complexity of the initiative.

Figure 1 below represents project alignment to the overall program of work.

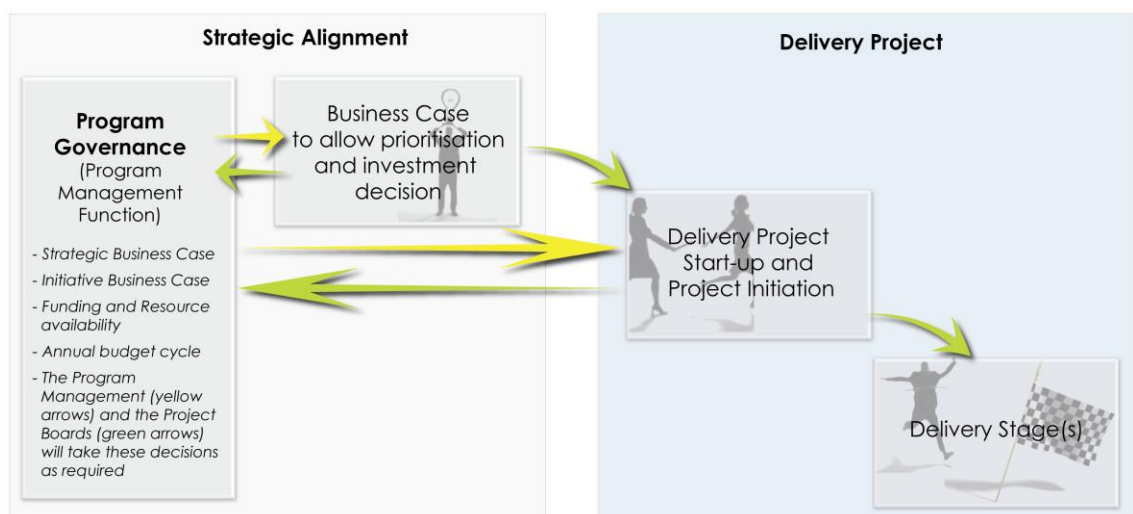


Figure 1 Program Alignment to Projects

### 1.2.3 PROJECTS

A project is a temporary structure that is created for delivering a defined outcome(s) within certain time, cost and quality parameters to achieve identified benefits in accordance with the specified business case. Characteristics of a project include:

- A clearly defined start and end date.
- Defined and measurable products or deliverables.
- Work / activities to achieve those products or deliverables.
- A defined amount of resources (people, in-kind and financial).
- An organisation structure with defined responsibilities that is unique and appropriate to each individual project.

Once the work has been completed and the products or deliverables accepted the project is closed and the temporary structure disbanded.

A group of inter-related projects may be managed as a program of projects; however the same principles for managing an individual project will still apply, although the governance arrangements may need to be structured accordingly to suit the Program and the individual projects within the Program.

A successful project is one that achieves its documented products or deliverables including those benefits identified in the business case:

- On time.
- Within budget.
- To the required level of quality.

### 1.2.4 PROJECT REPORTING

There are two levels of project reporting required; one to monitor the progress and activities of individual projects, and two to get a consolidated overview of the Unit's program of work (program of projects). The latter is required given the expected growing demand for data linkage services, and will be a tool for managing the demand and flow of work being expected and undertaken by SA NT DataLink.

The consolidated (program) report will utilise the Project Performance Indicators provided from Project Status Reports, as well as incorporate a status flag, indicating where in the workflow the project is. For example, the Project Status could be 'On Hold' awaiting Ethic or Funding Approval.

Building on the Project Status Report format, a consolidated report will be designed to allow SA NT DataLink and the Steering Committee to monitor the progress of each project, and provide a snapshot of workload and work flow of the program of work.

### 1.2.5 PROJECT MANAGEMENT

Project Management is a discipline used for planning, organising, and managing resources to bring about the successful completion of specific project goals and objectives. A project has a clearly defined set of activities that use resources (money, in-kind contribution, people, materials, etc) to achieve the project goals and objectives. The primary challenge of project management is to achieve all of the project goals and objectives while adhering to project constraints such as scope, quality, time and budget.

## 2. PROJECT LIFECYCLE

The high level project lifecycle consists of the following 4 key phases:

1. **Start the Project** – This covers the pre-project work including appointment of the project manager and project governance arrangements; using the project brief to seek approval for undertaking the detailed planning in the initiation phase. This pre-project work should take no more than 1-2 days.
2. **Initiate the Project (Detailed Planning)** – This is the start of the project lifecycle with detailed plan required to describe what is needed to achieve the project objectives, including all authorisation required to proceed. This would include signing MOUs or Deeds of agreement, Ethic and Privacy approval to access and use the identified data.
3. **Deliver the Project** – This involves the day-to-day management of tasks required to achieve the project objectives, including authorisation of particular work to be undertaken, tracking performance against the plan, capturing and analysing issues, reviewing and reporting on the status and escalating exceptions and risky situations. It also involves managing the discrete tasks or packages of work required to deliver project outcomes and products. Large and more complex projects with multiple deliverables are often managed and authorised in stages.
4. **Close the Project** – This involves post-project steps including reporting the end of the project, verifying the research and policy outcomes anticipated or delivered from the project (eg published research papers etc), ensuring data destruction agreements are carried through, sharing any lessons learned and preparing post-project recommendations. By closing the project, it also wraps up any outstanding and unresolved project issues, with a close of project report the Executive Sponsor.

A high-level project lifecycle is presented in figure 2.

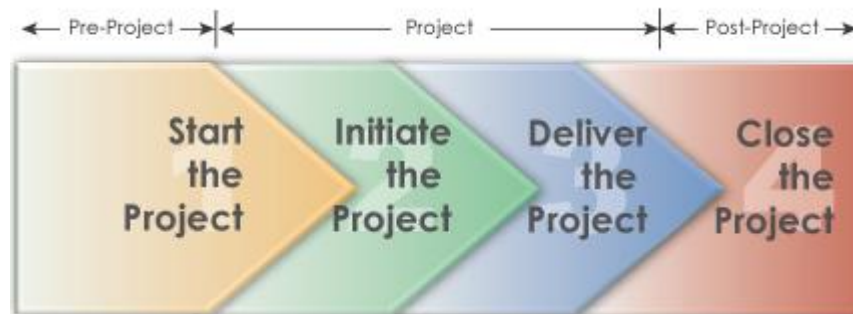


Figure 2 High-level project lifecycle

## 3. SA NT DATALINK PROJECTS

### 3.1 PROJECT TYPES

SA NT DataLink through the SA NT Data Linkage Consortium Steering Committee manages and supports three different project types – reflecting the following internal and external governance arrangements:

1. Statistical Linkage Projects being undertaken by SA NT DataLink Unit for Consortium members, and other parties.
2. Internal SA NT DataLink Projects with oversight provided by the Director and SA NT Data Linkage Consortium Executive Committee.
3. Consortium partner projects which are deemed to require oversight and reporting to the SA NT Data Linkage Steering Committee.

### 3.2 PROJECT CATEGORY AND KEY ELEMENT

The essence of this Project Reporting Framework and the **Projects in a Controlled Environment** (Prince2) methodology is an 'adopt and adapt' approach that tailors what is required for each project. Good planning and consistent reporting through to the Steering Committee is required for good governance, assurance, risk management and delivery.

Given the need for scalability and consistency in monitoring project performance, the SA NT DataLink project management reporting framework has two categories of projects based on complexity and size, each with minimum requirements for formal project governance:

- **Small Projects\***: These small, simple, low risk, low sensitivity single stage projects involve a specified minimum level of project control, documentation and reporting.
- **Large Projects\***: These more formal projects involve an increased minimum specification for the level of project control, documentation and reporting justified by their greater size, complexity, risk or sensitivity.

The level of project control, documentation and reporting may be increased by agreement as required for either category of project.

This framework is based on the UK Government's PRINCE2 (**Projects in Controlled Environments**) methodology which for large (multi-stage/complex) projects comprises nine key elements that must be controlled and managed to ensure a linkage project's success; refer Figure 3 for a Large Project.

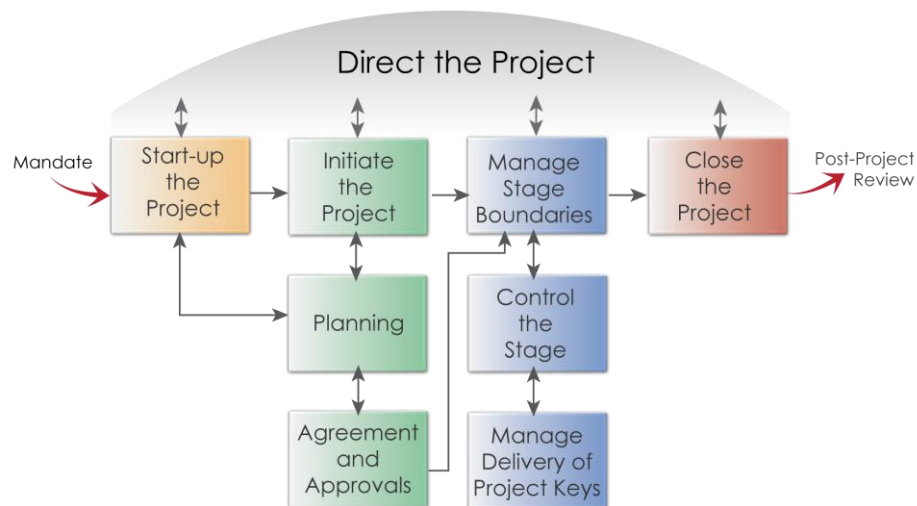


Figure 3. Key Elements of a Large Project

- **Direct the project:** This is a key element for success, in establishing appropriate Project Governance over the life of the project. Project Governance approves what is being delivered by the project, monitors the progress, risk and issues via the specific Project Status Report' reports provided by the Project Manager, and 'Gateway – Decision Point' controls. This includes authorising initiation of the detailed planning and establishment of the project team, and projects scope, stages, deliverables and approvals required.
- **Start up the project:** This process is initiated by an approved Business Case or project mandate. This process involves the creation of the Project Governance arrangements, Terms of Reference including roles and responsibilities and the appointment of the Project Manager. The project's approach, objectives, scope and risks are documented at the Initiation Stage for authorisation by the Project Governance.

\* Refer to SA NT DataLink Project Management Reporting 'Glossary of Terms' for guide to determining project size.

- Initiate the project:** This process is initiated by authorisation by the Project Governance to proceed with the project. The process involves the detailed project planning and development of appropriate project documentation for approval. Planning outcomes are used to produce the Project Initiation Document (Project Plan) and first stage plan for authorisation by the Project Governance.
- Planning:** This planning process designs and documents what will be undertaken and by whom, identify activities and dependencies, estimates, preparing project schedule and analysing risks.
- Agreement and Approvals:** Given the need to successfully negotiate with funders and data custodians, as part of the Initiation Phase of the Project, approvals from Data Custodians are required, as well as Ethic and Privacy approvals.
- Manage stage boundaries/Manage the Project:** In commencing work producing the Data Linkage Keys, this process is initiated once the end of a segment of work (stage) is reached. The process involves the completion of the stage activities and preparation for the following stage, possibly updating the project schedule/plan.
- Control the stage:** This process is initiated once the Project Governance has approved the stage to proceed. The process involves specifying packages of work to be undertaken by the Data Linkage Unit, which document personnel and other resources required to deliver the planned outcomes and products. Stage progress is reviewed and reported to the Project Governance on an agreed basis.
- Manage delivery of Project Keys:** Work Packages\* are negotiated and agreed with the Project Managers, Team Leader(s) and members. Individual packages are executed by the Project Team(s) including quality checking and regular progress reporting to the Project Manager. Completed packages are notified to and accepted by the Project Manager.
- Close the project:** This process is initiated once the projects objectives have been met or the project has been stopped. The process involves checking all project data linkage keys or other products have been delivered (and signed off by the client), appropriate filing and storing of project documentation, destruction of data in accordance with agreements with Data Custodians, providing a mechanism to monitor and report on research outcomes (eg research papers published), collating the total project costs (in-kind and financial resources), conducting an End of Project Report including lessons learned and evaluating how well the project met its objectives. It also wraps up any unclosed project issues.

Depending on the size, complexity, risk and sensitivity/importance of a project some of the key elements of a project can be combined. This is illustrated in Figure 4 for a Small Project.

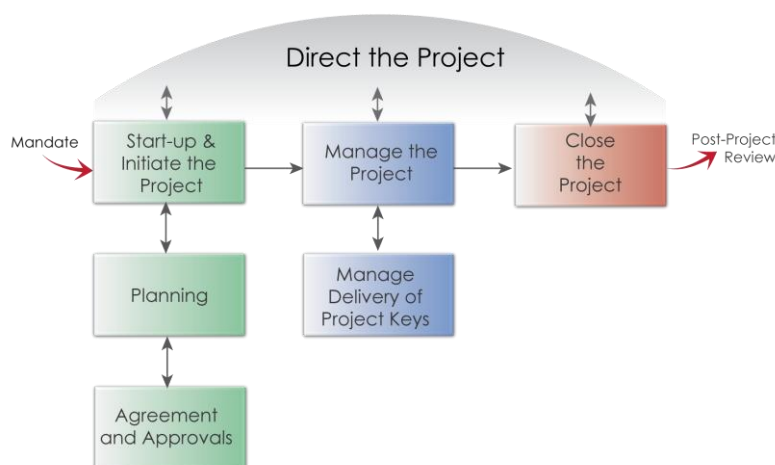


Figure 4. Combined Elements of a Small Project

\* A work package is assembled by the Project Manager for the Team Leader, detailing what is required to be produced.

## 4. PROJECT MANAGEMENT STRUCTURE

It is important to establish the management structure for the project that identifies the specific players, their roles and responsibilities and the interaction between them for the life of the project.

All projects require an appropriate level of project control, documentation and reporting which should be commensurate with the size, risk, complexity and sensitivity of the project.

### 4.1 PROJECT GOVERNANCE BODY/PROJECT BOARD

It is the responsibility of the Executive Sponsor, with the support of the Project Manager to define the Project Governance model required for a project, which can be done in consultation with the appropriate stakeholders.

The Project Board represents senior management's interest in the project. It is the key decision-making body, accountable for the success of the project. The membership should have the authority relevant to make "go / no go" decisions on behalf of all the project stakeholders and commit the resources when a plan is approved.

Controls and reports are geared for members to monitor and ensure the project does not deviate from its objectives or plans with an emphasis on management by exception.

The Project Board is a forum where the Executive Sponsor, the Business Client and the Supplier (of the solution, service or end-product that is developed) meet, negotiate and agree on project directions, resourcing and priorities. Each of those interests is represented by the following 3 roles, and is referred to as a Project Board:

- The **Executive Sponsor** represents the business case as follows:
  - Chairs the Project Governance body.
  - Negotiates a balance between the end business client and supplier interests.
  - Is ultimately responsible for the project.
- The **Senior Business role** represents the benefactors of the project, ensuring that:
  - The needs of all those who will be impacted by the project are specified and supported, and that those needs will be met.
  - Deliverables are continuously monitored against requirements.
  - Business client resources are identified and, where required, provided.
- The **Senior Supplier(s)** represents the supplier of the solution/service/products ensuring that:
  - Those who are creating the project's deliverables are represented.
  - There is accountability for the quality of the products delivered.
  - The supplier has the authority to commit or acquire resources.

One or more Project Board members may represent each of the later two roles. The Executive Sponsor and Senior Business roles may be combined on small projects. However, the Senior Supplier role must always be kept separate.

### 4.2 PROJECT MANAGER

The Project Manager undertakes the day-to-day management of the project on behalf of the Project Governance and does so within the constraints laid down by the Project Governance. It should be noted that Project Board members cannot delegate their responsibilities to the Project Manager.



The Project Manager:

- Reports to the Project Board (but is not necessarily line managed by them);
- Undertakes day-to-day planning and control;
- Authorises, monitors and receives work from Project Teams; and
- Manages those who are creating the products and deliverables.

### 4.3 PROJECT TEAM

The Project Team creates products and deliverables as authorised by the Project Manager. The Team Leader / Resources will normally report to the Project Manager for those activities associated with the corresponding body of work as documented in a Work Package, or as described by formal communication. The Project Manager may assume the role of Team Leader in a multiple resource team situation where none of the appointed resources are appropriate or willing to assume that role.

The Team Leader’s primary responsibility is to ensure production of those products defined by the Project Manager to an appropriate quality, to a time scale and at a cost acceptable to the Project Board.

### 4.4 PROJECT ASSURANCE AND SUPPORT

The Project Assurance function is the monitoring of all aspects of the project’s performance and products independent of the Project Manager. This function may be done by the Project Board members themselves or they may delegate some or all of their assurance responsibilities to others who have more time or more appropriate skills. However, they must not delegate that work to the Project Manager or members of the Project Team.

The two major areas of assurance are Business Assurance and Supplier Assurance.

Project Support is another function that may optionally be provided externally to project teams. It can include project administration, filing, minuting meetings, meetings organiser, support tool expertise, change control and configuration management.

Figure 5 depicts the external provisioning of the Project Support & Assurance functions in a typical project situation. Note: The responsibility still remains with the authorised officers.

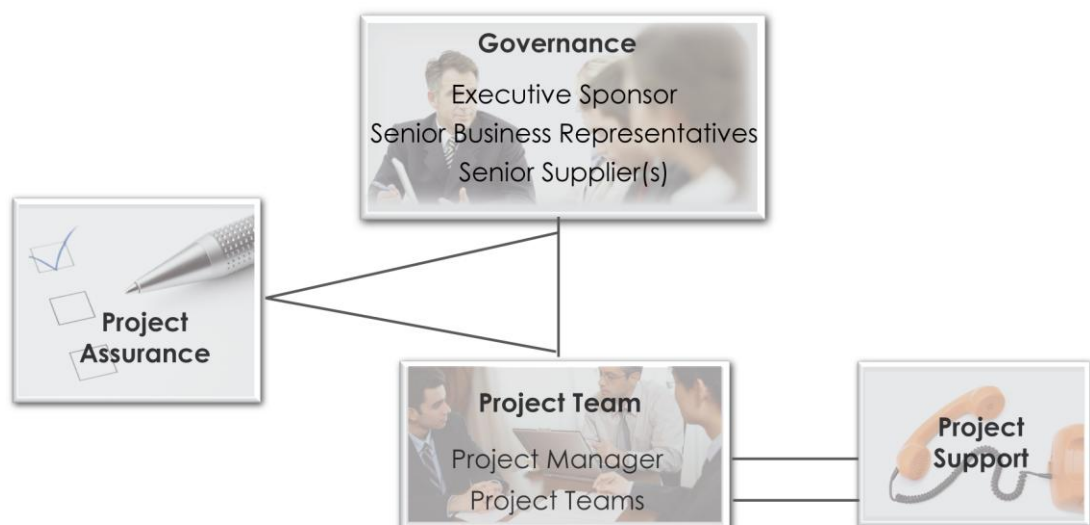


Figure 5 Typical Project Structure

## 5. APPENDIX: PROJECT MANAGEMENT REPORTING FRAMEWORK RESOURCES

The following project resources have been developed to assist people involved in projects.

### 5.1 FRAMEWORK AND METHODOLOGY RESOURCES

Framework and methodology resources include advice and guidance for managing projects, including gateway reviews, roles and responsibilities and risk management.

Framework & Methodology Resources	Comment
Project Management Reporting Framework	Provides the overall expectations, advice, guidance and resources for SA NT DataLink managed or SA NT Data Linkage Consortium Steering Committee specified projects.
Project Management – Standard Operating Procedures (SOP) including:	Provides process model, procedures and templates for delivering SA NT DataLink projects.
<ul style="list-style-type: none"> <li>Project Status Report</li> </ul>	Is a key communication tool providing a brief overview on the project, including progress, issues, risks and expectations.
<ul style="list-style-type: none"> <li>Project Roles &amp; Responsibilities</li> </ul>	Provides an overview on the types of project roles and their responsibilities.
<ul style="list-style-type: none"> <li>Gateway Review Guidelines</li> </ul>	Provides for the formal approval by the Project Governance/Board to proceed to next phase; from Pre-Project Start-up phase, Project Initiation, Project Delivery and Project Closure phases.
<ul style="list-style-type: none"> <li>Project Risk Guidelines</li> </ul>	Guidance for the Project Risk Assessment and ongoing management practices.
<ul style="list-style-type: none"> <li>Project Issue Guidelines</li> </ul>	Guidance for the Issue Management.
<ul style="list-style-type: none"> <li>Glossary of Terms</li> </ul>	Glossary relating to the SA NT DataLink Project Management Reporting Framework.

### 5.2 PROJECT TEMPLATES

Minimum project documentation and reporting requirements have been set for all SA NT DataLink managed projects with an increased minimum level applicable for those projects classified as a Large Project.

The PT-038 Project Documentation Tailoring Tool allows Project Managers to determine and gain approval from the Executive Sponsor on which particular documents will be required for the project.

### 5.2.1 PHASE 1 – START THE PROJECT

ID	Deliverable	Large Project	Small Project	Purpose/Comment
PT-002	Project Brief	Required	Required	<p>Prepared by Project Manager for the Project Board to approve 'detailed' planning, which would include:</p> <ul style="list-style-type: none"> <li>• business case;</li> <li>• project deliverables;</li> <li>• customer expectations; and</li> <li>• any known risks.</li> </ul> <p>This would document prerequisites, dependencies, assumptions, stages, product or deliverables, resources, tasks and expected timings.</p>
PT-003	Gateway - Authorisation to proceed	Required	Required	<p>Formal documentation prepared by the Project Manager for the Project Board to endorse the approval to undertake the detailed planning phase. May be in the form of an email for small projects.</p>
PT-038	Project Documentation Tailoring Tool	Required	Required	<p>Formal process for clarifying what documentation will be required in the planning and delivery of each project.</p>

### 5.2.2 PHASE 2 – INITIATE THE PROJECT (DETAILED PLANNING)

ID	Deliverable	Large Project	Small Project	Purpose/Comment
PT-004 (small)	Project Initiation Document (PID) (Project Plan)  (For a Small or Large Project)	Required	Required	Prepared by Project Manager following the Board's approval to undertake detailed planning. Further define, extend and refine the Project Brief to allow formal acceptance and Board approval to proceed with Project Delivery. PID will confirm the business case, project structure, approach, description of products, and the acceptance statement of project deliverables required for Board approval
PT-005 (large)				
PT-006	Business Case	Required	Part of PID (Separate – Optional)	Prepared by the business to justify undertaking the project including reasons, benefits and risk, benefits realisation, cost and timescales.
PT-007	Quality Plan	Required	Part of PID (Separate – Optional)	Prepared by Project Manager specifying the quality approach, expectations and acceptance criteria for the project.
PT-008	Quality Log	Required	As Required	A register of quality check methods, actions and responsibilities maintained by Project Manager.
PT-009	Communication Plan	Required	Part of PID (Separate – Optional)	Possible separate document prepared by Project Manager to further define all interested parties in the project and associated communication requirements.
PT-022	Schedule	Required	Required	Prepared by Project Manager as a schedule of activities and resources, deliverables and milestones associated with a project brief, stage or exception plan.

ID	Deliverable	Large Project	Small Project	Purpose/Comment
PT-011	Stage Plan	Required (if applicable)	Not Applicable	Prepared by Project Manager for multi-stage projects to further prerequisites, dependencies and assumptions; identified management stages; product and resource requirements; and tasks and timeframes.
PT-012	Product Descriptions	As Required	As Required	Prepared by the Project Manager/client to provide a clear description of what is required, and any constraints and requirements as appropriate.
PT-015	Project Risk Log	Required	Required	A register of all identified project risks as maintained by Project Manager.
PT-016	Project Risk Record	Required	Required	A record detailing the identified project risks and to assist assess their impact.
PT-017	Project Issue Log	Required	Required	A register of all identified project issues as maintained by Project Manager.
PT-018	Project Issue Record	Required	Required	A record detailing the identified and issues and to assist assess their impact.
PT-019	Agenda	Required	Required	Prepared by Project Manager as a formal agenda of all project meetings.
PT-020	Minutes of Meeting	Required	Required	Prepared by Project Manager as a formal record of all project meetings.
PT-021	Action Items Register	Required	Required	Prepared by Project Manager as a formal record of all action items arising from project meetings.

ID	Deliverable	Large Project	Small Project	Purpose/Comment
PT-013	Project Status Report	Required	Required	Prepared by Project Manager on a monthly basis or as agreed with the Project Governance providing an overall update on the projects progress. According to scope, time and budget.
PT-010	Business Requirements	As Required	As Required	Prepared by Business or Business Analyst to describe in business terms on what must be delivered or accomplished to meet the aims and objectives of the business, and to add value to its organisation.
PT-014	Functional Requirements	As Required	As Required	Prepared by Supplier or Analyst to detail functions, inputs, behaviours and outputs of a system.

### 5.2.3 PHASE 3 – DELIVER THE PROJECT

ID	Deliverable	Large Project	Small Project	Purpose/Comment
PT-023	Work Package	Required	Optional	Negotiated between Project Manager and the Work Team assigned that Work Package.
PT-024	Project Team Report	As Required	Optional	Project team status report prepared by Team Leader based on team member input.
PT-025	Exception Report	As Required	As Required	Prepared by Project Manager when dates / budget have / will likely exceed agreed tolerance levels.
PT-026	Exception Plan	As Required	As Required	Prepared by Project Manager when agreed tolerance levels are exceeded and approved by the Project Board.
PT-027	End of Stage Report	Required (if applicable)	Not Applicable	If a multi-stage project, prepared by Project Manager of a stage's performance against its plan.

ID	Deliverable	Large Project	Small Project	Purpose/Comment
PT-029	Test / Implementation Plan	As Required	As Required	Possible separate document to specify the test requirements for Client acceptance of a project product.
PT-028	Training Plan	As Required	As Required	Prepared by Project Manager to specify training requirements, approach and timetable for impacted Clients and support groups.
PT-030	Project Change Request Log	Required	Required	A register of identified change requests as maintained by Project Manager.
PT-031	Project Change Request Record	Required	Required	A record detailing the identified change request and to assist assess its impact.
PT-032	Lessons Learned Log	Required	Required	A register of lessons learned throughout the life of the project as maintained by Project Manager.

### 5.2.4 PHASE 4 – CLOSE THE PROJECT

ID	Deliverable	Large Project	Small Project	Purpose/Comment
PT-034	Formal Business Client Acceptance Statement	Required	Required	Business's statement of acceptance of a project product, deliverable or milestone.
PT-033	Project Handover Report	As Required	As Required	Possible separate document prepared by Project Manager to specify the requirements, dependencies, approach and timetable to transition from the existing to new operational environment.
PT-035	End Project Report (incl. Lessons Learned)	Required	Required	Report to Project Board (and relevant key stakeholders) on how well the project has performed against its PID, including the original planned costs, schedule and tolerances.
PT-036	Gateway – Authorisation to Close	Required	Required	Formal documentation prepared by the Project Manager for the Board to endorse the closure of the Project. May be in the form of an email for small projects.
PT-037	Post Project Review  (Post Project)	Required	Required	Prepared by business once a project completed (usually after a period of time) to determine if the project has delivered the business benefits in accordance with the Business Case.