Digital Solutions Division

ACT Government | ACT Health

Project Delivery Framework

For Tier 1 and Tier 2 Projects

Version 3.0

Document Control

Version	Summary of Changes	Author	Date
1.0	Sentenced as Approved Document	Kristina Carroll	30/05/2019
2.0	Sentenced as Approved Document	Kristina Carroll	10/06/2020
2.1	Annual review and updates	Sandra Millett	02/07/2021
2.2	Updated with Agile approach and revised relevant chapters	Sandra Millett	29/04/2022
2.3 and 2.4	Incorporating internal feedback received	Sandra Millett	21/11/2022
2.5	Inclusion of DDTS Best Practice Design Toolkit as advised by Digital Committee	Sandra Millett and Ryan Mavin	10/02/2023

Document Review

Version	Reviewer	Position	Date
1.7	Digital Committee	ICT Governing Committee	10/06/2020
2.4	ACTH Consultation	ACTH Senior Executive & CHS and CPHB ICT Stakeholders	10/12/2022

Document Approval

Version	Approver	Position	Date
2.0	Sandra Cook	Executive Branch Manager, Future Capability, Digital Solutions	03/06/2020
2.0	Peter O'Halloran	Chief Information Officer Executive Group Manager, Digital Solutions	03/06/2020
2.0	Digital Committee	ICT Governing Committee	10/06/2020
3.0	Digital Committee & ACTH Executive Board	ICT Governing Committees	10/02/2023 22/02/2023

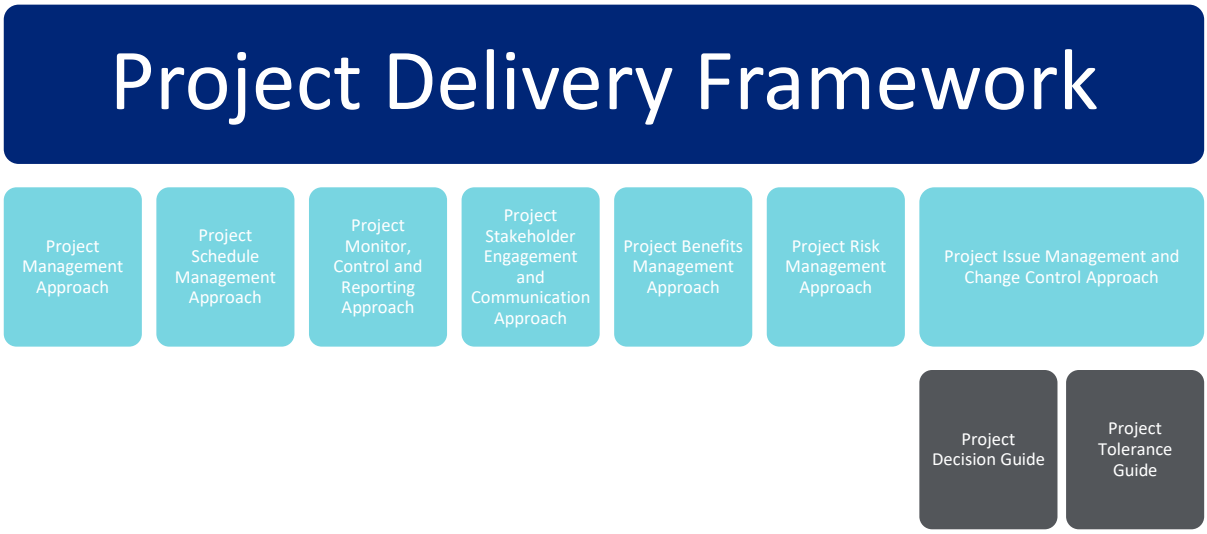
References

Document	Version	Location
Portfolio Delivery Framework	3.0	https://health.act.gov.au/digital
Program Delivery Framework	3.0	https://health.act.gov.au/digital

Contents

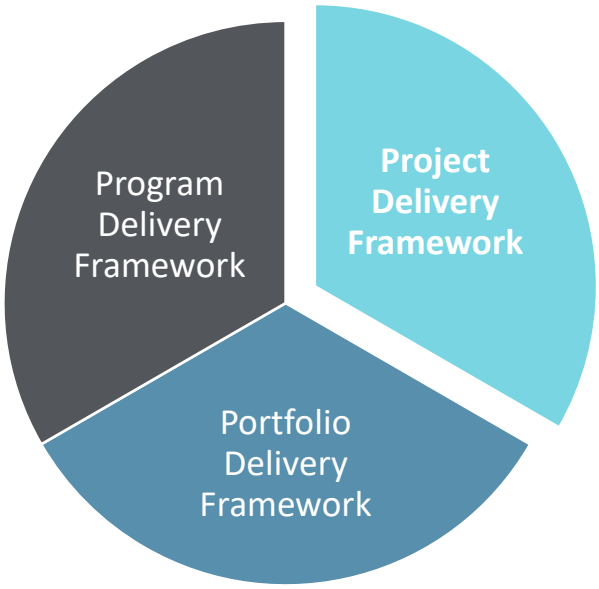
Document Purpose

The purpose of the Project Delivery Framework is to bring together, into a central document, the Approaches that support the Digital Solutions Division (DSD) staff to deliver technology solutions projects. This set of Approaches and documentation is to provide all stakeholders with a single, authoritative and up-to-date source of advice on the project management practices to be used.



This Framework document is underpinned by the:

- Program Delivery Framework, where program management approaches are provided to support program delivery, and
- Portfolio Delivery Framework, where the approach to portfolio management is defined to support the delivery of programs and projects.



Best Practice Methodology

The Digital Solutions Division has adopted and tailored the following international best practice methodologies for healthcare technology-based project, program and portfolio delivery:

- Project Management – Projects IN Controlled Environments (PRINCE2) and Agile Framework Methodology
- Program Management – Managing Successful Programmes (MSP)
- Portfolio Management – Management of Portfolios (MoP)
- Project, Programme and Portfolio Management Office – Portfolio, Programme and Project Offices (P30)

All of these methodologies are aligned with the industry recognised C*ontrol OBjectives for Information and related Technologies* (COBIT) maturity model.

It is assumed that the reader of this Framework has a level of familiarity with these best practice methodologies.

Definitions

Programs and projects are primarily focused on delivery of outcomes/benefits and outputs/products respectively. The Portfolio by contrast is focused on the overall contribution of these outcomes, benefits and outputs to strategic objectives.

Project and program management seeks to ensure successful delivery at each individual project and program level. However, Portfolio Management is concerned with ensuring that the programs and projects undertaken are the right ones in the context of the organisation's strategic objectives, managing delivery at a collective level, maximising benefits realisation and ensuring that lessons are identified, disseminated and applied in the future.

Portfolio

A portfolio is the totality of its investment in the changes required to achieve strategic objectives. This is termed the "Digital Solutions Division Portfolio" (Portfolio) and the portfolio is a permanent function of the Division managed through Portfolio Management (Office of Chief Information Officer (OCIO).

Portfolio Management

Portfolio Management is the coordinated collection of strategic processes and decisions that together enable the most effective balance of organisational change and business as usual activities. Portfolio Management achieves this by ensuring that initiatives are:

- Agreed at the appropriate management level and contribute to strategic objectives, Calvary Public Hospital Bruce, Canberra Health Services and ACT Health Directorate priorities,
- Prioritised in line with strategic objectives and organisational priorities,
- Prioritised in the context of the rest of the Portfolio, affordability, risk, resource capacity and the ability to absorb change, and
- Reviewed regularly in terms of progress, cost, risk, benefits and strategic contribution.

Programs

A program is a temporary, flexible grouping of projects created to co-ordinate, direct and oversee the implementation of a set of related technology capabilities in order to deliver outcomes and benefits that are related to the ACT public health system, and organisational strategic objectives.

The Portfolio is grouped into programs. Programs are temporary, though they may exist for many years at a time.

Program Management

Management of a program is the action of carrying out the coordination, direction and implementation of a dossier of projects and transformation activities to achieve outcomes and realise benefits of strategic importance to Calvary Public Hospital Bruce, Canberra Health Services and ACT Health Directorate.

Projects

A project is a temporary organisation, existing for a shorter time than a program, which will deliver one or more outputs in accordance with a specific business case. A particular project may or may not be part of a program. Whereas programs deliver outcomes (where benefits are derived from) projects deliver outputs.

The Portfolio is made up of multiple projects, grouped within formal or informal programs under the direction of Senior Directors from each Branch within the Digital Solutions Division.

Project Management

Project management is the planning, monitoring and control of all aspects of the project and the motivation of all those involved in it to achieve the project objectives on time and to the specified cost, quality and performance. Project Management is the most commonly used process within the Portfolio. All Project Management guidelines and policies are documented within the DSD Project Delivery Framework (this document).

The Waterfall and Agile frameworks detailed in this document are consistent with Digital Data Technology Solutions (DDTS) Best Practice Design Tool kit.

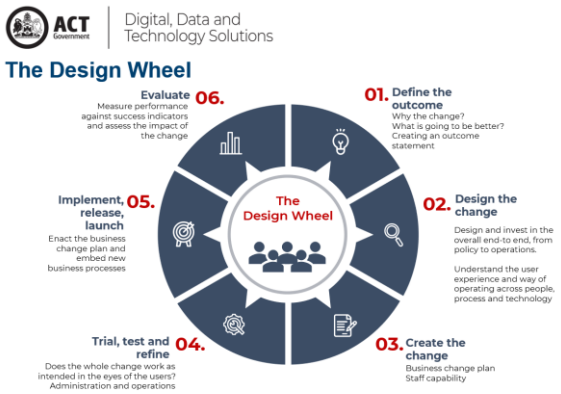


Figure 1: DDTS Guiding Best Practice Design & Delivery - Design Wheel

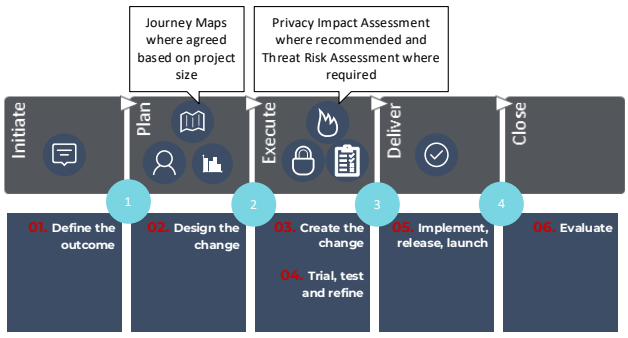


Figure 2: Project Delivery Framework stage alignment

The Framework serves as a reference guide for project teams and executives. It should be tailored based on the type and complexity of each project.

Tailoring

The purpose of tailoring the Framework is to ensure that the approaches and artefacts required for the delivery of a project meet the requirements of the project. Not all processes, procedures and templates will need to be used for all projects as each project is different. Some projects will adopt waterfall methodology and other projects will be better suited to an Agile approach.

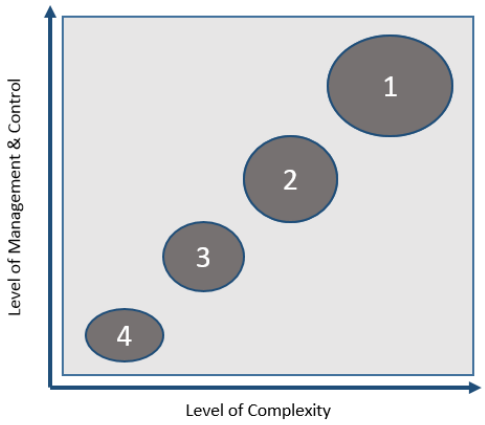
The Project Manager is responsible for discussing tailoring options for a project with the Director, Portfolio Management. At the project's establishment, the best suited methodology will be agreed upon.

Note: Inclusion of the Guiding Best Practice Design & Delivery Journey Maps (Customer, Staff, and Data) within the Plan and Execute phases (or within an agile sprint) is to be considered when tailoring. Journey maps are recommended where the is a non-trial flow of information or control needed to realise the project benefits. Journey Maps are a mandatory inclusion for any solution where the customer experience integrates with WhoG customer facing services and/or the Digital Account.

Project Tiers and Classifications

Projects are assessed as being complex through to simple by Portfolio Management during the Pre-Project activities. These assessments are confirmed by the DSD Executive.

The purpose of project sizing is to provide guidance around the level of documentation, detail expected and governance required. The artefacts are negotiated and tailored through discussion and approval with Portfolio Management (see Tailoring).



Project Management Approach

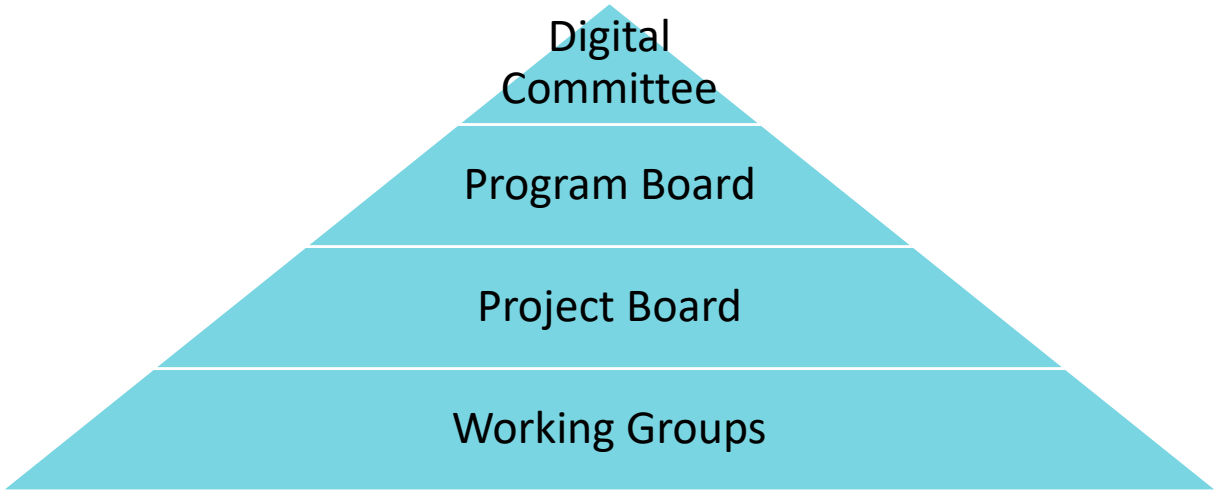
Project Governance

The purpose of project governance is to provide structure, stability and guidance to the project, whilst providing the appropriate level of control for an ACT Government project environment. Governance via the appropriate Project Board[1] is mandatory for all projects in the Portfolio, influenced by the size, nature, complexity and organisational impact of the project.

Every project requires direction, management and control for project success. Governance must be formed during initiation of the project, embedded and maintained throughout the project's life.

Project Boards manage projects by exception, by monitoring progress via status reports provided by Project Managers and controls through decision points. They are not required to be involved with the day to day activities of the projects.

Project Boards may exist for individual projects or projects may be grouped into a single Program Board that is responsible for multiple projects.



Governance Structure

DSD projects conform to the ACT Health Governance Framework 2018-2023.

According to this, the project levels of governance are as follows:

Direction Setting and Decision Making	Digital Committee
• Chaired by the Chief Information Officer and Executive Group Manager (Health System Planning and Evaluation)	• Is the Sponsoring Group for Programs • Direct resources across the Portfolio • Garner additional/re-direct resources according to priorities • Purchase services and goods with appropriate procurement advice
Corporate Governance	

[1] Smaller projects (tier 3 and tier 4) that do not report to a Project Board will seek the authorisation from the Executive Sponsor and CIO.

Decision Making	Program Board *(where applicable)*
• Chaired by an Executive Group Manager or equivalent (the Executive Sponsor of the Program)	• Can request, influence people to engage with their work. • Purchase services and goods with appropriate procurement advice, within the agreed Program budget and the Chair's delegation.
Program Governance	

Decision Making	Project Boards
• Executive Branch Manager and Professional Lead or equivalent (the Executive Sponsor of the Project)	• Can direct resources to act in a particular manner. • Purchase additional services/goods in line with the Project budget and delegation.
Grouped DSD Projects Governance	

Advisory/Working Group	Advisory/Working Groups
• Chaired by Executive Branch Manager, Clinical/Business Lead	• Can request, influence people to engage with their work. • Are unable to purchase services or goods without explicit delegation from the Project Board.
Project Governance	

Projects will have an Executive Sponsor and Project Board identified during Pre-project activities. The key roles for every project include:

- **Executive Sponsor** the products of the project should meet a clinical and/or business need that justifies the investment in the project.
- **Senior User** the user viewpoint represents those individuals or groups who will use the outputs of the project to realise the benefits; operate, maintain or support the projects outputs; the outputs of the project will impact them. The role of Executive Sponsor may be combined with the Senior User role. There can also be more than one Senior User.
- **Senior Supplier** the creation of the project's outputs will need resources with certain skills. The supplier viewpoint should represent those who will provide the necessary skills, services or goods and produce the project product. This is the Chief Information Officer of the ACT Health Directorate who represents DDTS, Vendors and DSD resources.

Project Governance Meetings

Meeting	Meeting Frequency	Chair	DSD Responsible Manager	Seeks decisions from
Project Board	Monthly	Executive Sponsor	Senior Director or Executive Branch Manager	Digital Committee[2][3]
Working Groups	As defined within the Project Initiation Document (PID)			Project Board

Roles and Responsibilities

To be successful, projects must have an explicit management structure consisting of defined and agreed roles and responsibilities for the people involved in the project and a means for effective communication between them. The following Key Roles and Responsibilities relating to Project Governance:

Role/Committee	Responsibility
Digital Committee	• Receives recommendations from the Project Board • Authorise project initiation from Strategic Investment Proposals (SIP) submitted by Portfolio Management to the Committee • Authorises change requests or exception reports related to the tolerances as per the Decision Guide
Project Board	• Accountable for the success of the project meeting the clinical and/or business and user needs • Provides recommendations to the Digital Committee • Receives recommendations from the Advisory Groups • Providing unified direction to the project • Delegating controls designed for the direction of the project • Facilitating integration of the project team within ACT Health and Canberra Health Services • Actively managing projects as per the Tolerances Guide • Authorise the PID, stage report and exception plans • Authorise project closure and notifies the Digital Committee • Approve all major plans, authorise deviation that exceeds or is forecast to exceed stage tolerances • Approve the completion of a Stage and authorise the start of the next Stage

[2] Digital Committee should be replaced with Program Board, where a project is a part of a formal Program.
[3] Where a Program is ACT public health system wide, it may have a different overarching body. In these cases the Digital Committee is advised of progress but does not have a decision-making role.

Role/Committee	Responsibility
	• Authorise change requests related to the project baseline (except for increases in Budget)
Working Group	• Provide advice and support to the project, particularly to the Project Manager and Change Manager within the constraints set out by the Project Board • Provides recommendations to the Project Board • Integrates the project teams with operational teams responsible for delivering the project • Facilitates communication within the project and other stakeholders, in line with the Project Communication Plan • Endorses project documentation, stage completion and moving to the next project stage (then recommends to the Project Board)
Chief Information Officer / Senior Supplier	• Assess and confirm the viability of the project approach • Decision maker ensuring that the project meets overall technology objectives • Financial delegation for DSD led projects • Advise and approve the design, development and acceptance methods • Ensure that the resources required for the projects are made available • Make decisions on escalated issues, with focus on safeguarding the integrity of the completed solution • Resolve supplier requirements and priority conflicts • Brief non-technical management and executive on the technical aspects of the project • Ensure quality procedures are used correctly so that the solution adheres to the requirements of the clinical area or business • Responsible for ensuring that the best solution is commissioned to deliver the project and that the integrity of the solution is maintained, so that the project is capable of delivering its intended benefits • Accountable for the quality of products delivered by the supplier according to the contract(s) • Assess and confirm the viability of the project approach • Responsible for the technical integrity of the project (partnering with DDTS where applicable)
Executive Sponsor	• Ultimate decision maker ensuring that the project meets its objectives • High level oversight of the overall strategic objectives of the project outcomes and benefits • Responsible for the project success supported by the senior user and senior supplier • Ensure the project is focused throughout its life on achieving its objectives and delivering a product that will achieve the forecast benefits

Role/Committee	Responsibility
	• Responsible for the business case and ensure overall business assurance of the project so that it remains on target to deliver products that will achieve the expected benefits and so that the project will be completed within its agreed tolerances • Monitor progress and any changes to the project plan, in particular the business case • Hold the supplier to account for the quality and integrity of the specialist product • Endorses project documentation, stage completion and moving to the next project stage prior to seeking approval from the Project Board • Executive Group Manager or higher level • Chair of the Project Board
Executive Branch Manager, Future Capability	• Management accountability over Future Capability and Digital Health Record • Manage portfolio resourcing conflicts • Accountable for project management, program management and portfolio management methodology and processes
Executive Branch Manager, Technology Operations	• Health Change and Release Management • Provide enterprise and solution architecture across ACT HealthDigital Solutions Support • Accountable for system support methodology and processes • Management accountability of Infrastructure Hub
Responsible Senior Director	• Monitor and compare actual achievements against those planned by reporting to the Project Board • Provide a forecast for the objectives and the projects continual viability to the Project Board • Work with the Executive Sponsor and CIO to control any deviations to the project plan
Project Manager	• Responsible for the day-to-day management of the project within the constraints set out by the Project Board • Works on behalf of the Project Board, Executive Sponsor and CIO to manage the project to agreed specifications and tolerances • Responsible for ensuring work is performed within tolerances (time, cost, quality, scope, benefits and risk) • Prepares project plans, manage quality according to plans • Escalate issues and risks if project tolerance is forecast to be exceeded • Keeps the Project Board, Executive Sponsor and CIO informed of progress, and highlights any current or emerging problems • Determine what work needs to be done, in what order, and how, to deliver the project outcomes • Manage the allocation of resources to the project

Role/Committee	Responsibility
	• Prepares status reports, other ad hoc reports, end of stage reports for submission to Project Boards

Change Manager	• Establish and specify the extent of the organisational change required
	• Lead the change to process, work practices, org structure, training, communications, roles and responsibilities to ensure the realisation of benefits
	• Lead stakeholder engagement to identify stakeholders that may:
	  ○ Support or oppose the project
	  ○ Gain or lose as a result of project delivery
	  ○ See the project as an enhancement or threat to their role
	  ○ Become active supporters or blockers of the projects and its progress
	• Evaluate the extent to which the change activities have contributed to the realisation of benefits

Project Team	• Responsible for delivering the project's products to an appropriate quality within a specified time or cost • Works under the direction of the Project Manager
Senior User(s)	• Responsible for representing and specifying the needs of those who will use the end result of the project and monitoring the project to ensure that these needs are met • Represents the interests of all those who will use the project's products, those for whom the products will achieve an objective, or those who will use the products to deliver benefits • Specify the benefits and is held to account by demonstrating that the forecasted benefits are realised • Provide the customer quality expectations and define acceptance criteria for the project including the requirements • Make decisions on escalated issues with a focus on safeguarding the expected benefits • Brief and advise management on all matters concerning the project • Assist with the maintenance of performance stability during transition from the project to business as usual • Ensure the desired outcome of the project is specified • May be more than one person • May be combined with the Executive Sponsor role
SME	• Provides the knowledge and expertise in a specific subject/business area for a project • Represent their business unit's needs to the project • Supply business rules and procedures and communicate the contexts in which the rules, processes and policies are applied

Role/Committee	Responsibility
	• Validate the requirements and deliverables that describe the products that the project will produce
Senior Director (OCIO)	Oversees: Portfolio Management: • Monitor all aspects of the project's performance and products independently of the Project Manager including risks, resourcing, quality methods, scope, communications, standards alignment are being adhered to • Support the Project Manager by giving advice and guidance on the application of the Portfolio frameworks such as Project Management Approach, Project Governance Approach, Project Risk Management Approach, Tolerances and Decision Guide • Coordinating project assurance involving monitoring all aspects of a project/s performance, including the quality of deliverables through Checkpoints • Conducting Stage Gate Reviews to recommend to the Project Board that the project remains viable and ensure that: ○ Risks are controlled ○ Correct processes and procedures are being followed ○ Project scope changes do not go unnoticed ○ Internal and external communications are effective ○ The solution developed meets the requirements • Resource management including contingent workers co-ordination Contract Management: • Vendor and contract management across all Health specific applications

Pre Project Activities[4]

The problem or project idea is presented to the Enterprise Architect team. They will conduct a Customer Engagement Meeting where the high-level requirements and clinical and/or business problem are captured. The effort involved will vary according to size.

The information is transcribed into a SIP that is approved by the Executive Group Manager of the requesting work area. The SIP is approved by the appropriate governance body (depending on the proposed project tier).

Following an approval to initiate the project, the Senior Director OCIO, in consultation with the DSD Executive appoints a project manager and project team roles. The project's methodology approach (either Waterfall or Agile) will be determined at this time. The following criteria may assist with deciding the best approach:

[4] The Pre Project process is managed by the Enterprise Architect team..

- How complex is the change? *High complexity is more likely to benefit from waterfall methodology*
- How many customers are impacted? *High customer impact may benefit from agile due to the continuous feedback being obtained*
- How experienced are the team? *New teams may struggle with agile but depends on how collaborative they are and their mindset.*
- Is the regulatory / legislative impact? *Usually better with waterfall but depends on the nature of the change.*
- How much risk is there of the product not meeting needs? *Agile will be the best approach to learn and confirm as you go.*
- How much certainty is there with requirements? *The more uncertainty, the better agile will be.*
- Is there a Subject Matter Expert (SME) / product owner who can work with the delivery team? If not, agile approach will be more challenging.

A Project Brief is derived (later refined into the Project Initiation Document [PID] for Waterfall projects during Initiation Stage) that includes an outline of the Business Case. This starts the process to prepare the project for initiation and hand over to the nominated Project Manager. A kick-off meeting with the project team will include the Portfolio Management service to set the project assurance and reporting expectations. At this point of the project, it may not be clear what output the project is intended to create (the what). However, it should be clear what clinical and/or business problem is to be solved and what outcome or benefits the clinical area or business is aiming / expecting to achieve (the why) and how these will be measured.

A.WATERFALL METHODOLOGY

Purpose

The waterfall methodology is a traditional linear project management approach where stakeholder and customer requirements are captured in the beginning of the project and then a sequential project plan is developed to meet these requirements. It is a structured approach where a phase cannot begin until the previous phase has been completed.

This approach is based on the widely adopted *Projects IN Controlled Environments* (PRINCE2) methodology and has been developed to guide project teams on the best practices to be applied throughout the life cycle of their project.

Its purpose is to establish a common process for project management across the portfolio and to facilitate access to a common set of procedures, tools and templates.

DSD utilises a Project Portfolio Management (PPM) Tool to assist project teams with resource, budget, schedule, and risk and issue management as well as to generate Project Status Reports. There will be activities that occur within the tool and activities that occur outside of it referred to within this Framework.

Fundamentals

This Waterfall Project Management Approach is based on the following PRINCE2 Principles, Themes, and Project Life Cycle.

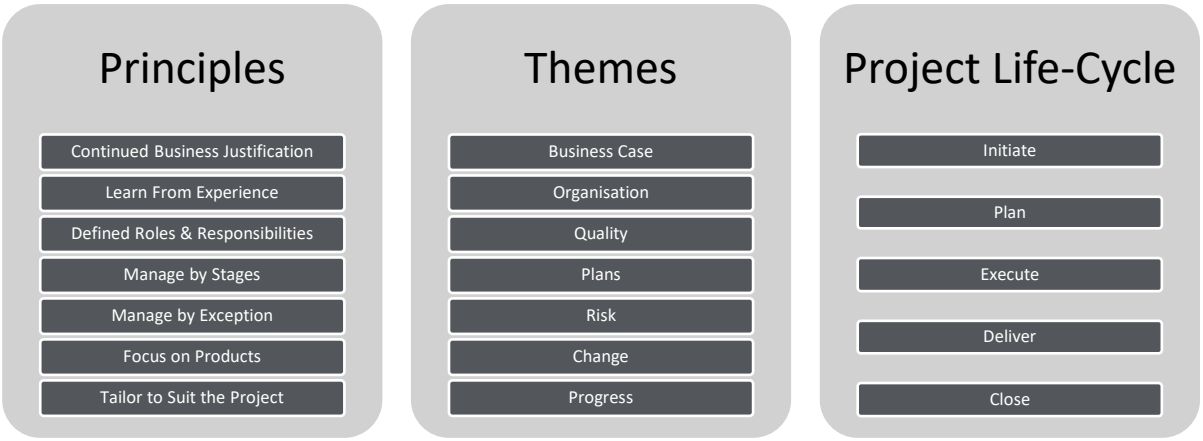


Figure 3 PRINCE2 Principles, Themes and Project Life Cycle

Project Life Cycle

The project life cycle describes the stages that connect the commencement of a project to the end of the project. The changeover from one stage to the next includes the completion of a set of specific activities. Generally, the requirements specified within the stage must be completed before moving on to the next stage. The project life cycle defines:

- Activities to be completed
- Deliverables to be generated and reviewed
- Responsibilities and roles
- Entry and Exit conditions for each stage

The Project Life Cycle has been divided into 5 Stages, separated by Stage Gates. These are explained in further detail in the 'Stage Gates' section of Project Monitoring, Control and Reporting. The key objective of undertaking a Stage Gate at the end of each stage is to maintain compliance for key controls and to ensure the project remains within its established Business Justification.

Stage	Description
Initiation	Refines and enhances the Project's Business Case and develops a set of documentation such as the Project Initiation Document (PID). This is to enable the execution against the plans to: • meet business objectives • support active management • control of the project
Planning	Determines how the project will be delivered. Detailed planning activities include design and procurement.
Execution	Includes the design, construct, and accept activities as applicable to the project. This stage may be repeated as necessary to deliver all the required project outputs/products. Development, Test, UAT, Train and/or Pre-Production Environments may be used.
Delivery	The delivery and transition elements of the Project. This Stage implements the project product/s (or Capability) into a Production Environment. This Stage may be repeated as necessary to deliver all the required project outputs/products.

Stage	Description
Closure	Moves the project and the organisation for a transition to business as usual and deployment or redeployment of resources.

Managing the Stages

During the project stages the purpose is to assign work to be done, monitor the work, deal with issues, report progress to the Project Board and take actions to ensure the Stage remains within tolerance. This will ensure that attention is focused on the execution of the products required for the Stage, risks and issues are controlled, the Business Case is constantly reviewed, and the agreed products for the stages are delivered to the desired quality standards. The Stage must be kept within the cost and time agreed, and ultimately support the achievement of the defined benefits. The project management team is then focused on execution within the agreed tolerances.

During the Stages the Project Manager must:

- Authorise work packages
- Review work package status
- Receive completed work packages
- Review the status of the stage
- Report highlights against the stage
- Capture and examine issues and risks
- Escalate risk and issues
- Take corrective actions

Authorising the Stages

It is important that a project Stage only starts when the Project Board says it can. The Project Board authorises a Stage by reviewing performance of the current Stage and approving the next stage via the Stage Gate Review chaired by the Senior Director, OCIO and recommendation to the Project Board.

Baselines

Project Baselines are recorded formally in the project management tool by Portfolio Management. Exception Reports, Change Requests or other Decisions recorded at Project Boards may enable this to occur. Baseline 0 occurs at the end of Project Initiation Stage, and then baselines are updated at each Stage Gate, post Project Change Requests or Exception Reports.

Work Packages and Product Delivery

Project managers are responsible for the oversight of the delivery of the project including deliverables and required products (management and specialist) via work packages per Stage. This includes allocating a work package to the team managers (or team members themselves) who then accept the work package, execute and deliver the work package. The Project Manager outlines the requirements for acceptance, execution and delivery of the products and work packages.

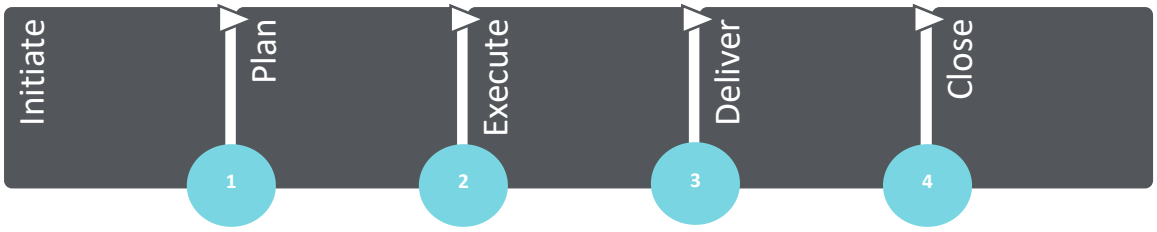
The objectives of managing work packages and product delivery is to ensure that:

- Work on products allocated to the team is authorised and agreed in advance

- Team managers, team members and suppliers are clear as to what is to be produced including the expected effort, time and timescales
- The planned artefacts are delivered to expectations and within tolerance
- Accurate progress information is provided to the Project Manager at an agreed frequency to ensure that expectations are managed

There should be an agreement between the Project Manager and the applicable team manager or team member as to what is to be delivered. This should include the reporting requirements, what constraints apply, any procedures to be applied and whether the requirements of the work package are reasonable and can be achieved.

Project Stages and Deliverables



The focus on managing the projects by stages ensures the project is properly initiated before work starts on delivery of the project's outputs. It also:

- Provides review and decision points, giving the Project Board the opportunity to assess the project at defined intervals, rather than let it run in an uncontrolled manner
- Gives the ability to ensure that key decisions are made prior to the detailed work needed to implement them
- Allows clarification of what the impact will be of an identified external influence.
- Facilitates the management by exception principle

Each Stage includes of a number of related activities which logically need to be completed prior to the commencement of the next stage. Most Stages have Checkpoints where additional oversight is required by Portfolio Management. Checkpoints are detailed in the Stage Gate section.

Appendix A details the key activities, engagements and artefacts that are utilised within the stages by most DSD projects.

Post Project

The project is delivered and now contributing benefits towards the appropriate corporate strategies etc. Post project benefits reviews are conducted to ensure this.

A post project benefits review will focus on:

- Confirming the planned benefits have been achieved
- Identifying which planned benefits have not been achieved
- Identifying any unexpected benefits that have been achieved and any dis-benefits that resulted
- Providing lessons for future projects and Portfolio Management Office (PMO) to document.

B. AGILE APPROACH

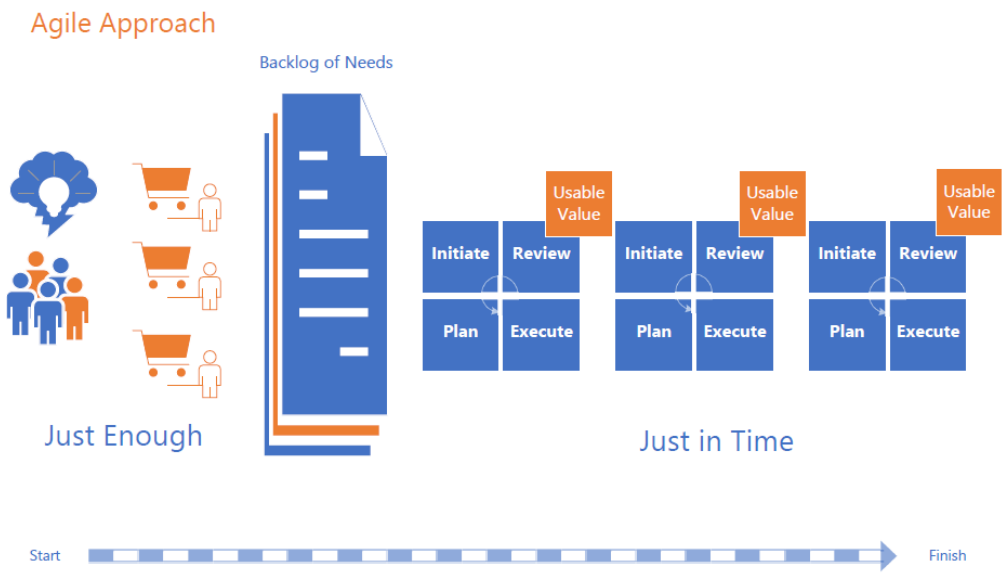
Purpose and Fundamentals:

Agile project management is an incremental and iterative approach to delivering a project. It focuses on continuous releases that incorporates customer feedback. It provides the flexibility to adjust and iterate during the development process. This enables requirements, plans and results to be evaluated continuously so that there is a mechanism to respond to change quickly. This approach is different from a linear, waterfall project management approach, which follows a set path of project phases with limited deviation.

The core components of an Agile approach are based on the Agile MANIFESTO which was developed in 2001 and was built on a set of four values and twelve principles that defined a culture and mindset.

Managing the Agile Approach

DSD uses a hybrid of Agile methodologies that demonstrates a commitment to tight feedback cycles and continuous improvement. The following diagram and table sets out the principles, processes and tools used by DSD to deliver successful projects using an Agile approach.



DSD's Agile Delivery Framework

Manifesto Principle	Processes	Deliverables	Who's Involved	Tools/ Inputs
• Shared Vision- highest priority is to satisfy the customer through early and continuous delivery	**Overall vision**- define the desired outcome for the customer	**End product** - capabilities, standards, quality expectations **Expected return on Investment** - metrics that project will be measured against	Product Owner Business Stakeholders Delivery Manager	
• Communication & Collaboration - Build projects around motivated individuals. Give them the environment, support and trust	**SCRUM FRAMEWORK** - helps teams work together to develop solutions. With a scrum, a product is built in a series of iterations called sprints			
	Product Planning Session focuses on developing the Epic/features and Minimum Viable Product User Stories as well as identifying the Project constraints and risks	**Epic** - are large bodies of work that can be broken down into features **Features** (Product Backlog)- piece of functionality that delivers business value. It is a collection of user stories **User Stories** details the requirement and are written from the perspective of the end user **Project constraints** - what is fixed, flexible regarding scope, cost, schedule **Risks** - unfavourable impact and mitigation strategies	Product Owner Scrum Master Delivery Manager Scrum team - Business Analyst; Developer; Test Analyst	Product Roadmap - plan of action for how a product/solution develops over time
• Agile processes promote sustainable development • Simplicity - the art of maximising the amount of work not done is essential	**Release Planning** - determines the prioritised Backlog, with further breakdown and details provided for user stories	**Prioritised Product Backlog** with estimated (high level) effort required using story points	Product Owner (prioritises Product Backlog) Scrum Master Delivery Manager Scrum team	Prioritised features using MoSCoW method (Must have; Should have; Could have; Won't have this time)

Manifesto Principles	Processes	Deliverables	Who's Involved	Tools/ Inputs
• Best architectures, requirements and designs emerge from self-organising teams	**Sprint planning** occurs at the beginning of each sprint to discuss each item on the product backlog and estimate the effort involved	Story Points - data points that teams use to track progress to inform decision-making and become more efficient in planning and execution	Facilitator: Scrum Master	Story Points - used to represent the size, complexity and effort needed to complete a user story.
• Deliver working software frequently with a preference to the shorter timescale • Business people and developers must work together daily throughout the project • Working software is the primary measure of progress • Most efficient and effective method of conveying information is face-to-face conversation	**Sprints** - These increments (or sprints) are for a fixed period usually in two-week cycles where all the work is done	Deliver the agreed tasks for the sprint	Product Owner Scrum Master Delivery Manager Scrum team - Business Analyst; Developer; Test Analyst	Daily Stand-ups is a short meeting typically 15 minutes designed to inform the team what was completed yesterday, what will be worked on today and if there are any blockers
				Kanban Board - visual depiction for the project team to easily see what work is yet to be started, what is in progress and what work has been completed for the sprint
				Azure DevOps - software tool used by the scrum team to track progress, upload code and test scripts

Manifesto Principles	Processes	Deliverables	Who's Involved	Tools/ Inputs
• Welcome changing requirements even late in development	**Sprint Showcase** - seek customer feedback on what has been delivered in the sprint. This enables project teams to stay focused and change course early if new or altered requirements are identified	Demonstrate the features/user stories built during the sprint	Product Owner Business Stakeholders Delivery Manager Scrum Team	
• At regular intervals the team reflects on how to become more effective	**Retrospective** - Scrum team reviews the process at the end of each sprint how they worked together to improve for the next sprint	**Grooming the backlog**- changes made by the team to the next sprint process	Scrum team Facilitator: Scrum Master	

Agile scrum artefacts are detailed in Appendix C and contain the information that a scrum/sprint team and stakeholders use to detail the product being developed.

The following story point chart outlines the activities and their estimated time to complete during the ten-day sprint cycle

Sprint Cycle item	Story Point*
Sprint Planning	0.4
Design & Build of task/s based on User Stories	7.6
Code Review Testing Fixes	1.8
Retrospective	0.2
TOTAL	10 (points or DAYS)

* 1 Story point is equivalent to 1 day of effort for a scrum team resource

Roles and Responsibilities

Further to the roles and responsibilities of the project management structure detailed on page 10, there are core roles required in an Agile team. Their use will vary according to the size of the project team and the complexity of the project.

Role	Responsibilities
Product Owner (must be from the business to ensure a product fit for purpose)	• Defines the overall vision and direction for the end product • Works with the Delivery Manager and stakeholders to define requirements • Communicates the customer voice to the scrum/sprint team • Actively participates in sprint planning and sprint review to monitor the team's progress • Prioritises User Stories according to their importance • Ensures that delivered features meet user needs
Scrum Master	• Aids and guides the team to implement Agile practices • Facilitates scrum meetings and sprint planning • Removes blockers that hinders progress and helps the team to estimate and increase productivity • Motivates the team and acts as the glue that holds the team together to improve team dynamics
Delivery Manager	• Co-ordinates the delivery of artefacts including sprint outcome report

Scrum team	• Chooses how to deliver the tasks and value at the end of the sprint. Roles in the scrum team can include:
	  ○ Business Analyst
	  ○ Developers
	  ○ Test Analyst
	  ○ Solution Architects

Monitoring –Reporting

In addition to the Project Reporting processes detailed from Page 37, there are some agile metrics that can be used as a measure, to determine if elements need to be changed to provide a more efficient and predictable outcome. The epic burndown chart can be used to track if a project team is on-course with the sprint goals. It is a visual representation of progress against time. It shows how quickly the team is burning through user stories and when the project is likely to be finished.

Each sprint should end with a Sprint Outcome report. This includes the sprint achievements, status of sprint backlog items and team capacity and effort during sprint. See Appendix C for further details.

At the end of the Agile project a Closure report will be completed by the Delivery Manager which will include lessons learned which can be shared for future projects.

Project Schedule Management Approach

Purpose

The purpose of scheduling (following Waterfall methodology) is to provide a roadmap that represents how and when the Program and projects will deliver all the products defined in the Project Initiation Document (PID).

Schedules are used by the Project Manager to manage the project they have been given responsibility for.

The purpose of this Approach is to document the principles, requirements and processes used to establish, monitor and report on scheduled worked for the project to deliver the solution in accordance with the approved business case.

The Approach is not intended as a detailed procedure for performing scheduling. Rather, it is a guideline for applying generally accepted project scheduling practices.

Roles and Responsibilities

The table below outlines key roles and responsibilities for project schedules.

Role	Responsibility
Project Board/Executive Sponsor	**Accountable:** The Project Board/Executive Sponsor approves original baseline and any change requests thereafter which may result in the project being re-baselined.
Project Manager (Schedule owner)	**Responsible:** Schedule owner is responsible for planning, building and maintaining the schedule in accordance with the schedule management guidelines. The schedule owner communicates all impacts and changes to the critical path to the Project Board/Executive Sponsor and is also responsible for identifying external dependencies and including it in the schedule.
Project Stakeholders	**Consulted**: Project Stakeholders/Impacted parties are consulted/informed before submission of the schedule to the Executive Sponsor for baseline approval and any change requests thereafter.
Suppliers	**Responsible:** Suppliers support scheduling by providing up-to date effort and duration estimates and dependencies for the duration of their engagement on a project.
Portfolio Management	**Support:** Assistance and advice can be sought from the Director Portfolio Management to build, manage and QA individual project schedules.
Executive Sponsor, DSD Executive	**Informed:** Reporting is provided on key tasks and milestones over the life of the projects.

Beside these specific responsibilities, each project's team members:

- Has a shared responsibility for the accuracy and completeness of tasks in the schedule
- Does not create any other schedules or 'sources of truth' for dates baselined in the schedule

- Inform the schedule owner if any key tasks have not been captured in the schedule

Schedule Principles

The overarching schedule principals to be adhered to by all project staff are included below:

- The schedule is to be the single point of truth for all work to be conducted on the project
- The schedule template must be used as a starting point to build a project schedule. This is to ensure consistent structure, information, standards and compatibility with the scheduling tool, are applied across the portfolio. This template can be tailored as per project requirements
- All project deliverables must be included in the project schedule
- Key milestones must be identified and recorded as such
- Best practice project planning and sequencing will ensure every task has a predecessor and a successor
- All tasks in the schedule must have an assigned resource or role
- Resources are not to be assigned to Summary Tasks or milestones
- Summary Tasks must not have logic applied (either a predecessor or successor task)
- A project schedule should be baselined after project initiation and then at the beginning of each stage, or after an Exception Report is approved
- Avoid constraints such as fixed dates unless tasks are constrained by timing, business events, dependencies, or legislative requirements
- Each task description starts with a verb (E.g.: Document, Build, Test, Define, Implement etc.)
- Each task description explicitly describes the expected accomplishment (E.g.: Define scope for Hosting Supplier)
- Update and progress schedules every week as defined under the schedule management section of this document
- The Critical Path is to be shown in the schedule. An exception report is to be raised if there is slippage of key milestones on the critical path. The critical path is shown in red on the schedule

Stage 1 – Initiation

Tier 1 and Tier 2 Projects

On project commencement PMO will load an applicable Project Schedule Template into the scheduling tool. The Project Manager will develop the project schedule in conjunction with the project team.

The schedule will then be updated at a weekly meeting by the Project Manager. The schedule will be managed in accordance with the SOPs.

Initial Baseline

The schedule will be baselined at the end of Stage 1 – Initiation, during the Stage Gate 1 – Progress to Plan. It can then be re-baselined at the end of each stage or because of an approved Exception Report or approved Project Change Request.

The Baseline schedule is the source of truth tool on the Project. Therefore, it must:

- Be valid for the total duration
- Reflect the objectives of the project
- Quantify the deliverables
- Contain all Work Packages
- Define the resources and therefore costs
- Be measurable
- Reflect where the project is at any time
- Indicate where it is going and how
- Generate Tools/Reports for Management to take actions and make decisions
- Permit analysis of project progress
- Establish accountability for the DSD and its stakeholders, Vendors and Contractors

Schedule Reviews

Once the initial schedule has been created and the detailed planning has commenced, the Project Manager will work with the project team (and vendor) to optimise the schedule. Items to review include –

- Scope – has all authorised scope been included (check appropriate contracts, PBS, Project Management Approach and Development Lifecycle methods etc. to ensure completeness)?
- Does it align with the project plan within the PID, and the applicable DSD processes and procedures?
- Conduct a review of the possible critical paths – is there slack or float, does it make sense, are there tasks with a large amount of slack/float?
- Deliverables (are all the deliverables necessary – which ones are mandatory, which are optional, are they really necessary – if you cut them out and you find you need them later a change request and issue will need to be raised to get them back in the schedule, which ones have been forgotten)
- Dependencies - are they real and are they accurate and do you have them all (includes cross project dependencies)?
- Ensure the entry and exit criteria from one task to another and one stage to another is understood. What MUST be done versus what is NICE to have?
- Are there ways to do more tasks in parallel or with more overlap (refer to risk as this often involves more risk than doing things in sequence)? (Resources may be another constraint here)
- Durations - are they accurate and can you do it quicker?
- Resources - are all known resource requirements added?
- Be creative - but clearly note the assumptions and risks you have taken
- Risk - consider the amount of risk the organisation is prepared to take with the schedule. This should not be done casually but with a serious view to the amount of risk the organisation is prepared to take to potentially get the job done more quickly (if time is an issue)
- Document all assumptions in the risk register. Assumption is the risk category

- Undertake a schedule risk review – review the risk register for any schedule, budget, management and resource risks and ensure mitigation is adequate and that these risks are well understood by the Project, the Executive Sponsor and Project Board
- The baselining of the schedule will be completed by PMO. The vendor shall then baseline their schedule
- Project change control is now in effect – the scope, schedule and costs (budget) are now locked down

Note – If the Project Manager is drafting a plan that the Project Board will be asked to approve, all the risks and assumptions used to construct that plan must be documented and brought to the Project Board's attention so that they can make an informed decision. The decision on a high-risk strategy is not in the Project Manager's remit to make – it is the Project Board's decision only.

Resource and Environment Management

All tasks in a schedule are to have either a named or generic resource role applied. The DSD Schedule template applied during Initiation will contain generic resources for standard tasks. The Project Manager will need to ensure these are accurate, adjust durations and amend units or hours for each task.

The schedule will be the single point of truth for all resource forecasting hence it must be kept up to date and monitored.

Environments will be entered into the schedule as a material resource. The Project Manager is to assign the applicable tasks that the environment will be utilised for.

Stages 2 Onwards - Ongoing Schedule Development and Management

Vendor Planning

If a project involves significant procurement activities major planning session(s) will occur once a vendor is chosen and a contract or Statement of Work (SoW) has been signed.

Throughout this planning process, the schedule will undergo a major update and will be re-aligned to the new plan and to the Contract and Statement of Work. At the end of this process the schedule will be re-baselined and both DSD and Vendors will be held accountable to the dates in the schedule. The DSD schedule will become the contract master schedule for the project and will be the single source of truth.

Vendor Milestone Payments

Vendor milestone payments are to be clearly marked in the schedule. They are to be complete and include the 'entry criteria' required to be met before the milestone payment can be made. They are also to include all tasks needed to make the payment including vendor invoices received and payments to be made. These will be key milestones and will be baselined and tracked accordingly.

Project Milestones

Milestones are tools used in project management to mark specific points along a project timeline. These points may signal anchors such as a project start and end date, a need for external review or input and budget checks, among others. Milestones do not impact project duration.

All milestones in the contract and SOW are to be entered into the schedule and linked to all appropriate entry/exit criteria as detailed in the contract. All entry and exit criteria are to have tasks detailed in the schedule.

Some milestones will be marked as Key Milestones and these are the ones the Project Manager has agreed are the reportable milestones for the project. These milestones and their respective baselined dates will be reported to management in Project Status Reports. These are reflective of Stage Gates, Checkpoints and milestones within each stage.

Approval Tasks

All schedules are to make appropriate and realistic allowances for all approval tasks. These are important to the overall project and will have the potential to cause major slippage to the project if they have not been allowed for appropriately.

If any DSD and ACT Health review timeframes have been agreed to in contracts, then these are the durations which should be used for scheduling purposes.

Tracking and Updating

Individual schedule tracking and monitoring is the responsibility of the Project Manager. The schedule is owned by the Project Manager.

The schedule is to be updated weekly within the Project Management Tool.

- **DSD Internal Project Status** – the Project Manager is to ensure their project schedules are up to date and accurately reflect the work to be undertaken as part of their project. This should be done at least weekly but maybe undertaken daily as necessary.
- **Vendor Status** – The Vendor is to provide an update regarding the status of joint items as agreed with the Project Manager, or in accordance with the contract. The tolerances of their schedule and indicator levels shall be the same as the DSD schedule. Baseline dates shall remain consistent between both schedules. The Vendor is to provide the DSD with an electronic copy of their updated schedule for review.

The schedules are to be updated with actual start/finish dates to ensure flow on impacts can be accurately tracked, assessed, mitigated or work re-estimated accordingly. Any deviations from the baseline are to be substantiated. If during the updating process the updating causes the end date of the Stage or Project to slip past any tolerances an issue should be raised and/or remedial action taken to bring the schedule back within tolerance or, an Exception Report is to be raised if this cannot be done.

In order to update the schedule, the Project Manager should:

- Update the status date,
- Ensure all new tasks are auto scheduled,
- Update % completes for all open tasks,
- Amend durations,
- Ensure all Work Packages are in the schedule,
- Ensure all Stage Gates and Checkpoint dates are included and amended as required

- Add or remove resources, amend resource units or hours.
- Confirm incoming or outgoing dependency dates with other Project Managers.

Issues, Risks and the Schedule

Risks impact the schedule in that they impact the direction of the project and the project schedule may be driven by risk mitigation strategies. All risks discovered during the project should be entered into the risk register within the project management tool. Any assumptions used to create or maintain the schedule should be entered into the risk register using the risk category of 'assumption' to highlight them. All assumptions impact the schedule. Once an assumption is proven to be false an issue is created.

Issues impact the schedule on a day to day basis. It does so in two broad ways:

1. Schedule delays are likely to impact some scheduled tasks. A formal issue needs to be raised in the Project issues register. The tasks impacted by schedule slippage should be detailed within the raised issue.
2. Issues may often impact the schedule. Resolution of specific issues may mean that additional tasks, resources or duration will need to be added to the schedule which may mean tolerances will be breached and an Exception Report will need to be raised in order to bring the schedule back into line.

Schedule Tolerances and Indicators

Please refer to the Tolerance Guide.

Stage Management

All entry and exit criteria for each project stage are to be clearly articulate in the DSD Project Schedules. Slippage on all entry and exit criteria is to be tracked.

Critical Path

The critical path is the flow of tasks with 0 days slack. If tasks on the critical path slip, then the stage and project will slip accordingly. The critical path is to be monitored closely. Any slippage of any task on the critical path is to be brought to the attention of the Project Manager. Issues must be raised for slippage of tasks on the critical path and remediation activities undertaken. If remediation cannot occur an Exception Report needs to be raised.

Critical path identification and analysis are essential to ensure that management is focusing the necessary resources on the correct tasks to prevent slippage of the project end date. Close monitoring and analysis of the path is also recommended and will ultimately provide management with the necessary insight to better keep the project under control and on track for successful completion.

Change Control (Re-baselining)

Baselining or re-baselining of a project schedule can only occur after approval from the Project Board, or Executive Sponsor as outlined in the Project Decision Guide. Once the project schedule has been baselined the Project Manager needs to control the schedule. In control, you model proposed changes into the schedule and analyse any impacts to the baseline.

Changes to the schedule baseline may occur because of:

- Proposed inclusion or exclusion of scope,
- Proposed changes to scope or design by the vendor,
- Proposed changes to the way the solution will be built or deployed,
- The schedule baseline (through either excellent or poor performance) has become an unrealistic target, and
- As a result of an issue or risk occurring (often through items above) or because of poor planning.

Changes maybe minor or they may involve a re-work of the schedule. Only approved changes are to be included in a baseline update. The process for modelling significant changes to the schedule is very similar to the initial planning process.

Stage 5 - Closure

Once the Project Board and Executive Sponsor have confirmed that the project has completed its scope, they authorise project closure to commence. In regards to the closure of the schedule the following occurs:

- Continue updating status until the completion of closure and the Board has issued notice that the project has completed.
- Update the schedule to be 100% complete within the Project Management tool
- Update any costs in the schedule.
- Remove any incomplete effort (work) from the schedule.

Schedule Rules

Appendix B provides a list of rules or best practice to be used when constructing the Project schedules.

Project Monitoring, Control and Reporting Approach

Purpose

The purpose of the Project Monitoring, Control and Reporting Approach is to define the Monitoring, Control and Reporting approaches for the Projects including the key activities throughout the project life-cycle and the roles and responsibilities related. The overall purpose of monitoring is to ensure effectively managed project results and outputs, through the measurement and assessment of performance. The purpose of controlling a project (by each stage) is to assign work to be done, monitor such work, deal with issues, report progress, and take corrective actions to ensure the stage and therefore the project remains within tolerance.

This framework also includes the Information Management processes covering the measures, systems and techniques to be used to maintain and control the Project Information and Records Management processes.

Objectives

The underlying objectives of this Approach are to ensure that the DSD Executive and project staff, project Executive Sponsors, Project Boards and project advisory groups have a common understanding of the controls and reporting requirements for the projects.

Monitoring is the continuous process of assessing the progress of the project in relation to the approved Project Initiation Document (PID) including the Project Plans, Schedule, Business Case, Requirements and Budgets. Monitoring helps to improve performance and achieve results.

Examples of effective project monitoring practices include project financial and schedule status at the end of an agreed cycle (monthly), project risk and issue management, and project change control. The requirement for information supporting these monitoring activities is specified throughout this document.

The objectives of controlling the project within the Stage is to safeguard that attention is focused on the delivery of the products for the stage as approved in the Project Managers Stage Report, that risks and issues are kept under control, the business case is kept under review, the agreed products for the Stage are delivered to the stated quality standards, within cost, effort and time agreed, and ultimately in support of the defined benefits and the project management team is focused on delivery within the tolerances.

Project Monitoring

Project monitoring uses established mechanisms to compare actual achievements against those planned, provide a forecast for the project objectives and the projects continued viability and control any unacceptable deviations. Controlling progress is central to project management, ensuring that the project remains viable against the approved SIP.

There are a number of Dynamic Records that must be maintained and updated by the Project Manager to assist with the monitoring, controlling and reporting processes. These include:

- Daily Log (optional)
- Schedules
- Budget
- Expense Records
- Benefit Profiles
- Actions (optional)
- Change Requests
- Exceptions
- Decisions
- Risks
- Issues
- Quality
- Lessons
- Communications
- Work Packages

The reports generated by the Projects assist with project monitoring. Trends captured by Status Reports will also be used to get a view of the overall health of the project. Reports are either time or event driven. These are explained with additional detail in the Project Reporting section below.

Status reports are Time Driven reports used to monitor project progress regularly.

Event driven reports for monitoring project progress include the Exception Reports, End Stage Reports, Project Closure Report or Project Assurance reports. Baselines are used to generate metrics to assist with project monitoring. Tolerances are then assessed, and the projects are managed by exception according to these.

Escalations (Manage by Exceptions)

Management by Exception is a key feature of project management with PRINCE2. It relies on very basic concepts allowing the division to effectively manage projects. For project factors such as time, cost and scope, the Project Manager has some flexibility (Tolerances) before escalating an issue to the Director, DSD Executive, Executive Sponsor or relevant Project Board. The tolerances are set at the portfolio level and relate to:

- Time/Schedule – indicates whether the project is tracking to the agreed baseline and deliver date
- Budget (Cost) – forecast total budget spend of the life of the project is within tolerances
- Scope – are there any scope elements that will jeopardise the delivery of the project outcomes
- Risk – puts limits on the project risks including new risks and risk ratings
- Issue – puts limits on the project issues including corrective actions
- Quality – determines that the project is fit for purpose and suited to business needs
- Benefits – ensures that the project is viable and provides a return on investment
- Overall – monitors whether the project is delivering to the agreed project plans and within all tolerances

Once the project is active the Project Board will get actively involved only when the tolerances are exceeded, or the project is under threat. These tolerances can be adjusted by agreement with the relevant Project Board.

The Project Manager reviews progress regularly with the Director, the Project Team and during status report creation. The decision is made by the Project Manager as to whether the work package, stage plan or project plan remain, or are forecast to remain, within agreed tolerances.

An Exception Report is produced and provided to PMO when a project plan is forecast to exceed tolerance levels set. It is prepared by the Project Manager to inform the Executive Sponsor, CIO and Project Board of the situation, and to offer options and recommendations for the way to proceed.

Project Controls

Project controls will focus on providing visibility and accountability, and upholding quality as well as effective execution of the projects. PRINCE2 includes six (6) variables that require constant monitoring and control through the project life cycle:

Costs	The project has to be affordable and must have appropriate budget management. Processes to follow are found in the DSD Project Financial management Approach in this document.
Timescales	Closely linked to the costs of the project. The plan on when each activity will be carried out. Techniques such as Project Schedules and Critical Path Diagrams are used. The Project Schedule Management Approach outlined in this document contains the processes and rules used to manage project time.

Quality	Ensuring the project products and outputs are fit for purpose and satisfy stakeholder expectations. Mechanisms used by the projects to control quality are defined in the Project Quality Management Approach defined and approved during the Planning Stage.
Scope	Documentation and agreement on what the project will deliver is mandatory for all projects. Moving outside this scope is the most common delay in project execution and overspend.
Benefits	Provides the 'why' for the project existence. Used to ensure return on investment. Processes to follow are found in the DSD Project Benefits Management Approach in this document.
Risk	All projects face risk that can impact the success of the project. Processes to follow are found in the DSD Project Risk Management Approach within this document.

Stage Gates

The purpose the Stage Gate is to enable the Project Manager to provide the Project Board and Executive Sponsor with sufficient information to be able to:

- Review the success of the current stage
- Approve the Project Managers Stage Report
- Review the updated overall project plan (within the PID) to confirm continued business justification and acceptability of the risks

A Stage Gate is held before the next stage, after a sub-stage or before a planning horizon begins. This is the opportunity for the Project Board to review the on-going relevance, progress and status of the project and provide authorisation and direction over the next stage. To enable effective Project Board discipline and control the projects must be structured in a manner that allows those that are accountable to clearly, comprehensively, and objectively assess how the project is performing against planned goals at each Stage Gate. These Stage Gates allow the executives the opportunity for informed assessment of the progress of the project. A project must successfully complete a Stage Gate prior to progressing to the next stage.

Project Managers are given permission via the Project Board to deliver the next stage only. The Stage Gate will enable the organisation to ensure that:

- The project is on track to deliver according to the Business Case (principle of continued business justification)
- All products in the stage plan (Project Manager Stage Report) have been completed and approved
- The project is prepared for the next stage with the Project Managers Stage Report
- The PID is updated including the business case, project approach, project team structure and role descriptions
- The project has recorded lessons learned that will assist the project in future stages or other projects in the future
- The project has authorisation to start the next stage

Every project that is executed will follow the default project Stage Gates. The size of the stage review will depend on the extent and complexity of the project. In addition to the Stage Gates, there

will be Checkpoint Reviews performed by PMO during the stages. This activity occurs to ensure the project remains aligned and forms part of the project assurance as well as project control.

Stage Gate and Checkpoint Review Approach

There is a minimum set of products required at each Gate, however, each project will have its own set of activities to be reviewed at each Gate.

The Stage Gate Report is documented by the Stage Gate panel and a recommendation made to the Project Board by the Senior Director, Office of the Chief Information Officer. A project cannot progress to the next Stage without final authority from the Project Board.

Project Stage	Checkpoint Review (PMO	Stage Gate (End of Stage)
Project Initiation Stage		1 Progress To Plan
Project Planning Stage	Progress to Market	
	BA Plan and Approach	
	BRS Baselined	
	Conceptual Solution Design Approved	
	Data Migration Strategy Approved	
		2 Progress to Execute
Project Execution Stage	Progress to Development Environment	
	Progress to Test Environment	
	Progress to Execute (for Multi Release)	
	Progress to Pre-Production Environment	
	Progress to Deliver (Multi Release)	
		3 Progress to Deliver
Project Delivery Stage	Progress to Close	
Project Closure Stage	Project Closure	

GATE 1 – Progress to Plan

This process is the Stage Gate to move from Initiate into Plan. At the conclusion of the Initiation Stage a small number of products are required to be complete. The Initiation Stage is a small stage, where the foundations for the project are established. Additionally, if there are known exceptions to tolerances, an Exception Report would also be required. It is also expected that the Dynamic Records

used to Monitor and Control the Stages are created and updated reflective of the current status of the projects.

CHECKPOINT REVIEW– Progress to Market

If procurement activities occur, there is a Checkpoint Review associated, where PMO will review the Statement of Requirements prior to the approach to market activities.

CHECKPOINT REVIEW – Business Analysis Plan and Approach Approved

The PMO will confirm that the Business Analysis Plan (BA) and Approach has been approved during this Checkpoint review. This is to ensure that there is a robust and approved plan in place for soliciting the appropriate business requirements. Planning with DDTS, Vendor(s) and ACT Health must occur before the requirements gathering occurs later in the Plan Stage. CHECKPOINT REVIEW - Conceptual Solution Design Approved (CoSD)

PMO will confirm that the Conceptual Solution Design (CoSD) has been approved by Health Architecture Review Panel (HARP) and DDTS Architecture Design Review Panel (ADRP) during this Checkpoint review. Planning with DDTS, Vendor(s) and ACT Health must occur before the technical build that occurs in Execute.

CHECKPOINT REVIEW – BRS Baselined

PMO will confirm that the Business Requirements Specification has been approved during this Checkpoint review. Planning with DDTS, Vendor(s) and ACT Health must occur before the technical build and testing occurs in Execute.

CHECKPOINT REVIEW – Data Migration Strategy Approved

PMO will confirm that the Data Migration Strategy (if required) has been approved during this Checkpoint review. A successful data migration is critical to the success of the project and often requires extra planning and preparation. Planning with DDTS, Vendor(s) and ACT Health must occur before the technical build and testing occurs in Execute. GATE 2 – Progress to Execute

This process is the Stage Gate to move from Plan to Execute. At the completion of the Plan stage a significant number of products (plans and specifications) are required to be completed.

The Project Managers State Report and the plans created and approved during the Plan Stage form the product suite for this stage. Additionally, if there are known exceptions to tolerances, an Exception Report would also be required. It is also expected that the Dynamic Records used to Monitor and Control the Stages are created and up to date and reflective of the current status of the project.

CHECKPOINT REVIEW– Progress to Development Environment

PMO receives the DDTS Project Proposal (derived from the DDTS Project Brief and the Conceptual Solution Design). Once reviewed and approved by the CIO (and Executive Sponsor where relevant), the Development Environment can be built.

CHECKPOINT REVIEW– Progress to Test Environment

PMO receives the Fit for Purpose Certificate from the Project Manager as approved by the Executive Sponsor.

CHECKPOINT REVIEW– Progress to Pre-Production Environment

PMO receives the Data Migration Strategy Checkpoint, Fit for Purpose Certificate and Penetration Testing Report from the Project Manager before the PreProd environment can be built.

CHECKPOINT REVIEW– Progress to Execute

This Checkpoint Review is used for multi-release projects. PMO confirms all dynamic records are up to date and receives the updated approved Training Plan, Business Transition Approach, Updated Conceptual Solution Design and Master Test Plan from the Project Manager.

CHECKPOINT REVIEW– Progress to Deliver

This Checkpoint Review is used for multi-release projects. PMO confirms all dynamic records are up to date and receives the updated approved DSD BAU Transition Plan, Test Summary Report, UAT Certificate, updated Go/No Go Checklist and Penetration Test Report (if required) from the Project Manager.

GATE 3 – Progress to Delivery

This is the Gate to move from Execution to Delivery Stage. At the completion of Execution Stage during the Progress to Deliver Gate, the readiness for Go Live is assessed.

There is a Go, No-Go activity with the Executive Sponsor which gives approval and oversight of project readiness. Items assessed include operational, support, technical, end user training, business go live times are selected.

CHECKPOINT REVIEW – Progress to Closure

This Checkpoint Review that the project is ready to progress to closure once there are no outstanding issues and the project product is accepted. Handover has occurred to Technology Operations Division and support processes are in place.

CHECKPOINT REVIEW– Project Closure

PMO reviews Project Closure report and all closure deliverables to submit for CIO approval for project closure.

Stage Gate Management Process

Step	Task	Responsibility
1	Review Stage Gate Checklist.	Project Manager
2	Ensure all Products are complete and approved.	Project Manager
3	Submit required products and Stage Gate checklist results to PMO for Stage Gate Review meeting the following week.	Project Manager
4	A face-to-face meeting with the Stage Gate panel & Project Manager will be scheduled.	PMO
5	Stage Gate Panel to review documents and provide recommendations to Senior Director, OCIO.	PMO
6	Meeting to discuss findings and recommendations.	All

7	Create Stage Gate Recommendation Report.	Director, Portfolio Management/Senior Director, (OCIO)
8	Submit Stage Gate Recommendation Report to the CIO for approval before progressing to Project Board.	Director, Portfolio Management/Senior Director (OCIO)
9	Submit CIO approved Stage Gate Recommendation Report to the Project Board for approval to move into the next Stage.	Director, Portfolio Management/Senior Director, (OCIO)

Checkpoint Review Management Process

Step	Task	Responsibility
1	Submit request for Checkpoint Review to PMO. Including provision of proof of artefact approval and completion.	Project Manager
2	Organise relevant team members for review.	Director PMO
3	Conduct review and provide feedback to Project Manager.	Director, PMO
4	Document the Checkpoint Review decision within the project management tool. .	Project Manager

Project Reporting

Reporting is a control mechanism used to monitor the status and progress of the project. This section documents the various reports used throughout the project to communicate information that is relevant to a broad number of stakeholders.

Report	Frequency	Responsibility	Audience
Project Status Reports	Monthly	Project Manager	Responsible Senior Director DSD Executives Executive Sponsor Project Board
Exception Reports	As required	Project Manager	Responsible Senior Director DSD Executives Executive Sponsor Project Board

End Stage Reports	End of each Stage	Project Manager	Responsible Senior Director DSD Executives Executive Sponsor Project Board
Project Closure Report	End of Project	Project Manager	Director, Executive Responsible Senior Director DSD Executives Executive Sponsor Project Board
Project Assurance Report	As Required (Tier 1 Projects only)	Senior Director, Portfolio Management OCIO	Responsible Senior Director DSD Executives Executive Sponsor Project Board

All reports are submitted to PMO.

Status Reports

The Project Manager prepares each Project Status Report monthly using the specified tool.
This is designed to enable the stakeholders to effectively monitor and review the status and progress of the project. It contains the following information:

- An overall status health including an Executive Summary
- The project's progress in relation to its schedule
- The progress of project deliverables
- The status of the project budget and expenditure
- The status of the project scope
- The status of project benefits
- The status of project quality
- The status of any significant risks
- The status of any significant issues
- Progress Update for the current reporting period and key activities planned for the next reporting period

Comments against each section within the status report is mandatory.

Other information contained within the Project Management Tool to support status reporting include:

- Status History (previous status reports)
- Key Milestones
- Risks
- Issues

- Project Changes (Exception Reports/Change Requests)

Regular reporting provides the stakeholders with a regular update on issues, risks and project activities. Cumulatively, over a period of time the reports allow an accurate picture of the project's progress and status and provides an early opportunity to identify and act on any issues or concerns.

The status reporting process commences during the Initiation Stage of the project life cycle and continues through until Project Closure documentation has been submitted to PMO and/or the project has been approved for closure.

The Project Tolerances Guide is used to assess the health of the project.

Exception Reports / Change Requests

An Exception Report is used in a situation where it is forecast that there will be a deviation beyond the agreed tolerance levels of the individual health metrics of a project. These reports are prepared by the Project Manager to offer options and recommendations for the way to proceed.

Exception Reports describe the exception, provides analysis of the situation, options for the way forward and recommends a preferred option.

Change Requests describe a proposal to alter the agreed project deliverables, based on new information available. The change request should be assessed for priority and the aspects of the project impacted by implementing this proposal. (See P73 for more information)

Once the Exception Report/ Change Request is prepared by the Project Manager it is provided to PMO for review and endorsement prior to being forwarded to the Executive Branch Manager, CIO, Executive Sponsor and Project Board for consideration. This will be recorded in the Project Management tool as a Pending Decision and Exception Report / Change request, and then recorded as approved or rejected.

End Stage Reports

The End Stage Report contains both a history of the Stage and an evaluation of the project's performance during the stage. It also contains a summary of any outstanding work, issues, the lessons learned, highlights what worked well and what did not, and offers explanations and possible alternatives to problems that were encountered. It is prepared by the Project Manager and is submitted to PMO for review and consideration with the Stage Gate process outlined above.

Project Closure Report

A Project Closure Report is a mandatory product for all projects. It is to be produced during the Closure Stage of the project. The Project Closure Report contains both a history of the project and a final evaluation of project performance and effectiveness. It documents the lessons learned and assesses the effectiveness of the project in relation to the PID.

The Project Closure Report must be clear, to the point, and cover all aspects of the project. It is prepared by the Project Manager and is given to the PMO for review and consideration prior to being forwarded to the Executive Branch Manager, CIO, Executive Sponsor and Project Board for approval.

Where applicable, Asset Capitalisation is also to be undertaken to allow Divisional assets to be capitalised. Further information regarding this process can be obtained through Portfolio Management.

Information Management

Information Management refers to the measures, systems and techniques that will be used to maintain and control the DSD Projects information and records. At a high level, the Information Management for the Projects includes the following key activities:

- Standards and processes for records management
- Naming conventions and version controls
- Electronic Record Keeping
- Project templates

Standards and processes for records management

All DSD Projects associated documentation will:

- Use the DSD templates as appropriate
- Be stored in the respective "Active Projects" folder within *Objective* (Electronic Document and Record Management System)
- Be drafted in such a way as to be easily understood by the target audience
- Contain the following metadata:
    - Document title
    - Document Control
    - Document status – Approval and Review
    - Version Control

Record Keeping

A record within the project shows the extent of the work undertaken on the DSD Portfolio and its projects. All records created during the course of the Portfolio Project are to be captured and managed as evidence of business activities.

All staff must be aware of their obligations regarding record keeping within ACT Health. With the introduction of the new electronic document record management solution *Objective*, all project documentation is to be stored in the approved project location using the approved naming convention.

Naming conventions

All documents created for the projects will adopt and adhere to clear rules on naming each document to ensure it can be easily located. The Document Name created should be relevant to the subject matter contained within the document including version numbers and dates.

Dates should only be used in subject titles where the record relates to an event (such as a meeting) that occurred on a specific date.

Project documents should be named in accordance with the conventions below (as appropriate):

< YYYYMMDD > < TYPE> <Subject>

Examples:

20220112 - DOCUMENT - Clinical Communications Draft Project Scope

20220112 - EMAIL - Clinical Communications Working Group Minutes

Version Control

All documentation will record all changes made to a document. This will allow the progress of the document to be clearly and systematically tracked and traced as to when and who has made changes within the document. Amendments to any documents must be detailed in the Document Control history table. The following version control numbering convention should be included in every document.

Version	Date	Summary of Details	Author
V0.1	18/09/2020	First Draft Strategy	First Name /Last Name
V0.2	20/09/2020	Second Draft following peer review	First Name /Last Name
V1.0	21/09/2020	First Approved Version	First Name /Last Name
V1. 1	22/09/2020	Updated following approval	First Name /Last Name
V2.0	23/09/2020	Second Approved Version	First Name /Last Name

The above example shows the standard to adopt with version numbering.

- Initial drafts should be numbered starting with V0.X
- Versions should be incremented by V0. 1 during review stages
- Versions should be updated to a whole number V1.0, V2.0 following approval

Templates

The templates to be used for the projects are located are saved in the following locations:

https://healthhub.act.gov.au/technology/governance-and-strategy/project-delivery-framework

P3M - Home (sharepoint.com)

PMO has the responsibility for maintaining templates. If there is any uncertainty of which template to use, please contact PMO in the first instance.

Roles and Responsibilities

The roles and responsibilities for continuous monitoring activities and responsibilities that relate specifically to Monitoring, Control and Reporting are outlined in the following table.

Role/s	Responsibilities
Responsible Senior Director	• Monitor at least fortnightly, progress on projects on advice from Project Managers • Ensure project deliverables with content and quality level required • Ensure project milestones being met when planned • Ensure project costs as budgeted • Project risk management and issue resolution activities and • Escalations as required

Role/s	Responsibilities

Project Managers	• Monitor, at least weekly, progress to plan on the following key aspects:
	  ○ Work Package delivery
	  ○ Tasks starting and ending when expected
	  ○ Deliverables with content and quality level required
	  ○ Project remains in scope
	  ○ Level of effort as planned
	  ○ Milestones being met when planned
	  ○ Project costs as budgeted
	  ○ Risk management activities
	  ○ Issue resolution activities
	• Ensure status reports are completed and provided on time with the most correct and up to date information
	• Complete end of stage reports and end project reports (Project Closure) to assist with the accurate monitoring and control of projects
	• Engage with PMO early to facilitate end of stage reviews to facilitate accurate and timely stage gate reports
	• Review and process requests for changes to the plan and
	• Initiate and review corrective actions (if applicable)

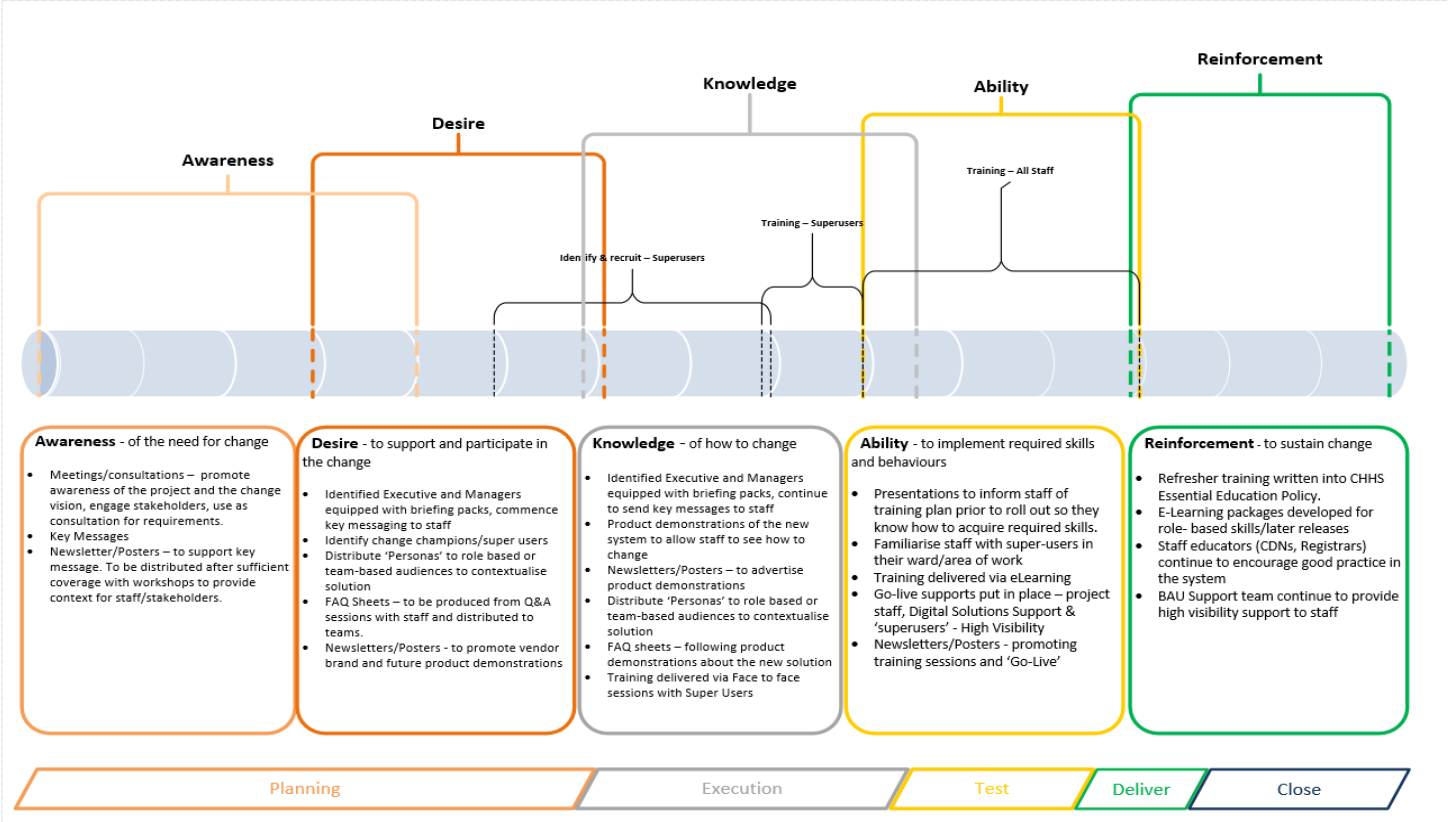
Project Team Members	• Review progress on assigned tasks and level of effort spent compared to effort planned • Report progress on assigned tasks, at least fortnightly, to the Project Manager and other project team members • Monitor and at least weekly, report on potential risks to the project to the project Manager and other project team members and • Monitor and report on issues affecting the project and suggest (at the direction of the Project Manager) issue resolution strategies
PMO	• Review of Project Stage Gate reports • Quality review of submitted status reports • Completion of the monthly DSD Portfolio Reports • Maintenance of Project templates • Assist project teams with escalating project risks and issues where required • Review and approve the templates prepared for the Portfolio

Project Stakeholder Engagement and Communication Approach Organisational Change Management Approach

Project change and communication is critical to every project, regardless of size and timescales. Project communication involves informing every stakeholder involved in the project to ensure a shared view and that all critical factors/issues have been considered. Communication with all stakeholders throughout the project contributes to project success.

It is expected that communication with stakeholders is considered during project initiation and further analysed and detailed during project planning. An Organisational Change Management Approach following the Prosci ADKAR Framework (see diagram below) will influence the efficiency of the project communication method and will assist in the management of any emerging stakeholder and communication risks and issues. This is created and approved during the Planning Stage and updated during the Execution and Delivery Stage.

ADKAR and the project life-cycle



The activities above show the key Prosci ADKAR phases and the project stages and their alignment.

Project Stage	Project tasks
Initiate	• Work with the Change Manager and Project Team to identify a comprehensive stakeholder list • Commence engagement with key stakeholders • Develop a change management approach
Plan	• Start to build momentum of stakeholder engagement about the solution and project benefits • Hold Benefits meetings to develop the Benefits Plan and Profiles. • Ramp up communication and engagement with Staff and Stakeholders • Facilitate requirements gathering with the projects Business Analysts • Begin targeted messaging for the project • Broaden communication audience through existing channels
Execute	• Intensify targeted messaging and communications with all target audiences • Increase the focus on project benefits • Continue broader communication through existing channels • Develop training materials
Deliver	• Continue targeted messaging and communications with all target audiences • Change focus to transition and training information and delivery • Continue broader communication through existing channels
Close	• Continue communications post project close • Transition into business as usual communication

Project Communication Activity Examples

The Change Manager for major projects (or the Project Manager other projects) will develop an Organisational Change Management Approach, , and Training Approach and as required. Each change phase will have activities which will need to be completed to ensure the end users are ready for the new processes and solutions. During these activities the Project will identify working groups, subject matter experts and change champions to assist with the transition. The Change Manager will also assist with delivering change activities across the organisation and will provide support and advice to the Project Sponsor throughout the various change activities. The list below provides some tools, activities and examples for the projects.

Top-Down Communication

Communication is an integral part of organisational change success. Top-down communication emphasises managerial hierarchy and the methodical transfer of information from the highest levels in the organisation to the staff level. The ACT Public Health System achieves successful change when the organisation drives it from the Executive and Senior Directors level downwards to Mid-Level Managers/Supervisors and finally to all staff. The project team will engage with the Executive of each of the organisational and divisional stakeholder groups. The purpose of these engagements will be to create awareness, increase desire and support of the change and to provide the project team contacts and appropriate avenues for dissemination of information.

Briefing packs

The projects will adopt the use of 'briefing packs' to inform key executive and senior staff in the organisation. This will enable these individuals to be a 'voice of change' and 'change champions' within their specialty areas. The briefing packs will contain the project summary, talking points and presentation media (flyers and handouts, photos of the solution, future process flows, PowerPoint etc.) to rapidly acquaint the reader with relevant project information prior to presenting to their staff audiences. Each briefing pack will be designed with the intended audiences taken into account to ensure that the embedded messaging for the project is received effectively.

The project teams will meet with each executive and senior manager tasked with change activities to supply an overall understanding of the project, their responsibilities, frequency and outcomes of each staff engagement.

Furthermore, an agreed method of obtaining feedback from each staff engagement will be agreed to, with each executive and senior manager nominating to be followed up via email, phone call or face to face meeting. This will ensure that the success criteria for each engagement is met.

Each engagement will be documented and updated in the Stakeholder Engagement Register and the Stakeholder Engagement and Communication Activity schedule. The register will be tabled as a regular agenda item at the appropriate meetings.

Mapping and Engagement of Divisional Executive Meetings

In order to gain visibility into the various executive and director meetings that are held across each division, the project team will undertake a mapping exercise to determine their functions and associated value propositions. It is advised that the project complete this in collaboration with other projects in the DSD Portfolio in order to minimise duplication and ensure a consistent message and approach to stakeholders.

Once the mapping exercise is complete, the project team will work closely with the project sponsor to identify meetings according to significance and influence of the associated members. Subsequently, in collaboration with the Executive Sponsor, the project team will present to the meetings, identify and equip members with briefing packs who have voiced interest in being a change agent for the project. The Director responsible for the project should be consulted prior to scheduling meetings with the Executive Sponsor, or other executives.

Change Champions

The Change Champions are trusted and respected individuals within teams who are also impacted by the change. They represent the Canberra ACT Public Health Service's interests and will work with the Project/Change Manager to ensure operational areas are appropriately engaged and prepared. The Change Champions facilitate and guide the business through the change activities associated with delivery of the project, assist with end user training and communication activities relating to project deliverables. They will also be present after implementation to provide support and guidance which is a benefit of them being embedded within the impacted teams.

Marketing – Posters / Wall Paper / Digital Signage

Posters, Desktop Wall Paper and Digital Signage provide a logical and cost-effective way of communicating to a large demographic. The Project will develop and design a series of marketing materials embedded with key messages to target broad or specific staff demographic groups, in collaboration with Canberra Health Services, Calvary Public Hospital Bruce and the ACT Health

Communications and Government Relations teams. The marketing materials will be located in areas appropriate to the project users.

As the project develops and gains momentum, the messaging for the marketing materials will evolve in alignment with the Prosci ADKAR model. The initial marketing materials will be designed to create awareness of the incoming solution across the Division. However, as the project approaches 'go-live' the messaging will be focused on product demonstrations and training. Timing, locations and content of the marketing materials will be specified in the Stakeholder Engagement and Communications Activity Schedule.

User/Advisory Group

The User/Advisory Group is a multidisciplinary group of subject matter experts who provide advice and recommendations on future state workflows, solution design, training and change management activities for the Project. The User/Advisory Group membership will consist of care and administrative representatives across administration, nursing, allied health and medical groups that are impacted by the change. There may also be representation from the Healthcare Consumers Association.

The project will utilise the User Group to validate project outcomes and functionality. This is also an avenue for stakeholder buy-in and distribution of communications.

High Visibility Support

Success for this change will depend on a mixture of project team resources, super users, trainers and well-trained clinical and administrative staff available during the Go-Live period of the project. This support is essential to help all staff learn and feel comfortable with new workflows and the new solution.

Clinical Nurse Consultants

The Clinical Nurse Consultant (CNC) is a pivotal role in the dynamics of health care services and are essential in the co-ordination of day-to-day activities. The Project teams can identify CNCs throughout the organisation to attend 'train-the-trainer' sessions, in order to provide face-to-face training and support during the implementation phase.

As the schedule progresses, dates for full day 'train-the-trainer' sessions will be identified and communicated to CNCs to ensure attendance. During these sessions, the responsibilities and importance of the trainer roles will be emphasized.

Floorwalker Support

The project team may adopt the use of 'Floorwalker' staff to assist with the implementation of the solution. Floorwalkers are 'change champions' who are approachable and pro-active staff, tasked with providing high visibility support to end-users during Go-Live. Floorwalkers generally have experience in the roles they are supporting, which creates respect and trust with end-users.

The Floorwalkers will assist in managing typical staff reactions positively, solving technological and workflow issues and overall enthusiasm which will contribute to the successful implementation of the project.

Product Demonstrations

Demonstrations are a method of familiarising stakeholders with new technology solutions. Staff who are often time poor and 'on the job' learners will respond positively to visual support and 'hands on' learning opportunities. The projects may demonstrate the solution to staff at existing meetings.

Demonstrations will be developed according to an agenda that addresses the audience's challenges and goals and demonstrates a clear path to achieving the desired result. This agenda developed from the previous project lessons learnt register, issue register and business requirements.

Super Users

Super users are designated resources within the organisation who will learn the new solution and transfer that knowledge to end users. Super Users will be the internal experts on the solution. Super Users will attend the 'train-the-trainer' sessions and will work in conjunction with the CNC'S and Floorwalkers. The Super Users will be expected to provide support to staff in their immediate area during 'Go-Live' and on transition to business as usual (BAU).

Scenarios

Scenarios can be a powerful tool for driving adoption and business value realisation. The scenarios will represent different user types across the organisation and provide an avenue to capture and share details about what a typical day looks like for each of the user groups. The Project will develop a 'scenario library' to appeal to the different disciplinary groups across the organisation. Scenarios will be validated and endorsed by the User/Advisory Group before being distributed to staff, as the project approaches the 'Knowledge' stage of the ADKAR Model of Change.

Evaluation and reinforcement

It is the responsibility of the Project Teams to evaluate, throughout and at the end of the projects, how successful the Change Management was at transitioning the end users through the change management process from awareness; through desire, gaining knowledge and understanding; to having the ability to implement the new solution. Throughout the project, adoption measures will be monitored regularly and the change management plans will be adjusted as required to address any adoption issues / resistance that are identified.

Adoption measures and management

Various adoption and usage measurement and evaluation tools can be used with user/advisory groups to evaluate how well users are/were prepared for the change. The evaluation process will include some/all of the following:

- Determine which change management / stakeholder adoption tactics need to be measured with respect to their effectiveness
- Design the key indicators which will measure the effectiveness of the change management / stakeholder adoption tactics
- Design the measurement processes for the key indicators
- Collect data, analyse results and report on the key indicators Recommended evaluation methods and tools such as:
    - User readiness assessments

- Number of issues logged and time to resolution will be tracked with the expectation that the number of issues will be dropping over time and/or the time to resolution (in days) will be dropping
- Documentation of the increase of positive comments, decrease in concerns expressed by users over time, and readiness of users to support the implementation over time
- Post-implementation interviews, focus groups and surveys to gather information
- Post implementation audits on software to collect data for indicator measurements

Success Factors

ADKAR Elements	Factors Influencing success	
Awareness	• A persons view of the current state • How a person perceives problems	• Circulation of misinformation or rumours • Contestability of the reasons for change • Credibility of the sender of awareness messages
Desire	• Each individual persons situation • What motivates each individual (i.e. those intrinsic motivators that are unique to the individual)	• The environment for the change (the individual employees perception of their working environment in which the change will occur) • The nature of the change (what change is and how it will impact each person)
Knowledge	• The current knowledge base of an individual • The capability and capacity of an individual to gain further knowledge	• Resources available for further training and education • Access to or existence of the required knowledge
Ability	• Psychological blocks • Physical capabilities • Intellectual capability	• The time available to develop the needed skills • The availability of resources to support the development of new abilities
Reinforcement	• Sustaining the change • Sharing success	• Rewards and recognition • Feedback • Corrective Actions • Performance Measurement

Project Benefits Management Approach

Definition

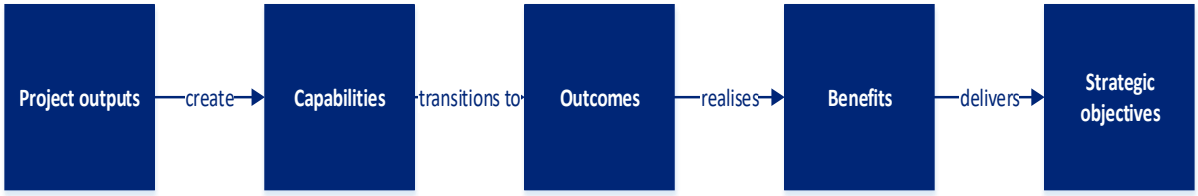
A **Benefit** is the measurable improvement resulting from an outcome perceived as an advantage by one or more stakeholders, which contributes towards one or more organisational objectives.

A **Dis-Benefit** is the measurable decline resulting from an outcome perceived as negative by one or more stakeholders, which detracts from one or more of the organisational objectives.

On their own project outputs of capabilities are not considered benefits. It is when capabilities are used to generate change to a business and outcomes, they enable the measurable improvement of that change, or the benefits, to be realised and optimised to deliver continued value to the business.

The DSD Projects have benefits principles, categories, types and beneficiaries to ensure a consistent approach to benefits categorisation. The following information is also used within the Benefits Profiles for each project. Further information can be found within the Project Benefit Management Approach templates.

The benefits are reviewed by PMO during the project life-cycle to ensure that benefits are consistently expressed in terms that clearly demonstrate the impact on strategic objectives via Benefits Mapping.



Benefits Categories

Identifying beneficiaries and benefit types is key to effective benefits management and realisation. The key beneficiaries and benefit types relevant are outlined below.

Beneficiaries

Beneficiary	Description
Canberra Health Services	Canberra Health Services receive a tangible or intangible improvement as a result of the digital solutions implemented.
Calvary Public Hospital Bruce	Calvary Public Hospital Bruce receives a tangible or intangible improvement as a result of the digital solutions implemented.
Patients and their carers	Patients and their carers will be able to access a range of digital information and therapeutic services through channels that are convenient to them.
Clinicians and other staff	Clinicians will have access to new solutions and technologies, point of care electronic information, enhanced clinical communication and decision support tools to enhance quality of care.

Beneficiary	Description
Community Care Providers	Community care providers will have access to digital information and communication services that enables them to support the delivery of high-quality person-centred care.
Educators	Educators will have access to state of the art training facilities to assist in training students.
ACT Health Directorate	ACT Health Directorate receive a tangible or intangible improvement as a result of the digital solutions implemented.

Benefit Types

The DSD Portfolio requires benefits to be categories related to the following types:

Tangible – Benefit realisation can be measured (e.g. cost saving, efficiency/productivity, effectiveness/performance benefits), or

Intangible – It is not possible to measure the benefit in monetary terms (e.g. improved IT performance, improved working conditions, increased satisfaction).

Benefit Type	Benefit Description	Example
Cashable	Benefits that can be quantified in monetary terms and lead to savings in costs not needing to be paid.	Implementing a solution that reduces additional staff costs when existing staff can review information remotely.
Capacity	Benefits that can be quantified in monetary terms and generate cost savings from efficiency gains in staff.	Implementing an enterprise system reduces the time staff spend doing actions by not having to switch between systems.
Better Health Outcomes	Benefits that have a positive impact on the patient's expected health outcome.	Prevention of medication errors leads to less adverse reactions and better health outcomes for patients.
Patient and Family	Benefits that improve the patient and family/carer experience and satisfaction.	Implementing a system reduces patient wait times and improves the experience and satisfaction.
Safety and Quality	Benefits that have an impact on safety of patients or staff, the quality of care provided including the ability to review and improve quality (e.g. audit reports or teaching feedback).	Implementing a recording solution provides the ability to provide students immediate and detailed feedback, increasing the quality of teaching and quality of care.
Efficiency	Benefits that contribute to the efficiency of the health service but cannot be directly quantified in real dollar terms.	Implementing an enterprise booking and scheduling tool improves the operational efficiency of both people and facility space.

Benefit Type	Benefit Description	Example
Staff Satisfaction	Benefits that improve staff satisfactions with their job and ultimately improve staff retention rates.	Dictation/voice recognition directly with an ECR can improve staff satisfaction by improving usability and reducing the amount of typing and clicking required.

Benefit Principles

Benefit principles underpin how benefits are approached by the DSD Portfolio and projects. They describe the characteristics and conditions needed to ensure successful benefits management practices are implemented.

There are principles about how we think about benefits realisation:

- Benefits need to be first understood as outcomes – Benefits management starts with defining the business change required
- Benefits must be aligned to the organisation's strategic goals, including the Digital Health Strategy – If they are not aligned to strategic objectives their value must be questioned
- Benefits realisation is an end-to-end process during the full lifecycle of the investment – Identification, measurement, reporting and evaluation will occur before, during and after project delivery

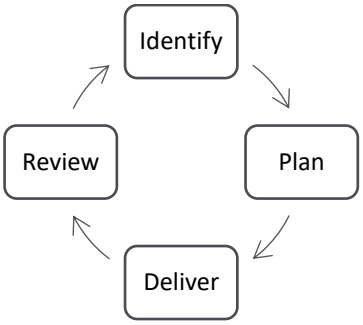
There are principles about how we approach benefits realisation:

- Benefits are not automatic – Benefits need to be actively monitored, tracked and reported to ensure they will be delivered in full and on time
- Benefits are dynamic, they need to be regularly reviewed and updated – Failure to regularly review and update benefits may result in non-capture of new or changed benefits
- Benefits are both financial and non-financial – A broad approach to the identification and categorisation of benefits is required
- Benefits must be measurable – Evidence is critical to demonstrate that an investment provides value

There are principles about how we manage benefits realisation:

- The business needs to own the benefits – Accountability and responsibility for benefits realisation is key as this process usually takes place after the project or program has closed
- Keep the number of benefits to a sensible, manageable number – Successful benefits management focuses on a small, manageable number of benefits to focus on evaluating the value of a project or program

Project Benefits Management Cycle



Identify

The first step in benefits management is to identify and define potential outcomes and benefits with workshops conducted as early as possible. It is essential to understand the outcomes before we can define and declare the benefits. Engaging key stakeholders who can provide different perspectives on where benefits might be realised is key.

Once the benefits have been identified they need to be quantified. This is when the focus is on forecasting/estimating the scale of benefits anticipated and should address any problems faced in developing reliable benefits forecast. The importance of this, along with the early engagement of key stakeholders, cannot be overstated because it lays the foundation for the remainder of the benefits management cycle.

Benefits Mapping Workshops

In the 'Identify' phase a benefits workshop is conducted to map the potential project outcomes and benefits on a Benefits Logic Map that illustrates the relationships between the enablers (outputs), the business change (outcomes), the benefits and the strategic objectives.

- Enabler: The project's specialist product or output
- Business Change (Outcome): The result of the change derived from using the project's outputs
- Benefit: A measurable improvement resulting from an outcome perceived as an advantage by one or more stakeholders, and which contributes to one or more organisational objectives

Planning the Benefits

Thorough planning of the identified benefits is essential to the success of benefits management. Benefits Profiles are to be created which further develops the outcomes and benefits. A profile provides everyone a clear understanding of what a particular benefit is; where it will occur; who is involved and what must be done to achieve it; how we know that we have achieved it; and finally, who the benefit owner within the business is.

The Project Benefits Realisation Plan is then completed as part of the Benefits Management Approach and contains a complete view of all the benefits and their expected realisation timeframes. At a high level, the Benefits Realisation Plan should be thought of as a schedule of activities focused on achieving the benefits and the transition that needs to occur in the operational areas. It differs from a program or project plan which focuses on the delivery of the program or project. The projects are to manage, track and control the realisation of benefits through the Benefits Realisation Plan.

Deliver Benefits Realisation

Activities and deliverables that will assist or ensure that the expected benefits can be realised do not occur only at the conclusion of the projects therefore the completion of these deliverables and activities needs to be monitored and tracked. Benefits realisation has three stages: pre-transition; transition; and post-transition. Benefits realisation is linked to these stages, when the capabilities delivered by the projects are transitioned into outcomes, and new business working practices are established and embedded.

One of the key areas of focus during delivery is the measurement of benefits: without this the realisation of benefits cannot be managed. In addition, risks, issues and change requests through exception reporting may arise that have the potential to impact on the achievement of some or all of

the expected benefits. These impacts need to be identified and understood in the same way one would identify, understand and document impacts to scope, schedule and cost. It may be that a potential change, though acceptable in terms of cost and schedule, impacts so significantly on benefits as to make the project no longer viable. The registers of Benefits Profiles will outline these transition dates, and the ability to record the measurements 3, 6 and 12 months post implementation.

Benefits Reviews

Benefits reviews should not only take place at the conclusion of a program or project. At a minimum, reviews should be held during each stage gate process to ensure that benefits realisation is still on track and, if not, immediate changes should be made to the benefits realisation plan. The outcome of a benefits review might also require the Digital Committee or Project Boards to review the value of the investment.

The objectives of a benefits review are to:

- Review and update the benefit profiles and the benefit realisation plan to ensure that the planned benefits remain achievable and on target
- Ensure the benefits included in the benefits map and benefits register remain aligned to the strategic objectives
- Inform stakeholders, senior management and governance groups of progress
- Assess the performance of the change management activities critical for the successful realisation of the identified benefits, and to identify corrective actions should any benefit be tracking outside of acceptable tolerance levels
- Evaluate the benefits achieved against the plan to date
- Throughout the life-cycle, from Strategic Investment Proposal, through stage gates and post project the business justification, including the benefits, must be reviewed and verified
- At the development and approval of the project during Pre-Project
- At the end of each stage during the Stage Gate review process
- As part of any impact assessment by the Project Manager of any new issues or risks, or exceptions
- During the Closure stage as part of the End Project Report as identified in the Benefits Management Approach

Reappraisal of the benefits case (against cost and risk) at Stage Gates and other reviews is documented within the Stage Gate Report provided to the relevant Governance arrangements by the OCIO Director. This will include what changes in the benefits forecast have occurred, and whether the initiative still represents value for money and continues to be a compelling case for investment.

Arrangements to manage benefits post project closure are defined within each project Benefits Management Approach. After a project has closed PMO will revisit project benefits with the benefit owner to ensure realisation is maintained.

There are arrangements for benefits tracking and reporting at the project and up to the portfolio level within the project management tool. Regular and robust post implementation reviews and feeding lessons learned back into PMO for forecasting and benefits management process improvements. During the reviews it should be noted whether forecast benefits were realised, what unplanned benefits were realised and is there scope to leverage additional benefits, did the initiative represent value for money and what lessons can be learned for future initiatives and to improve the way benefits realisation is managed.

After the project closes the responsibility for managing the benefits reviews moves to the business therefore ensuring the business takes ownership and responsibility for delivering the benefits and the performance improvement it represents.

The table below outlines the actions within each project stage.

Stage	Actions
Pre Project	Identification of project benefits at the demand level when developing the business justification of the project.
Initiation	Refinement of the business case following investment approval including identification of additional or refinement of existing benefits.
Planning	Engage with the Senior User to specify and further detail benefits. Hold Benefits workshops. Ensure benefits can be realised. Document benefits profiles in detail, and draft benefits map.
Execution	Continue to monitor and assess benefits. Capture Baseline measurable data.
Delivery	Continue to monitor and assess benefits. Capture post go live measurable data.
Closure	Conclude benefits realisation including the quantification of the final project benefits measurements. Document the Post Project Benefits Plan for Senior User and PMO to return to at a predefined point post project go live (three to six months post go live).
Post Project	Clinical area to measure benefits as agreed within the project Post Project Benefits Plan.

Managing Threats to Benefits Realisation

Threats to benefits realisation will vary from project to project but generally fall under five key sources of failure which are outlined below. These should be reviewed for relevance to the project and documented within the project risk register.

Threat	Description	Management
Inaccurate forecasting	Benefits are not identified or are overestimated.	Benefit meetings/workshops will be held to identify and validate benefits that are forecast.
Failure to deliver a project	A project is not delivered on time therefore impacting on the scale and timing of benefits realisation.	All benefits to have identified measures and baselines that are integrated into the program and project schedules.
Failure to review benefits	Benefits are not reviewed throughout the program and project lifecycles, or when a change occurs that may impact benefits realisation.	Program and project management controls, including stage gate reviews, are in place to ensure the program and projects deliver benefits realisation as scheduled.
Business and behavioural change rejection	The changes on which the benefits are dependent don't occur or are poorly scheduled and managed.	The Project Boards and Executive Sponsors have accountability over project delivery and will approve stage gate reviews with the projects.

Threat	Description	Management
Ineffective benefit management practices	Failure to effectively identify and capture benefits and manage benefits realisation.	Regular project benefits reviews will be held to ensure they are still valid, and the forecast is still accurate.
Value for money failure	The benefits are realised but at an excessive cost.	A benefit validation review will also be held when a change occurs to the program or an individual project to ensure the stated benefits are still viable, and to the extent forecast.

Roles, responsibilities and actions

There are a number of roles that are key to the successful management and realisation of benefits and these are identified in the table.

Role	Responsibilities
Project Board(s)	• Provide direction and oversight for the achievement of the business outcomes • Assign benefit ownership for measuring benefits against the baseline measurements, post project implementation • Ensure benefits delivery is the focus of the program/project and all impacted business areas throughout program/project delivery
Responsible Senior Director	• Oversight of Benefits Management for the projects within their program of work • Monitor the progress of project benefits realisation against the plans • Initiate benefits reviews • Report on benefits to the governance boards as required
PMO	• Develop the projects Benefit Logic Maps, Benefit Profiles and Benefits Management Approach templates • Facilitate Benefits Workshops for projects • Guide the projects in the development of Benefit Profiles and Benefits Management Approaches • Undertake post project benefits reviews, and • Escalate benefits that exceed tolerance levels for action
Project Executive Sponsor	• Overall accountability for the Project Benefit Profiles and Benefits Management Approach • Monitor the progress of project benefits realisation against the plan • Initiate benefits reviews as part of the Project Benefits Management Approach • Reports on the realisation of the benefits, and • Identify and quantify the benefits with the support of the Project Manager, Change Manager and other key stakeholders

Role	Responsibilities
Project Manager/Change Manager	• Identify and quantify the project benefits with the support of the project change manager, and other key stakeholders • Develop the Project Benefit Logic Map, Benefit Profiles and Benefits Management Approach • Ensure milestones relevant to benefits realisation as outlined in Benefits Management Approaches are achieved • Gather information for benefits reviews • Escalate benefits that exceed tolerance levels for action • Ensure transition of project benefits realisation to BAU at the conclusion of the project • Development and maintenance of the Benefit Profiles • Creation and delivery of the Project Benefits Management Approach • Drive benefits as profiled, ensuring commitments and actions that have been attributed to operational areas are delivered and that adequate preparation is made for transition • Maintain engagement with key individuals responsible for benefits delivery within business areas
Senior User	• Specify the benefits upon which the business case is approved with the Executive Sponsor • Accountable for the realisation of benefits post implementation as specified • Ensure the desired outcome of the project is specified • Ensure that the expected benefits are realised, and • Provide statements of actual benefit achievements versus forecast benefit achievements
Benefit Owners	• Agree the benefit profile • Monitor the successful delivery of the business changes upon which the realisation of the benefit depends, and • Reports on the realisation of the benefit

Project Risk Management Approach

Purpose

The purpose of Risk Management is to identify, assess and control any uncertainty and as a result improve the ability of the project to succeed. Risk Management is the systematic application of principles, approaches and processes to the tasks of identifying and assessing risks, planning and implementing risk treatment strategies and communicating risk management with stakeholders.

The Risk Management Approach is to be used by all Projects within the DSD. It provides confidence to the Chief Information Officer and Executive Branch Managers of Technology Operations and Future Capability, the Digital Committee and Project Boards that there is a robust process in place to identify, manage and report Project risks.

Risk Management within the DSD is based on PRINCE2 Methodology (best practice Project Management) and the ACT Insurance Authority (ACTIA) Risk Management (following internationally accepted standard AS/NZS IS 31000:2009 as the basis for best risk management practice within the Territory).

Risk management, like Workplace Health and Safety, is the responsibility of all DSD and project staff.

Objectives

The objective of risk management is to maximise the likelihood that the project will successfully deliver the required capability on time and within budget by minimising the uncertainty associated with the project delivery. Risk management reduces the level of uncertainty by identifying both positive (opportunity) and negative (threat) effects that can be managed.

Project Risk Definitions

A definition and example of how project risks are to be described in the project is included below.

Risk	A risk is something that will impact on the achievement of the project's objectives. **The Australian and New Zealand Risk Management Standard** (**AS/NZS ISO 31000:2009 Risk Management**) defines a risk as *the 'effect of uncertainty on objectives'*. *Example:* There is a chance that a breakdown in communication between stakeholders will delay key activities and result in outputs that do not meet quality standards.

Objective Impact Categories

Project Objective Impact Categories have been defined so as to align project risk management activities with project objectives:

- Benefits
- Scope
- Schedule
- Budget
- Quality

Risks to each of these impact areas, and any additional areas, must be assessed, managed and documented in accordance with the rules and processes outlined below.

Categories of Project Risk

A structured approach using categories as a prompt is a popular method for risk identification. Categories such as those listed below funnel thinking and act as a starting point to identify risks.

- Assets
- Compliance / Regulation
- People
- Environment
- Financial
- Service Delivery
- Information and Records Management
- Reputation and Image

- Cultural and Heritage
- General Business Activities
- Dependency
- Assumption

Risk Owners

Risk Owners are the officer responsible for Management or Risk Treatments.

- Project Manager
- Director
- Vendor
- System Administrator
- Business System Owner
- Executive Sponsor
- Digital Committee
- Project Board
- Senior User
- Senior Supplier
- PMO Digital, Data and Technology Solutions
- External ACT Government Directorate
- CIO or DSD
- Executive Branch Manager, Technology Operations
- Executive Branch Manager, Future Capability
- Executive Branch Manager, Information and Data Management

Risk Management Roles and Responsibilities

Role	Responsibility
Project Manager	• Create and maintain the risk register within *The project management tool* • Ensure that project risks are identified, assessed and controlled throughout the project lifecycle, and • Escalate risks as required
Project Team	• Participate in the identification, assessment and controls of risks, and • Assist the Project Manager in maintaining the project risk register
Risk Owner	• Responsible for the management, monitoring and control of all aspects of a particular risk assigned to them, including implementation of the selected treatments to address threats or maximize opportunities
Responsible Senior Director	• Escalate risks to CIO, Executive Branch Managers or Project Boards as necessary
PMO	• Determine and enforce the risk management framework (this document) • Identify, assess and escalate as Portfolio Risks • Assist in Project Risk Management • Facilitate Risk workshops, and • Facilitate project assurance including review of risk management practices to ensure they are performed in line with the risk management framework

Executive Sponsor	• Ensure risks associated with the overarching Business Case including benefits, quality, budget, etc. are identified, assess and controlled, and • Escalate risks to Digital Committee as necessary
Senior User	• Ensure risks to the users are identified, assess and controlled (such as the impact on benefits, operational use and maintenance)

Project Risk Management Approach

The ACT Health Risk Management process is made up of a number of stages which can be seen in *Figure 4.* This guide will step through each stage outlining its purpose, importance and how to complete each stage, associated tools and templates.

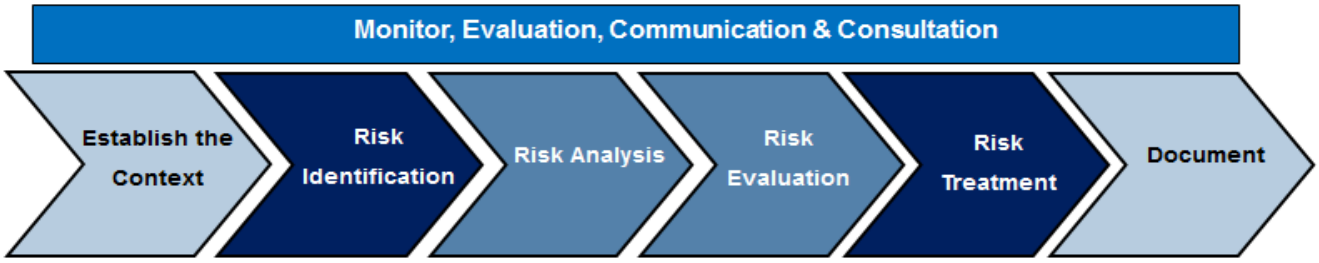


Figure 4: AS/NZS ISO 31000:2009 Risk Management Process

Establishing the context

Establishing the context takes into consideration the circumstances in which the team, project, division or organisation as a whole is operating.

Things to consider may be:

- What are the project objectives to be achieved?
- What resources are available?
- What gaps or deficiencies exist?
- How do the objectives influence the division, ACT Health, the public and other stakeholders?

Risk Identification

Risk identification is the process of identifying where, when, why, and how events could prevent, degrade, delay or enhance the achievement of project objectives. The risks to achievement of each objective should be identified separately to ensure that a comprehensive list of risks is developed.

When identifying risks, the initial list may be very long. Make these draft lists as comprehensive as possible because any unidentified risks can result in a major threat or unrecognised opportunities. Risks may be able to be combined or aggregated as the assessment progresses.

Risk Analysis

The next step is the process of Risk Analysis and involves identifying and rating the strength of controls in place for each identified risk.

Risk Control Identification

An existing control is a measure that modifies a risk, which is currently in place. Controls may include any policy, process, device, practice or action which modifies a risk. ***Ask yourself:*** What measures *are currently in place* to prevent or reduce this risk from occurring?

The following types of controls should all be considered:

- People, Processes and Technology (e.g. organisational policies or standards that are expected to prevent negative behaviours; a standardised public consultation process automated data checks to ensure accuracy)
- Management and Oversight (e.g. review or reporting requirements)
- Internal and External Assurance (e.g. accreditation, internal audit, review by some independent party)

Risk Control Effectiveness

When assessing the Risk Control Effectiveness, the following table can assist.

Control Effectiveness	Guide
Adequate	Nothing more to be done except review and monitor the existing controls. Controls are well designed for the risk, are largely preventative and address the root causes and Management believes that they are effective and reliable at all times. Reactive controls only support preventative controls.
Room for Improvement	Most controls are designed correctly and are in place and effective however there are some controls that are either not correctly designed or are not very effective. There may be an over-reliance on reactive controls. Some work to be done to improve operating effectiveness or management has doubts about operational effectiveness and reliability.
Inadequate	Significant control gaps or no credible control. Either controls do not treat root causes or they do not operate effectively. Controls, if they exist are reactive. Management has no confidence that any degree of control is being achieved due to poor control design and/or very limited operational effectiveness.

Risk Evaluation - Pre Treatment

Risk evaluation involves defining and measuring each identified risk taking into account existing controls mentioned above, without any additional treatments. Following identification of the controls that are already in place, each risk needs to be rated and allocated a consequence and likelihood.

A definition and example of how consequences and likelihood are to be described in the project is included below.

Consequence	The consequence is the most likely outcome that would be seen if this risk was to occur. Example: If there was no project management support provided, there is a chance that the project may fail, resulting in a loss of less than 2.5% of the budget (Consequence Category: Financial, Consequence Rating: Minor).
Likelihood	The Likelihood is an assessment of how likely the risk is to actually occur with the current controls in place – from 'Rare' to 'Almost certain'. Example: Even with the current systems in place for the project, it is 'Possible' that the project will not be provided with further project management resources, which could lead to project failure.

Consequence Category and Rating

The Consequence Category is chosen by considering the most likely consequences of the risk with the current controls in place, pre-treatment. The category that most closely matches the ultimate consequence of your risk is then chosen from the consequence categories listed in the *ACTIA Consequence Definition Table below.*

The Consequence Rating should be selected by considering the risk and the most likely consequence level with the current controls in place – from 'insignificant' through to the 'catastrophic' rating.

Each risk is likely to have several possible consequences that fit into different categories. It is up to the risk owner or Project Manager to decide the single, primary consequence of a particular risk, usually the category where the consequence will have the biggest impact on the objective.

ACTIA Consequence Definition Table

Category of risk	Consequence of risk in the most normal form				
	Insignificant	Minor	Moderate	Major	Catastrophic
Assets	Loss or destruction of assets up to $2,000.	Loss or destruction of assets $2,000 to $10,000.	Loss or destruction of assets $10,000 to $100,000.	Loss or destruction of assets $100,000 to $5M.	Loss or destruction of assets greater than $5M.
Compliance /Regulation	Non-compliance with work policy and standard operating procedures which are not legislated or regulated.	Numerous instances of non-compliance with work policy and standard operating procedures which are not legislated or regulated.	Non-compliance with work policy and standard operating procedures which require self reporting to the appropriate regulator and immediate rectification.	Restriction of business operations by regulator due to non-compliance with relevant guidelines and / or significant non-compliance with policy and procedures which threaten business delivery.	Operations shut down by regulator for failing to comply with relevant guidelines / legislation and /or significant non-compliance with internal procedures which could result in failure to provide business outcomes and service delivery.
People	Injury or ailments not requiring First Aid treatment **and/or** psychological injury managed by staff support services.	Minor injury or requiring First Aid treatment or short term injury (less than four weeks incapacity for work) **and/or** psychological injury resulting in reduced ability to perform tasks requiring treatment from a health professional.	Serious injury causing hospitalisation or medium term reversible disability (four weeks or more incapacity for work) or multiple medical treatment cases **and/or** psychological injury resulting in reduced ability to perform tasks requiring ongoing support from GP/health professional.	Single life threatening injury (including loss of limbs) or multiple serious injuries causing hospitalisation and/or permanent disability **and/or** psychological injury resulting in reduced ability to perform tasks requiring significant additional psychological treatment.	Death or multiple life threatening injuries and/or multiple injuries causing major life altering impairment **and/or** psychological injury resulting in inability to perform tasks requiring ongoing significant psychological treatment.
Environment	Limited effect to something of low significance and/or effects are limited to a small area with rapid recovery.	Transient, minor effects and/or minor effects to environment and/or disturbance of native vegetation or waterways.	Moderate, short-term environmental harm to environment and/or disturbance of native vegetation or waterways.	Significant, medium-term environmental harm to environment and/or disturbance of native vegetation or waterways.	Long term environmental harm and/or widespread or severe impacts to environment, threatened species and/or long term effects on ecological community or native vegetation or waterways.
Financial	1% of Budget or <$5K	2.5% of Budget or <$50K	> 5% of Budget or <$500K	> 10% of Budget or <$5M	>25% of Budget or >$5M
Service Delivery	Loss of or interruption to non critical/no-core services up to 3 days.	Interruption of core services affecting critical infrastructure (eg law & order, public safety, health) or cessation of core/ critical service essential to business continuity for up to 3 days.	Cessation of core services affecting critical infrastructure (eg law & order, public safety, health) or cessation of core/ critical service essential to business continuity for up to 3 days and/or disruption for a week.	Cessation of core services affecting critical infrastructure (eg law & order, public safety, health) or cessation of core/ critical service essential to business continuity for up to 3 days and/or disruption over subsequent weeks.	Total cessation of core services affecting critical infrastructure (eg law & order, public safety, health) or cessation of core/ critical service essential to business continuity for more than 1 week and/or disruption over subsequent months.
Information & Records Management	Interruption to ICT systems, electronic records and data access less than ½ day and/or system breach to business administration system with no personal or classified information stored.	Interruption to ICT systems, electronic records and data access 1/2 - 1 day and/or system breach to business administration system with some identifiable information but non-client threatening (data access known).	Significant interruption (but not permanent loss) systems and data access 1-7 days and/or system breach to business administration system with some identifiable information but non-client threatening (data access unknown).	Complete, permanent loss of some electronic records and/or data, or loss of access to ICT systems and data for more than 7 days and/or systems breach to business administration system with identifiable/classified information stored but non-client welfare threatening.	Complete, permanent loss of or inability to recover/reconstruct all records and data and/or total loss of confidence in data/record integrity and/or systems breach to Govt or business critical systems with client and/or business welfare threatened.
Reputation & Image	Internal review and/or minor dissatisfaction across a small number of demographic groups or stakeholders.	Scrutiny required by internal committees or internal audit to prevent escalation and/or moderate dissatisfaction across a small number demographic groups or several stakeholders.	Local media scrutiny (1 week) and/or scrutiny required by external committees or ACT Auditor General's Office, or inquest, etc and/or dissatisfaction across a few demographic groups or multiple stakeholders.	Intense public, political and national media scrutiny (1 week) and/or Minister / Chief minister involvement and/or dissatisfaction across a large range of demographic groups and stakeholders.	Adverse finding from Assembly inquiry or Commission of inquiry or sustained adverse international media and/or loss of public confidence in Govt or Public Service forcing changes to the machinery of Govt.
Cultural & Heritage	Low-level repairable damage to commonplace structures.	Mostly repairable damage to items of cultural and/or heritage significance.	Significant damage to items of cultural and/or heritage significance.	Permanent damage to structures or items of cultural and/or heritage significance.	Irreparable damage to or loss of highly valued items of cultural and/or heritage significance.
General Business Activities	Minor errors in systems or processes requiring corrective action and/or minor delay without impact on overall schedule and/or insignificant impact on business outcomes and strategic objectives and/or negligible disruption to services or non-essential subsidiary services.	Policy procedural rule occasionally not met and/or services do not fully meet need and/or minor impact on business outcomes and strategic objectives and/or non-essential or subsidiary services experience minor disruptions.	One or more key accountability requirements not met and /or inconvenient but not client welfare threatening and/or moderate impact on business outcomes and strategic objectives and/or a number of objectives not met, minor or subsidiary services impaired.	Significant impact on business and / or strategic objectives and/or strategies not consistent with Government's agenda and/or trends show service is degraded and/or key service delivery impaired.	Strategic business outcomes processes fail, control infrastructure failure, critical business objectives not met. Unable to deliver necessary critical services.

Likelihood Rating

The Likelihood rating needs to be chosen by assessing how likely the risk is to actually occur with the current controls in place, pre-treatment – from 'Rare' to 'Almost certain', as in the *ACTIA Likelihood Definition Table below*.

Apply the most suitable likelihood of each consequence definition from 'Rare' to 'Almost certain'.

Likelihood	Frequency			
	Almost certain	Is expected to occur in most circumstances	Once in a Quarter or more	<1 in 10
	Likely	Will probably occur	Once in a year or more	1 in 10-100
	Possible	Might occur at some time in the future	Once every 1-5 years	1 in 100 – 1,000
	Unlikely	Could occur but doubtful	Once every 5-20 years	1 in 1,000 – 10,000
	Rare	May occur but only in exceptional circumstances	Once every 20-100 years	1 in 10,000-100,000

Overall Risk Rating

The overall Risk Rating quantifies the level of risk remaining, assuming all controls that are in place are operating effectively. The ACTIA Risk Rating Matrix below, is used to determine the overall risk rating based on risk consequence versus likelihood ratings.

ACTIA Risk Rating Matrix

		Consequence →				
		Insignificant	**Minor**	**Moderate**	**Major**	**Catastrophic**
Likelihood ↑	**Almost Certain**	**Medium**	**High**	**High**	**Extreme**	**Extreme**
	Likely	**Medium**	**Medium**	**High**	**High**	**Extreme**
	Possible	**Low**	**Medium**	**Medium**	**High**	**Extreme**
	Unlikely	**Low**	**Medium**	**Medium**	**High**	**High**
↑	**Rare**	**Low**	**Low**	**Medium**	**Medium**	**High**

Risk Treatment

Once risks have been identified, analysed and evaluated, we need to determine if further treatments are required for each risk following the review of the Existing Controls. The aim is to treat, accept, or apply mitigation to, each 'out-of-tolerance' risk until the risk is 'ALARP' (As Low As Reasonably Practicable); and to shift the red/amber (Extreme/High) more towards yellow/green (Medium/Low) on the *Risk Rating Matrix (See above).*

All Project risks that are rated as **Extreme** and **High** are considered out-of-tolerance and so require further treatment. An appropriate treatment strategy should be selected from the options in the Risk Treatment Strategies outlined below.

A treatment plan (Action to be taken) then needs to be outlined which will be implemented to further reduce the chance of the risk occurring.

All Project risks that are rated as **Medium** or **Low** are considered to be within tolerance. For these risks, 'Accept and Monitor' would usually be chosen as the treatment strategy; although further treatment strategies can be implemented if desired.

Risk Treatment Strategies

The possible treatment strategies are outlined below.

Treatment Strategy	Description
Avoid a Threat	In some cases, a different methodology can be sought or certain projects and tasks may not go ahead due to the level of risk. This avoids the risk entirely. This can be achieved by removing the cause of a threat, or by implementing the cause of an opportunity. .
Reduce a Threat	Involves aiming to reduce either the likelihood of the risk occurring or the impact of the consequence by applying treatment actions.
Accept and monitor	This strategy means that the organization takes the chance that the risk will occur, with its full impact if it did. Involves retaining the risk through an informed decision and developing a contingency to deal with the consequences should the risk materialise. There is no change to risk evaluation, but neither are any costs incurred now to manage the risk or to prepare to manage the risk in the future.
Transfer the risk	Transfer is an option that aims to pass part of the risk to a third party. Insurance is the classic form of transfer, where the insurer picks up the risk cost but the insured retains the impact on other objectives (e.g. schedule). It should be noted that it is not possible to fully transfer the risk.
Share the threat	Share is an option that is different in nature from the transfer strategy. It seeks multiple parties, typically within a supply chain, to share the risk on a pain/gain basis.

Actions

Once the treatment strategy is determined (for all strategies except *Accept and Monitor*), an action plan needs to be documented. It is important the actions balance the cost of implementing the response against the probability and impact of allowing the risk to occur. It is important to identify the most appropriate person or team to manage the actions. It may not be the project team.

Risk Evaluation – Post Treatment

Risks require re-evaluation post Treatment Strategy and Action. Following implementation of the treatment strategy, each risk needs to be rated and allocated a consequence and likelihood.

The same process is followed as identified above.

Documenting

Each identified risk is documented along with the risk ratings and any applicable treatment plans and post treatment ratings.

Escalating Risks

All post treatment project risks that are rated as **Extreme** and **High** are considered out-of-tolerance and should be communicated and 'escalated' for oversight and review. The Project Status Report should be updated for all Extreme and High risks and sent to the Project Board, Executive Sponsor and CIO.

Any identified risks that may impact on ACT Health's and Canberra Health Services and Calvary Public Hospital Bruce's ability to deliver its core services (e.g. may impact on health service delivery, patient care, staff safety or welfare, core infrastructure, core ICT), should be escalated through existing divisional processes and in most cases captured on divisional risk registers so that they can be managed appropriately.

Risk Monitoring and Review

The purpose of risk monitoring and review is to ensure that:

- All risks are documented within the Project Management Tool, including the assessment of their consequences
- Risks that are no longer applicable are closed (resources should not be wasted on managing risks that no longer exist or have been reclassified as 'accepted')
- Any new risks are identified and assessed as early as possible
- Risk treatment action plans are being implemented and are effective
- The risk management processes are effective

The Project Risk Register within the project management tool will be reviewed by the Project manager at least once per fortnight and should be presented and reviewed as an action item at project team meetings. New risks identified should be incorporated into the Register within one day of their identification.

The status of ratings and treatment actions for 'Extreme' and 'High' rated risks should be reviewed and updated on a weekly basis in order to identify any changes and to monitor the effectiveness of mitigation strategies.

Realised Risks

Risks that are realised become Issues affecting the project objectives. The process for managing these scenarios are covered in the Issue and Change Control Approach.

Common Project Risks

Some examples of common risks which may be identified within various projects.

Project Stage	Common Risks
Initiate	There is a risk that the project will fail to secure adequate budget to meet the development and delivery needs of the project
	There is a risk that lack of engagement with key stakeholders in the initial planning stage results in an inability to gain initial project approval
	There is a risk that original project start and finish dates are no longer achievable
Plan	There is a risk that inability to gain access to appropriately skilled staff and Subject Matter Expert (SME) input impacts on the development of an appropriate solution
	There is a risk that inability to access key performance data hinders the development of project outputs/products
	There is a risk that lack of engagement with key stakeholders in the solution development phase hinders the development of project outputs/products
Execute	There is a risk that the project will be unable to assemble a team with the appropriate skills and experience to effectively plan for project implementation
	There is a risk that the Election Caretaker period could delay project procurement processes impacting adversely on the delivery of project outcomes
	There is a risk that the project planning is inadequate (e.g. benefits planning, risk identification, stakeholder engagement planning) resulting in project failure
Deliver	There is a risk that planning and mobilisation of the project team is suboptimal resulting in delays or hindrances to delivery of the project
	There is a risk that the project will have insufficient resources to enable the successful delivery of the project
	There is a risk that the project team is not sufficiently embedded within the ACT Health governance forums, impacting on the ability to successfully facilitate timely decision-making and reporting of accurate information
	There is a risk that governance mechanisms might not provide sufficient oversight and control, or speed of decision-making, to enable the delivery of the project within agreed scope, schedule, quality and / or cost tolerances
	There is a risk that implementation of the chosen solution will not result in achievement of target benefits
	There is a risk that key stakeholders have not been effectively engaged during the planning phases resulting in loss of support for the solution and loss of alignment with redesigned processes
	There is a risk the transition to BAU fails resulting in failure to realise project benefits

Project Issue Management and Change Control Approach

Purpose

The purpose of the Issue Management and Change Control Approach is to identify, assess and control any potential and approved changes to the project baselines. It describes the procedures, techniques and standards to be applied and the responsibilities in achieving effective issue management and change control. This Approach provides standard terminology, a detailed description of the issue and change control management process, and the standard templates to be used in the process. It is designed to guide the project teams and related stakeholders.

The Approach will define the governance and reporting processes, roles and responsibilities to effectively manage all issues and request for change impacting upon the DSD Portfolio and underlying projects. It will describe the process for evaluating and escalating project issues and changes that may have an impact on the realisation of objectives.

Objectives

The objective of issue management and change control is to maximise the likelihood that the project will successfully deliver the required capability on time and within budget by minimising the impacts to the project during project delivery.

Requests for Change to project baseline such as scope, timeline, and budget can come from any stakeholder. The projects and the portfolio require mechanisms and processes to be able to support the analysis and possible acceptance and implementation of these.

Issue and Change Requests Definition

An issue is an event that has already happened or is currently happening, is affecting the project and may require resolution. It is any functional, technical or business-related event that arises during the course of the project that requires a satisfactory resolution for the project to proceed as planned or with minimal impacts. Generally, a major issue requires a decision to be made that is outside the scope of day-to-day project tasks and their management. The issue management process is used to document and resolve issues and/or problems that may occur during the project.

Issues differ from risks. A risk is defined as an uncertain event that, if it occurs, has an effect on the project objectives. A risk, if not mitigated, could evolve into an issue. For further information on the Risk Management process, see the *DSD Project Risk Management Approach above.*

Change control is the formal governance process used to ensure that the changes required to a project, product or deliverable are assessed and introduced in a controlled and coordinated manner. Change control reduces the possibility that unnecessary changes will be introduced to the project causing any impact to the scope, schedule, budget, quality and benefits of the project and therefore portfolio.

Risks	Issues	Request for Change
Risks are an uncertain event or set of events that, should it occur, will have an effect on the achievement of the project objectives. Risk Management for Projects is followed in the DSD Project Risk Management Approach above	A relevant event that has happened, was not planned, and requires management action. Issues can be realised Risks. It can be any concern query, request for change, suggestion or variance from specification raised during the project. Project issues can be about anything to do with the project. They may or may not require a change request	Change Requests are a response to an issue, where a change to a baseline or off-specification is required. Change requests can also be instigated from business, executive or within the Project itself

Project issues are those issues which are likely to impact on the schedule, scope, budget, quality, baselined deliverables and products. Project Managers will report monthly on the status of their issues in the Project Status Reports. If Issues are identified that have an impact on the Project objectives, then they are required to follow the Change Control Process outlined below**.**

Roles and Responsibilities

The following Key Roles and Responsibilities relating to Project Issue Management and Change Control:

Role/Committee	Responsibility

Digital Committee	• Has the ultimate authority over the project. It is able to make decisions regarding changes to the:
	  ○ Scope
	  ○ Schedule
	  ○ Benefits
	  ○ Risk
	  ○ Quality
	  ○ Budget

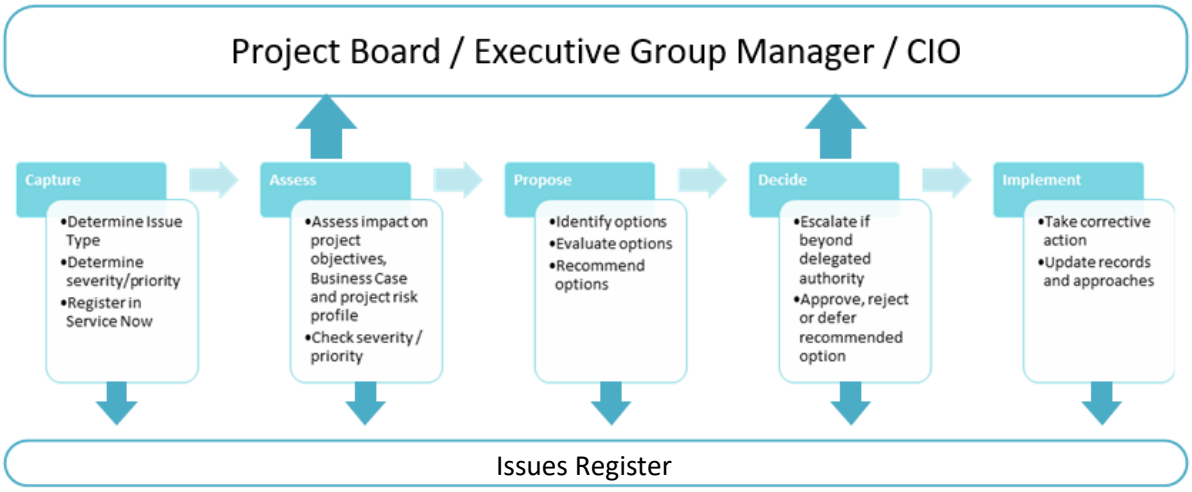
Project Board	• Determine and delegate a change authority (if required) • Determine change budget (if required) • Approve Requests for Change according to Project Decision Guide • Intervenes to control issues and changes that affect the alignment of the project with organizational objectives • Makes decisions on change requests or escalated issues within delegation as per Project Decision Guide
Project Advisory Group	• Respond to requests for advice from the Project Manager
Executive Sponsor	• Respond to requests for advice from the Project Manager • Makes decisions on change requests or escalated issues within delegation as per Project Decision Guide

Role/Committee	Responsibility
Chief Information Officer/Senior Supplier	• Makes decisions on change requests or escalated issues within delegation as per Project Decision Guide • Set the scale for rating the severity of issues (this framework) • Set the scale for priority ratings for request for change (this framework) • Respond to requests for advice from the Project Manager
Issue Owner	• Can be any person within the project or the person who identifies the issue • Responsible for the implementation and continued progression of the issue mitigation strategy • Escalates concerns with the issue mitigation strategy to the Project Manager • Communicates the progress of issue mitigation to the Project Manager
Change Owner	• Can be any person within the project or the person who identifies the change • Responsible for raising a change request • Responsible for the continued progression of the change request and the implementation of approved changes • Communicates the progression of a change request to the Project Manager
Responsible Senior Director	• Respond to requests for advice from the Project Manager • Assist with assessment of change requests • Coordinates issue and change control management interfaces with projects • Facilitates the change control steps
Project Manager	• Ensures all relevant documentation is updated once the decision regarding the change has been reached, including re-estimations of resources, cost and schedule • Ensures the Project and Project Issue and Change Registers are updated regularly • Captures and examines proposed project change requests • Ensures completion of the Request for Change Form, validating and assessing the impact of the change to the project and its effect on other projects • Accountable to the Director and must advise the Director of all issues rated which exceed tolerances • Ensures the Change Control process is followed within the Project • Develops/Assists on the development of the action plan • Ensures all relevant documentation is updated once the decision regarding the change has been reached, including re-estimations of resources, cost and schedule • Ensures and/or updates the project Change Register regularly • Reports project issues rated high/extreme and changes monthly to Director via the Project Status Report

Role/Committee	Responsibility
Change Manager	• Manages issues and changes that impact on business change management and transition • Identifies operational issues and ensures that they are managed by the Project • Identifies opportunities from the business and raises them for inclusions in the project • Contributes to impact assessment and change control process • Monitors and reports on business performance issues that may require the attention of the Project during transition
Senior User(s)	• Reviews and assesses change requests or issues relating to benefits • Coordinates the resolution of issues relating to the project benefits achievement
PMO	• Develops and manages the approaches for handling risks, issues and changes • Designs and manages the issue and change control management process • Manages aggregated level of risks and issues that are within the portfolio tolerances • Assures project adherence to the Issue and Change Control Management Approach • Ensures that change control is undertaken by individuals with the correct authority • Ensures that the impact of individual and aggregated issues and changes are understood by the relevant stakeholders • Defines clear rules for project tolerances and escalation • Reviews all high/extreme issues and changes within the projects • Reviews and assesses Change Request Forms on the impact of the change to the portfolio and its effects on other projects/Projects

Issue Management Process

The Issue Management process can be divided into six activities as shown in diagram below. The following section provides a description of each stage.



These steps are discussed in more detail in the following sections.

Capture

The first step in the process is to identify the issue and undertake an initial analysis to determine the type of issue that has been raised. The Project Manager makes an initial assessment of the issues impact and priority. The Issue Identification stage consists of three key activities:

- **Issue Recognition** – Issues can be recognised and raised from within a project, by an external stakeholder and from within the portfolio. Issues may arise through the occurrence of a previously identified or unidentified risk
- **Issue Description** – For each issue, a statement should be included as a Short Description
- **Risks vs. Issues** – There should be a clear distinction between issues and risks. If the event is already being experienced, it should be included in the Issue Register. If it is assessed as being a future concern (and therefore a risk instead of an issue) it should be updated to the Risk Register

Issue Assessment

The next step is to assess the issue to determine the impact on the project objectives. Consideration needs to be given to whether the issue is an isolated event and whether it can be resolved within existing processes and governance. The Project Manager will review the issue, assign an impact and priority rating and identify an issue owner. It may be necessary to request advice from the Executive Sponsor, CIO or Project Board to check their understanding of the priority and impact before proposing resolutions.

Priority Rating

The Priority Rating is a qualitative measure which indicates how likely the issue is to impact on the achievement of project objectives and therefore how important treatment of the issue is as outlined below.

This allows the project teams to make an assessment as to whether the issue requires immediate attention and escalation and also whether the impact of the issue on Project or organisational objectives needs to be considered.

Issue Priority	Description of Issue Priority

Planning	An issue that has arisen during the Initiation or Planning Stages, that will have some material impact to the planning of the project but will not impact the project objectives
Low	An issue that doesn't affect activities on the critical path, and probably won't have much impact if it's resolved at some point
Moderate	An issue that will have a noticeable impact but won't stop the Project from proceeding
High	An issue that will have a considerable impact and could considerably delay the project from achieving objectives
Critical	A critical issue that will have a high impact on Project success and has the potential to stop the Project completely

Impact Rating

Impact analysis must cover the three areas of business, user and supplier (e.g. including the supplier's cost and effort required to implement a resolution and what products would have to be changed). Impact analysis should consider the impact the issue has (or will have) on:

- The project performance targets (time cost, quality and scope), including whether there are any other products that are within the projects scope that will also be impacted by this issue.
- The project business case, especially in terms of the impact on benefits.
- Any other dependent products produced by the project.

Issue Impact	Description of Issue Impact
Insignificant	The impacts to the project objectives are negligible however the issue must be noted and monitored/reviewed
Minor	The impacts to the project objectives are minor however the issue must be noted and monitored/reviewed
Moderate	The impact of the issue on the project objectives will have a moderate effect and actions should reflect this
Major	The impacts to the project objects are major and an action plan and escalation must be enacted
Catastrophic	The impacts to the project objects will stop the project completely and an action plan and escalation must be enacted

Issue Rating

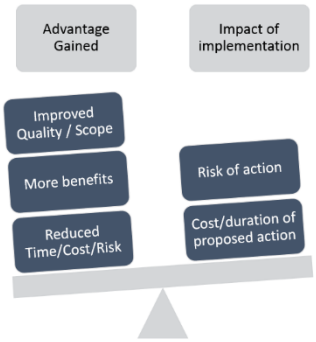
Each Issue is given an Issue Rating which is based on the Priority Rating and Impact Rating that has been determined.

		Impact →				
		Insignificant	Minor	Moderate	Major	Catastrophic
Priority ↑	Critical	Medium	High	High	Extreme	Extreme
	High	Medium	Medium	High	High	Extreme
	Moderate	Low	Medium	Medium	High	Extreme
	Low	Low	Medium	Medium	High	High
↑	Planning	Low	Low	Medium	Medium	High

All Project issues require treatment, however those that are rated as **Extreme** and **High** are considered the highest priority for control and subsequent resolution.

Propose Corrective Actions

Once issues have been identified and assessed, and the impact of the issue is understood, actions need to be identified to address the issue.



A treatment action plan needs to be developed which will be implemented to minimise the impact of the issue. The action officer is responsible for identifying a suitable response. If a project level issue can be handled within existing Project governance structures or relates to a product or work package that has an impact of Insignificant or Minor then the Project Manager can choose to approve, reject or defer treatment options.

The cost effectiveness of proposed treatments should be assessed by comparing the cost of the impact to the benefit of the treatment. There may be situations where the consequences of the issue will be deemed to be unacceptable and the treatment action will be required regardless of its costs. Examples of these actions include doing nothing, providing the submitter with further information, or raising a Request for Change. If the recommended action would significantly impact on deliverables, scheduling or budget of the project (i.e. exceeding agreed tolerance thresholds), a Request for Change must be raised to ensure the action is given adequate scrutiny. Please see below for details on Change Control Processes.

Decide Corrective Actions

The Project Manager may be able to resolve issues without the need to escalate to the Project Board. For project level issues, the Project Manager will evaluate the issue and the recommended action plan. If the issue is within the approval authority of the Project Manager, a decision will be made by the Project Manager. If the project issue impacts the Project and exceeds tolerances, the Director will first evaluate the issue and the recommended action plan.

Implement Corrective Actions

Responsibility for implementation of the treatment action will be assigned, and, if the treatment owner resides outside of the project, the progress of the treatment will be regularly monitored. The treatment owner works with the relevant individuals to complete the recommended actions.

Escalating Issues

When there is an issue that is forecast to exceed the agreed project tolerances or has exceeded the project tolerances**,** the issue is reported and escalated to the Director and appropriate governance committee according to the Tolerance Guide**.**

Issues with an impact rating of 'Catastrophic' and 'Major', and all issues that are rated with a priority of 'Critical' or 'High' and have an impact on the projects objectives are considered out-of-tolerance and their treatments should be communicated or escalated by the Project Manager to the Director immediately. Issues that will not have an impact on the project objectives are considered to be within tolerance and do not need to be escalated, however may need to be regularly monitored.

Monitoring and Reviewing Issues

The purpose of monitoring and reviewing issues is to ensure that:

- All issues are documented, including the assessment of the priority and impact
- Issues that are no longer applicable are closed (resources should not be wasted on managing issues that no longer exist or have been resolved)
- Any new issues are identified and assessed as early as possible
- Issue treatment action plans are implemented and are effective
- The Issue Management processes are effective and being followed

The Project Manager is responsible for ensuring that details of issues are regularly monitored, reviewed and updated in the Issue Registers. Project issues will be reviewed at least a fortnightly by the Project Manager prior to submitting the status reports. The Project Manager should regularly monitor and review treatment actions with the Issue Owner to ensure appropriate action is being taken to resolve the issue. PMO may provide guidance to Project Managers on project level issues.

Issues are to be classified as uncontrolled if the corrective action in place is overdue. Further detail on this is available in the Project Tolerance Guide.

Change Control Process

The objective of the Project Change Control is to preserve the integrity of the original project scope and objectives. Through this control procedure, changes to scope, schedule, quality and cost of any project are clearly understood, appropriate authority is sought, and a decision is made.

More specifically the objective is to support the Project Manager in:

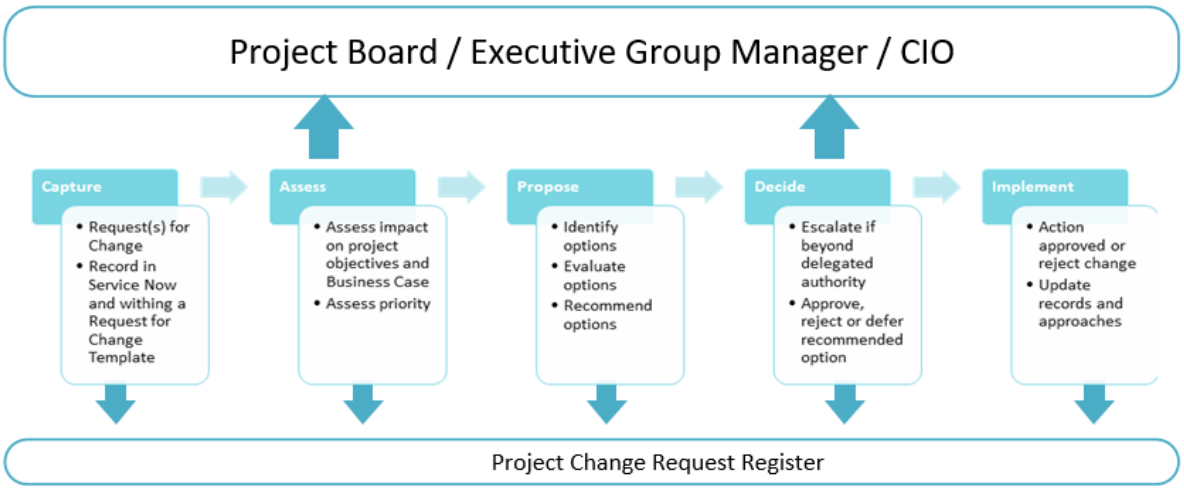
- Coordinating all change requests
- Expediting decision making

By:

- Providing a system for formal review and control for Request for Changes
- Providing a system where changes are registered, tracked and managed

The DSD Portfolio Project Request for Change approval process goes through the following five steps. Each step contains a decision point at which a delegate must review the change request and

decide how to action it. A summary of the change control process can be found in the diagram below.



Capture the Change

A Request for Change can be raised by any person within the Project and Project Team. When someone recognises the need for change within a project, they need to discuss it with the Project Manager. The Project Manager determines if a change will impact their project, other projects and if the impact of the change will exceed the agreed tolerances. If either of these criteria is met, the Project Manager needs to raise a Request for Change.

Change Assessment

After a Request for Change has been captured, the Project Manager must:

Review the request and conduct an impact assessment, including detailed analysis of scope, schedule, quality and cost impacts.

Receive endorsement of the impact assessment by relevant parties, including Director, CIO and Executive Sponsor.

1. Liaise with other Project Managers to identify interdependencies within the Portfolio
2. Understand the Business Justification for the change
3. Document any interdependencies identified within the Change Request Form
4. The following questions should be investigated:
    a. Does the change impact other projects?
    b. Does the change impact the delivery of benefits?
    c. Does the change impact the current stage, the next stage or the entire project?
    d. Does the change impact significant communication or external events date?
    e. Does the change impact resourcing requirements?
    f. Does the change alter any objectives stated in the Business Case?
    g. What are the consequences of not proceeding with the change?

Review the Project Decision Guide to understand the required governance and decision maker.

Propose Solution

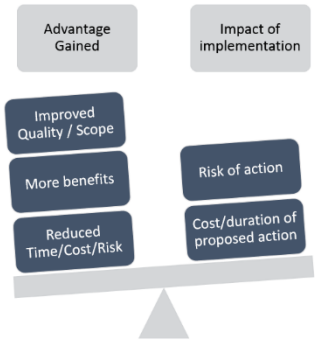
Once the impact of the change has occurred a proposed solution and action plan needs to be developed to minimise the impact of the issue on project objectives. If a project level change can be handled within existing Project governance structures or relates to a product or work package that has an impact of Insignificant or Minor the Project Manager can choose to approve, reject or defer the solution options.

The cost effectiveness of proposed solutions in a response to a Request for Change should be assessed by comparing the cost of the change to the benefit of the change. There may be situations where the cost or impact of the change will be deemed to be unacceptable.

Decide

For Project Change Requests, the Project Manager can approve project change requests provided the impact of the change is within their delegation tolerances. If the projects change request impact exceeds the Project Managers delegation tolerances, then the Project Manager needs to identify the appropriate role to review the change request and decide on whether to approve or reject. The Project Decision Guide is referenced for this information.

Change Implementation



Once a change request has been **approved**, it is the responsibility of the Project Manager to conduct its implementation. The Project Manager is required to update the Project Initiation Documentation including the Project Plan, benefits, schedules, risks, issue and dependency Registers to reflect the details of the change request.

The Project managers are required to ensure that members of their team are notified of the change and that any impacts identified in the impact analysis process are incorporated into project schedules. If a change request has been **rejected,** then the Project Manager is required to update the Project Change Register in the project management tool and the Request for Change Form. The Project Managers are required to communicate the outcome to relevant stakeholders who are affected by the change decision.

Appendix A

Project Stages and Deliverables (for Waterfall Methodology)

Project Initiation Stage

The Initiation Stage is a short stage where the purpose is to establish the foundations of the project to enable the organisation to understand the work that needs to be performed. The objective is to ensure common understanding of the reasons for doing the project, define and agree the scope, how and when the project will be delivered and at what cost.

Initiate Stage - Activity, Inputs and Outputs

The following table outlines the key activities, inputs and outputs of the Initiation Stage. These requirements are tailored depending on the tier and type of project.

ACCOUNTABLE FOR INITIATION STAGE	Portfolio Management, Project Manager, Responsible Senior Director
WHO TO ENGAGE (WHERE APPLICABLE)	• Executive Sponsor • Senior User(s) • Responsible Senior Director • PMO ACT Government Solicitors Office (GSO) • Shared Services ICT Program Manager • Project Team • Business Analyst • Digital Solutions Service Transition Coordinator • Contract Manager
KEY INPUTS	• Strategic Investment Proposal or • Project Brief • (and/or DDTS Project Brief)
CORE ACTIVITIES	• Define Project tier and tailoring requirements • Record the baseline information within the project management tool • Assign the Project Manager to initiate the project • Define the Project Initiation Document and seek approval • Engage with Executive Sponsor and Senior User to determine which areas are impacted and the approach that will be used in the project engagement

	• Document Scope and have this approved by CIO and Executive Sponsor
	• Hold initial workshops to articulate the expected project outcomes and set the key objectives
	  ○ Express a set of high-level requirements
	  ○ Engagement with Transition coordinator to understand what might be needed to support and manage the product when delivered
	  ○ Investigate stakeholders and their needs (high level)
	  ○ Understand Scope for Shared Services
	  ○ Define and agree detailed project scope
	• Outline project schedule
	• Initiate Risk workshops (required for Tier 1 projects)
	• Understand Governance requirements
	• Phases or project delivery work streams need to be determined at a high level
	• Determine Next Stage activities including development of Work Packages

RESPONSIBLE FOR PRODUCTS	Project Manager
TIMEFRAME	< 4 weeks / per project schedule
GOVERNANCE (GATE 1)	Stage Gate 1 Report – Progress to Plan
NEXT STEPS	Options: 1. Initiation activities determine the Business Case is no longer viable, therefore cease the project. 2. Reduce scope or increase budget and approve changes. 3. Approve to proceed to Plan Stage.

Initiate Stage – Deliverables

Deliverable	Description	Contributor	Producer	Approver(s)[5]
Dynamic Records	Records of project are reflective of current stage within the Project Management Tool including: - Decisions - Artefacts (Optional) - Quality Register - Benefit Profiles (based on the business case/SIP) - Lessons - Communications Register - Risks - Issues - Lessons Register	PMO	Project Manager	As required

[5] The order in the table represents the chain of approval.

	- Expense Records (Anticipated versus Actual) - Project Change Requests (where relevant) - Exception Reports (where relevant) - Actions (Optional) - Daily Logs (Optional) - Project Tasks (Optional)			
Exception Report (if required)	Report to the Project Board stating project variances and impacts associated as well as options for recovery.	PMO	Project Manager	Senior Director, OCIO EBM, (responsible) CIO Executive Sponsor Project Board (if required) Digital Committee (if required)
Project Budget Worksheet	Budget breakdown for the project.		Project Manager	Asst Director Finance, DSD
Project Change Request (if required)	Request to the Project Board requesting changes to the project baseline based on new information.	PMO	Project Manager	Senior Director, OCIO EBM, responsible CIO Executive Sponsor Project Board (if required) Digital Committee (if required)
Project Initiation Document (PID)	Define the project. Gives direction and scope of the project and forms the contract between the Project Manager and the Project Board. In this stage the document focuses on describing the product that the project will	Responsible Senior Director	Project Manager	EBM, responsible [6] CIO Executive Sponsor Project Board

[6] For this Stage only, approval for the PID is sought from once the Stage Gate meeting has occurred.

	deliver, scope of delivery and governance arrangements. This is living document that will be updated and added to as the project progresses through the life cycle.			
Project Managers Stage Report (Progress to Plan)	Used to confirm that all controls and supporting deliverables required for the stage have been completed. Also details the activities, deliverables, resources, scope, dependencies, resources and assumptions to achieve the next stage of the project life cycle.	PMO	Project Manager	Senior Director, OCIO EBM, responsible CIO Executive Sponsor Project Board
Project Tool Project Record	The project is converted from a Demand to a Project. The record holds: - Project summary including the business case details - Status reports - Schedule (milestones) - Financial management - Benefit Profiles - Quality Register - Risks, Issues, Project Change Requests, Decisions, Communications, Lessons, Artefacts and Exceptions		Portfolio Management	N/A
DDTS Project Brief	Scope and deliverables for Shared Services ICT.	Assigned Architect	Project Manager	CIO Executive Sponsor (if non-DSD Cost Centre)
Stage Gate Checklist (Progress to Plan)	Records the list of artefacts and current status, required to be completed and submitted with Stage Gate documentation.	PMO Stage Gate Panel	Project Manager	Senior Director, OCIO
Stage Gate Recommendation Report (Progress to Plan)	Used to confirm that all controls and supporting deliverables required for the stage have been completed.	Stage Gate Panel	Senior Director, OCIO	EBM, responsible CIO Project Board
WBS and Initial Baseline 0 Schedule	Schedule Template and defined activities .		Project Manager	CIO

				Executive Sponsor
Work Packages	The drafted and approved work packages for the next stage.	Delivery Team Resource Manager	Project Manager	Delivery Team Resource Manager

At the conclusion of the Initiate Stage a Stage Gate is required to move into Plan Stage.

Project Planning Stage

The Plan Stage commences after the Project Board accepts the recommendation from the Senior Director, OCIO following completion of **Stage Gate 1 – Progress to Plan**.

Plans provide the backbone of the management information required for any project; without a plan there can be no control. The Plan Stage involves detailed planning for subsequent stages and may include procurement or other commercial activities. The Plan Stage ensures all projects have an agreed plan, however, the length and complexity of these differ. The PID is constantly updated to ensure the project continues to be valid.

Procurement

Ideally, the procurement life cycle should not start until the project has completed the Initiation Stage.

The procurement activities are determined by the nature of the project and are covered by Government processes. The latest process can be obtained from PMO.

Implementation Planning Study

Complex projects will often require an Implementation Planning Study (IPS) to be conducted with a contracted vendor. This will occur once contracts are signed and must be completed prior to the project seeking approval to move to the Execute Stage. This is important as vendor delivery requirements must be known prior to finalisation of how the project will be delivered.

At a minimum, a vendor should be expected to deliver detailed information as to how they will meet each requirement in the Business Requirements Specification and Implementation Approach (vendor side).

Plan Stage - Activity, Inputs and Outputs

The following table outlines the key activities, inputs and outputs of the Plan Stage. These requirements are tailored depending on the tier and type of project.

ACCOUNTABLE FOR PLANNING STAGE	Project Manager, Responsible Senior Director
WHO TO ENGAGE (WHERE APPLICABLE)	• Business Analyst • Change Manager • Commissioning and Performance • Contract Manager

	• Enterprise Architecture Office • Executive Sponsor • Procurement Officers IFCW • Project Team • Project Working/Advisory Group • Senior User(s) • Shared Services ICT Project Manager • Stakeholders • Technical Resources • Technical/Integration Analyst • Test Manager • Vendor(s)
KEY INPUTS	• Project Initiation Document • Work Packages • Project Managers Stage Report - Progress to Plan
CORE ACTIVITIES	• Agree procurement approach and initiate these activities (if applicable) • An updated project schedule is produced by incorporating agreed resource needs, DDTS and vendor activities • Co-design and planning workshops with DDTS and vendor(s) • Complete procurement activities including negotiation and contract signature • Data Migration Planning (if applicable) • Decommissioning Planning (if applicable) • Define the benefits management approach • Define the end user experience and include the business processes to support the solution • Detailed project planning including user analysis, technical activities and support transition Organisational Change Management and Engagement including transition and training planning and design • Ensure business analysis approach is robust and applicable to the project • Implementation planning • Implementation Planning Study (IPS) – where relevant • Monitor and report on issues and risks and create change requests • Project artefacts are created and quality assured following the Quality Management Approach • Seek approval for each plan from the appropriate governance level • Seek approval for DDTS Project Proposal and Conceptual Solution Design • Stakeholder engagement including detailed business requirements, use cases and integration specifications • Test Planning • Track planning work via status reports • Transition planning
RESPONSIBLE FOR PRODUCTS	Project Manager
TIMEFRAME	> 8 weeks / as per project schedule

	(Note: timeframes are significantly longer for projects undertaking procurement)
CHECK POINT REVIEWS	Progress to Market (if required) BA Plan and Approach Conceptual Solution Design Approved BRS Baselined Data Migration Strategy Approved
GOVERNANCE (GATE 2)	Stage Gate 2 Report – Progress to Execute
NEXT STEPS	Options: 1. Planning activities determine the business case is no longer viable, therefore cease the project. 2. Reduce scope or increase budget and approve changes. 3. Approve to proceed to Execute Stage.

Planning Stage – Deliverables

Deliverable	Description	Contributor	Producer	Approver(s)[7]
(Draft) Business Continuity Statement	Ensure technology is available to support required business continuity acceptable to the stakeholders.	Chief Information Security Officer Business System Owner Business Stakeholders	Project Manager	Chief Information Security Officer EBM, Technology Operations CIO Executive Sponsor
(Draft) DSD BAU Support Plan	Outlines how the solution (product) will be supported by Digital Solutions Support team in Technology Operations Branch.	Transition Lead Director, IT Service Management	Project Manager	Relevant Senior Director, Technology Operations Senior Director, Support and Diagnostics Hub EBM, Technology Operations
(Draft) Security Risk Management Plan	Details the Security requirements and actions required by the ACT	Chief Information Security Officer	Project Manager	Chief Information Security Officer

[7] The order in the table represents the chain of approval.

	Government Security policies.	Business System Owner		EBM, Technology Operations CIO Business System Owner
Artefact Breakdown Structure (PBS) (related to Tailoring)	The Project Manager works with the Portfolio Management to determine what artefacts are required within each stage for the project according to the size, project phases or work streams. Used during planning to document which products are created for which purpose, in which Stage: Particularly useful for projects with multiple phases or work streams.	PMO	Project Manager	Senior Director, OCIO
Benefits Management Approach and Profiles	Defines the actions and benefits reviews that will be put in place to ensure that the project's outcomes are achieved and confirm the project's benefits are realized.	Business Stakeholders Business System Owner Portfolio Management	Project Manager Change Manager	EBM, CIO Executive Sponsor
Business Analysis Plan and Approach	Define the Business Analysis activities, approach, deliverables, products, stakeholders and outcomes.		Business Analyst	Project Manager Enterprise Architect
Business Requirements Specification	Detailed business requirements for the project that satisfies the business needs and expectations. Determines workflows, assists in sizing the testing.	Project Manager Business System Owner Test Manager Chief Information Security Officer Architect	Business Analyst	EBM, responsible CIO Executive responsible Sponsor
(Draft) Business Transition Plan	Details how the project supports the business to transition using the new solution.	Business System Owner Transition Lead Director, IT Service Management	Project Manager	EBM, Technology Operations EBM, responsible CIO

				Executive Sponsor
Conceptual Solution Design	Conceptual design of how the solution will be built.	Chief Information Security Officer DDTS Technical Teams	Solution Architect	Health Architecture Review Panel DDTS Architecture Design Review Panel (ADRP) Director, Enterprise Architecture Office
Contract & Work Orders	Signed contract is in place with accompanying Statement of Work. Work orders have been established and approved.	Director, ICT Contract Management Office EBM, Technology Operations	Project Manager	EBM, responsible CIO Executive Sponsor Director General (as per delegation requires)
Contract Management Plan	Details how the contractor/vendor will be managed throughout implementation and support.	GSO Director, ICT Contract Management Office EBM, Technology Operations Business System Owner	Project Manager	EBM, responsible CIO Executive Sponsor
Data Migration Approach	Describes how the data migration will occur throughout the stages of the project (including data analysis, data migration testing and production load).	Test Lead Business System Owner Integration Specialists Architect Business Analyst	Project Manager Data Migration Lead	EBM, responsible CIO Executive Sponsor
Dynamic Records	Records of project are reflective of current stage within the Project Management Tool including: - Decisions - Artefacts (Optional) - Quality Register	PMO	Project Manager	As required

	- Benefit Profiles (based on the business case/SIP) - Lessons - Communications Register - Risks - Issues - Lessons Register - Expense Records (Anticipated versus Actual) - Project Change Requests (where relevant) - Exception Reports (where relevant) - Actions (Optional) - Daily Logs (Optional) - Project Tasks (Optional			
Exception Report (if required)	Report to the Project Board stating project variances and impacts associated as well as options for recovery.	PMO	Project Manager	Senior Director, OCIO EBM, responsible CIO Executive Sponsor Project Board (if required) Digital Committee (if required)
Implementation Approach (Per release if multi release)	Details how the solution will be implemented including over phases, different business units, sites, times, capability.	Business / Clinical Stakeholders	Project Manager Change Manager	EBM, responsible CIO Executive Sponsor
Integration Specification(s)	System to system interface specifications including trigger points, mapping, integration and data architecture.	Architect Integration Specialists System Specialists	Business Analyst	Project Manager Director, Enterprise Architecture

Master Test Plan	Details how the solution (product) will be tested, which environment, data points, resources required.	Project Manager Business System Owner Business Analyst Test Manager	Test Lead	EBM, responsible CIO
Organisational Change Management Approach	Details the activities and approach associated including preparation for the change, managing the change and reinforcing the change. Why are we changing? What is changing? Who will be changing? When and how are we changing? Readiness criteria? How it will be communicated to stakeholders?	Business System Owner Business Stakeholders	Change Manager Project Manager	EBM, responsible CIO Executive Sponsor
Project Budget Worksheet (updated)	Budget breakdown for the project- updated for planning stage in relation to costs & expenses		Project Manager	Asst Director Finance DSD
Project Change Request (if required)	Request to the Project Board requesting changes to the project baseline based on new information.		Project Manager	Senior Director, OCIO EBM responsible CIO Executive Sponsor Project Board (if required) Digital Committee (if required)
Project Managers Stage Report (Progress to Execute)	Used to confirm that all controls and supporting deliverables required for the stage have been completed. Also details the activities, deliverables, resources, scope, dependencies, resources and assumptions to achieve the next stage of the project life cycle.	PMO	Project Manager	Senior Director, OCIO EBM responsible CIO Executive Sponsor Project Board

Quality Management Approach and Register	Describes how quality will be managed in the project and registers the quality management activities that are planned or have occurred and provides information for the end stage reports.	Test Lead	Project Manager	EBM responsible CIO
Requirements Management Plan	Describes how the project will manage the requirements throughout the project.	Project Manager	Business Analyst	EBM responsible CIO
DDTS Project Plan	Outlines the DDTS Scope of work and relevant costings to deliver their component of the project.	Project Manager	DDTS	Senior Director, OCIO EBM responsible CIO
Stage Gate Checklist (Progress to Execute)	Records the list of artefacts and current status, required to be completed and submitted with Stage Gate documentation.	PMO Stage Gate Panel	Project Manager	Senior Director, OCIO
Stage Gate Recommendation Report (Progress to Execute)	Used to confirm that all controls and supporting deliverables required for the stage have been completed.	PMO	Senior Director, OCIO	CIO EBM responsible Project Board
Test Strategy (for multi release projects only)	Details the testing strategy when there are planned multi releases for a project.	Business System Owner Project Manager Business Analyst Test Manager	Test Lead	EBM, responsible CIO
Training Plan	Details how training will be conducted, to whom, training schedule & key training requirements	Project Manager Business System Owner Assistant Director, Training	Change Manager	EBM responsible CIO Executive Sponsor
Updated PID	The PID is updated at the end of the Stage in readiness for Stage Gate 2 - Progress to Execute		Project Manager	EBM responsible CIO Executive Sponsor Project Board
Updated Schedule	The project schedule has been updated and key	PMO	Project Manager	

	milestones have been included.			EBM responsible CIO
Work Packages	Issued for the current stage once the Progress to Plan Stage Gate has been approved by the Project Board. Created for the following Stage (Execute). Execute work packages cannot be issued until the Progress to Execute Stage Gate has been approved.	Delivery Team Resource Manager	Project Manager	Delivery Team Resource Manager

At the conclusion of the Plan Stage a Stage Gate is required to move into Execute Stage.

Project Execution Stage

The Execution Stage commences after the Project Board accepts the recommendation from the Senior Director, OCIO following completion of **Stage Gate 2 – Progress to Execute**. The purpose of the Execution Stage is to build, test and accept the project product (solution) to specification. This stage may be repeated as necessary to deliver all of the required project outputs. Multiple technical environments may be used. For this reason, the Project Execution Stage has a high level of oversight and required reviews and support. Alignment and adherence to the Information Management and Technology Change and Release Policy and the Health Release Strategy is mandatory.

Technical Build (Development Environment)

With an approved plan, DDTS Proposal and Conceptual Solution Design, a project can move into the Technical Build (Development Environment). The configuration, design and requirements are reviewed and a Requirements Traceability Matrix (RTM) is developed. Fit for Purpose is validated and approved via Testing activities by the DSD. The Project Manager is responsible for ensuring the Technical Build (Development Environment) solution is Fit-for-Purpose as agreed by the Executive Sponsor.

Technical Build (Test Environment)

Following the Check Point Review – Progress to Test Environment the environment is built and multiple end to end test cycles are completed. User Acceptance Testing is also undertaken here. Other non-technical activities occur in parallel to the technical build and testing activities.

Execute Stage – Activity, Inputs and Outputs

The following table outlines the key activities, inputs and outputs of the Execution Stage. These requirements are tailored depending on the tier and type of project.

ACCOUNTABLE FOR EXECUTION STAGE	Project Manager and Responsible Senior Director
WHO TO ENGAGE (WHERE APPLICABLE)	• Executive Sponsor • Senior User(s) • Roles (as per the resource plan) to build and test the solution • Roles (as per the Stakeholder Engagement and Communications Plan) to maintain stakeholder engagement and prepare for the change
KEY INPUTS	• Project Initiation Document (Updated) • Project Managers Stage Report – Progress to Execute • Conceptual Solution Design • Master Test Plan • Organisational Change Management Approach • Other planning documents approved in the previous Stage • Approved DDTS Proposal
CORE ACTIVITIES	• The project team works closely with vendor(s), senior uses, end users and technical resources to complete the tasks outlined on the detailed project schedule and develops the project deliverable(s) including products in consultation with key stakeholders including senior users. • Update planning documents as additional information comes to light if required. • Update business requirements as additional information is available regarding solution and future workflows. • Communication activities ramp up according to Communication Approach. • Build Technical environments according to specifications and Conceptual Solution Design. • Complete regular status reports, monitor and report on issues and risks and create change requests. • During this stage, the solution is tested according to the Test Plan, where Fit for Purpose is proven in the Development Environment prior to transition to the Test Environment. • Submit UAT certificate and test summary reports to the CIO and Executive Sponsor. • Adhere to Release management processes. • Resolve issues and retest issues identified during testing activities. • End user training is started and increases over the course of the Stage, and organisational change management activities increase.
RESPONSIBLE FOR PRODUCTS	Project Manager
TIMEFRAME	> 2 weeks / as per project schedule

CHECKPOINT REVIEWS	Progress to Development Environment Progress to Test Environment Progress to Pre-Production Environment Progress to Execute (Multi-release project) Progress to Deliver (Multi-release project)
GOVERNANCE (GATE 3)	Stage Gate 3 Report – Progress to Deliver
NEXT STEPS	Options: 1. Execution activities, including Testing, determine the business case is no longer viable, therefore cease the project. 2. Reduce scope or increase budget and approve changes. 3. Approve to proceed to Deliver Stage.

Execution Stage – Deliverables

Deliverable	Description	Contributor	Producer	Approver(s)
Project Budget Worksheet	Budget breakdown for the project.		Project Manager	Asst Director Finance, DSD
Business Transition Plan (Final)	Details how the project supports the business to transition using the new solution.	Business System Owner Transition Lead Director, IT Service Management	Project Manager	EBM, Technology Operations EBM responsible CIO Executive Sponsor
Communications Material	Communications material as per the Change Management Approach. The material is to advise staff of the change and what is happening when and by whom. This may include emails, flyers, posters and planned meetings.	Business Stakeholders Project Manager	Change Manager	EBM responsible CIO Executive Sponsor (as required)
Dynamic Records	Records of project are reflective of current stage within the Project Management Tool including: - Decisions - Artefacts (Optional) - Quality Register - Benefit Profiles (based on the business case/SIP) - Lessons - Communications Register - Risks	SME	Project Manager	As required

	- Issues - Lessons Register - Expense Records (Anticipated versus Actual) - Project Change Requests (where relevant) - Exception Reports (where relevant) - Actions (Optional) - Daily Logs (Optional) - Project Tasks (Optional)			
Exception Report (if required)	Report to the Project Board stating project variances and impacts associated as well as options for recovery.	PMO	Project Manager	Senior Director, OCIO EBM responsible Executive Sponsor Project Board (if required)
Business Continuity Statement (Final)	Ensure technology is available to support required business continuity acceptable to the stakeholders.	Chief Information Security Officer Business System Owner Business Stakeholders	Project Manager	EBM, Technology Operations CIO Executive Sponsor
DSD BAU Support Plan (Final)	Outlines how the solution (product) will be supported by Digital Solutions Support team in Technology Operations Branch.	Transition Lead Director, IT Service Management	Project Manager	Relevant Senior Director, Technology Operations Senior Director Support and Diagnostics Hub EBM, Technology Operations
Security Risk Management Plan (Final)	Details the Security requirements and actions required by the ACT Government Security policies.	Chief Information Security Officer Business System Owner	Project Manager	Chief Information Security Officer EBM, Technology Operations CIO

				Business System Owner
Fit for Purpose Certificate (Development Environment)	Testing team have tested the product in the Development environment and seeks approval to move into the Test Environment.	Test Manager Director, IT Service Management	Test Lead Project Manager	Director, Portfolio Management EBM responsible
Go Live Runsheet	The detailed activities and timings for the conduct of the process of migration to production environment and Go Live activities	Business Stakeholders DDTS Technical Resources Transition Team Director, IT Service Management	Project Manager Change Manager DDTS	EBM responsible Change Control Board
Go/No Go Checklist	Checklist to review and seek approval to go live. Includes a review of the operational readiness, change activities have been completed and impacted users are ready (including Support roles).	DDTS Business System Owner Change Manager	Project Manager	EBM responsible EBM, Technology Operations CIO Change Control Board
Penetration Testing Report	Report following Pen Testing to test security vulnerabilities within the system.	Project Manager	DDTS	DDTS Chief Information Security Officer EBM, Technology Operations CIO
Project Change Request (if required)	Request to the Project Board requesting changes to the project baseline based on new information.	PMO	Project Manager	Senior Director, OCIO EBM responsible CIO Executive Sponsor Project Board (if required) Digital Committee (if required)
Project Manager Stage Report (Progress to Deliver)	Used to confirm that all controls and supporting	PMO	Project Manager	Senior Director, OCIO

	deliverables required for the stage have been completed. Also details the activities, deliverables, resources, scope, dependencies, resources and assumptions to achieve the next stage of the project life cycle.			EBM responsible CIO Executive Sponsor Project Board
Requirements Traceability Matrix (RTM)	Table that links the requirements and traces them through the life of the project. Maps the requirements to the solution via Use Cases, Test Cases. Use for ensuring that the identified requirements are tracked from source through to end of user acceptance testing (UAT). Additionally, requirements can be traced to Business needs/Project objectives, Scope and Project Product Description.	Test Manager Test Lead Architect Project Manager	Business Analyst	Director, Enterprise Architecture Office EBM, responsible CIO
Security Assessment	Third party assessment of security and vulnerabilities for Cyber Security team.	Project Manager	Architect	Chief Information Security Officer CIO Business System Owner
Stage Gate Checklist (Progress to Deliver)	Records the list of artefacts and current status, required to be completed and submitted with Stage Gate documentation.	PMO Stage Gate Panel	Project Manager	Senior Director, OCIO
Stage Gate Recommendation Report (Progress to Deliver)	Used to confirm that all controls and supporting deliverables required for the stage have been completed.	Stage Gate Panel	Senior Director, OCIO	EBM responsible CIO Project Board
Test Scripts and Test Cases	Details the test scenarios, scripts and cases to validate the solution. Held in the test management tool.	Business Analyst Test Manager	Test Lead	Project Manager
Test Summary Report (Test Environment)	Lists all tests completed by the Test team and the outcomes.	Test Manager	Test Lead	EBM responsible CIO

	Outlines the defects found during testing for rectification and retest, or de-scope.			Executive Sponsor
Training Materials and eLearning Packages and Quick Reference Guides	The training materials and eLearning packages required to ensure staff are trained prior to Go Live.	Training Manager Training Team Business Stakeholders Transition Lead	Change Manger	EBM responsible CIO Executive Sponsor (as required)
Updated PID	The PID is updated at the end of the Stage in readiness for Stage Gate.		Project Manager	EBM responsible CIO Executive Sponsor Project Board
Updated Schedule	Project schedule has been updated and key milestones have been included.	PMO	Project Manager	Senior Director, OCIO
Use Case Specification	Details the use cases to drive the test scripts and test cases	Business Stakeholders Project Manager Architect Test Lead	Business Analyst	EBM responsible
User Acceptance Testing (UAT) Certificate (Test Environment)	Signifies the sign off by the Senior User(s) that the solution meets business requirements.	Business Stakeholders Test Lead	Project Manager	Senior User CIO Executive Sponsor
Work Packages	Issued for the current stage once the Progress to Execute Stage Gate has been approved by the Project Board. Created for the following Stage (Deliver). Execute work packages cannot be issued until the Progress to Deliver Stage Gate has been approved.	Delivery Team Resource Manager	Project Manager	Delivery Team Resource Manager

At the conclusion of the Execution Stage a Stage Gate is required to move into the Delivery Stage

Project Delivery Stage

The Delivery Stage commences after the Project Board accepts the recommendation from the Senior Director, OCIO following completion of **Stage Gate 3 – Progress to Deliver**. The Delivery Stage is where the project is deemed ready to implement the product into the Production Environment. This includes executing the transition plan, training the users and go-live support. The project may repeat the substages of Plan, Execute or Delivery.

Delivery Stage – Activity, Inputs and Outputs

The following table outlines the key activities, inputs and outputs of the Execution Stage. These requirements are tailored depending on the tier and type of project.

ACCOUNTABLE FOR DELIVERY STAGE	Project Manager and Responsible Senior Director
WHO TO ENGAGE (WHERE APPLICABLE)	• Executive Sponsor • Senior User(s) • Change Control Board • Roles (as per the resource plan) to deliver the solution • Roles (as per the Organisational Change Management Plan) to communicate, manage and reinforce the change
KEY INPUTS	• Project Initiation Document (Updated) • Go/No Go Checklist • Go Live Runsheet • Project Managers Stage Report – Progress to Delivery • Business Transition Approach • DSD BAU Support Plan • Training Approach • Organisational Change Management Approach • Other planning documents approved in the Plan Stage
CORE ACTIVITIES	• The project team works closely with vendor(s) and technical resources to complete the tasks outlined on the detailed project schedule and develops the project • Confirm the solution is ready for go live release • Lead the transition activities • Complete end user and support teams training • Confirm business is ready for transition to new solution • Conduct a Go, No-Go meeting with the Executive Sponsor • Seek Go Live (production release) approval from the Change Control Board • Address all open issues and risks with action recommendations
RESPONSIBLE FOR PRODUCTS	Project Manager
TIMEFRAME	>2 weeks / per project schedule
GOVERNANCE (GATE 4)	Stage Gate 4 Report – Progress to Closure And/or Checkpoint – Progress to Plan or Execute (multi-release project)
NEXT STEPS	Options:

	1. Approve to proceed to Closure Stage

Delivery Stage – Deliverables

Deliverable	Description	Contributor	Producer	Approver(s)[8]
Dynamic Records	Records of project are reflective of current stage within the Project Management Tool including: - Decisions - Artefacts (Optional) - Quality Register - Benefit Profiles (based on the business case/SIP) - Lessons - Communications Register - Risks - Issues - Lessons Register - Project Change Requests (where relevant) - Exception Reports (where relevant) - Actions (Optional) - Daily Logs (Optional) - Project Tasks (Optional	PMO	Project Manager	As required
Exception Report (if required)	Report to the Project Board stating project variances and impacts associated as well as options for recovery.	PMO	Project Manager	Senior Director, OCIO EBM responsible CIO Executive Sponsor Project Board (if required) Digital Committee (if required)

[8] The order in the table represents the chain of approval.

Handover Certificate	Used to signify appropriate handover has been provided to Digital Solutions Support.	Transition Lead Relevant Senior Director, Technology Operations	Project Manager	EBM, Technology Operations CIO
Project Budget Worksheet (updated)	Budget breakdown for the project- updated for planning stage in relation to costs & expenses		Project Manager	Asst Director Finance DSD
Project Change Request (if required)	Request to the Project Board requesting changes to the project baseline based on new information.	PMO	Project Manager	Senior Director, OCIO EBM responsible CIO Executive Sponsor Project Board (if required) Digital Committee (if required)
Release Notes/As built documentation	Documentation required for Digital Solutions Support knowledge base.	Transition Lead Director, IT Service Management Director, Enterprise Architecture Office	Project Manager Vendor	Senior Director, Support, Diagnostic Systems Hub Relevant Senior Director, Technology Operations
Final PID	The PID is updated at the end of the Stage. This version is sentenced as the final version.		Project Manager	EBM, responsible CIO Executive Sponsor
Updated Schedule	Project schedule has been updated and key milestones have been included. This version is sentenced as the final version.	PMO	Project Manager	Senior Director, OCIO

At the conclusion of the Delivery Stage an informal Checkpoint Review is required to move into the Close Stage.

Project Closure Stage

The Project Closure Stage commences after the Project Board accepts the recommendation from the Senior Director, OCIO following completion of **Stage Gate 4 – Progress to Closure** and the Project Board is satisfied and BAU Support (Technology Operations Branch) processes are in place. The solution is transitioned into operational use.

Close Stage – Activity, Inputs and Outputs

The Project Board may wish to trigger an early closure of the project under some circumstances or at any Stage Gate review (such as the business case no longer valid). If the project is brought to a premature closure, these processes still need to be executed, but tailored to suit the circumstances.

ACCOUNTABLE FOR CLOSURE STAGE	Project Manager
WHO TO ENGAGE (WHERE APPLICABLE)	• PMO
CORE ACTIVITIES	• Complete Computer Asset Capitalisation documentation and Financial Performance Statement • Finalising project documentation within the Records Management tool (Objective). • Documenting the lessons learned (conduct workshop) and other valuable information about the project not already captured. • Planning post-project benefits reviews to take place. • Assess performance against original plan (Post Implementation Review). • The project needs to be evaluated to ensure lessons can be learnt and DSD can assess how successful or unsuccessful the project has been. • Completion of a project closure report. • Project documentation tidied up and archived. • Project Manager will notify the Portfolio Management that the Project is ready to close.
RESPONSIBLE FOR PRODUCTS	Project Manager
TIMEFRAME	2-4 weeks / per project schedule
NEXT STEPS	Benefits Realisation review conducted by PMO System Life Cycle Management Project Closure Checkpoint

Closure Stage – Deliverables

Deliverable	Description	Contributor	Producer	Approver(s)
Computer Asset Capitalisation Documentation	Financial Management associated with capitalising assets post go live.	Asst Director, Finance, DSD	Project Manager	Senior Director, OCIO EBM responsible CIO
Lessons Learned	Details all lessons learned captured during the project life cycle. Lessons report is to be exported directly from the Project Management Tool for inclusion as an attachment to the Project Closure report.	All stakeholders	Project Manager	Director, Portfolio Management

Project Closure Report	Prepared by the Project Manager for the Project Board to recommend closure. Evaluation of project against PID and objectives. Evaluation of Project Management.		Project Manager	Senior Director, OCIO EBM responsible CIO Executive Sponsor
Project Financial Statement	Statement of full financial activities for life of project.	Finance Manager Asst Director Finance, DSD	Project Manager	Asst Director Finance DSD EBM, responsible CIO
Post Project Benefits Plan	Determines how the review will be undertaken by Portfolio Management		Project Manager	Senior Director, OCIO EBM responsible CIO Executive Sponsor
DDTS Project Acceptance Certificate (PAC)	Prepared by DDTS Project Manager for the CIO and Executive Sponsor to recommend closure of DDTS Scope of work. Outlines DDTS Project deliverables and associated finalised project costs.	Project Manager	DDTS	Senior Director, OCIO EBM responsible CIO
Dynamic Records	Project Records are finalised and closed within the Project Management Tool including: - Decisions - Artefacts (Optional) - Quality Register - Benefit Profiles (based on the business case/SIP) - Lessons - Communications Register - Risks - Issues - Lessons Register - Expense Records (Anticipated versus Actual) - Project Change Requests (where relevant) - Exception Reports (where relevant) - Actions (Optional) - Daily Logs (Optional)	PMO	Project Manager	As required

	- Project Tasks (Optional

A Closure Report with a recommendation to close the project is provided to the Project Board as raised by the Project Manager and approved by the Executive Sponsor and Chief Information Officer. All registers are to be closed and finalised. Communication activities include advising interested parties that the project is now closed.

Appendix B Schedule Rules

(for Waterfall Methodology)

Term	Rule
General Schedule	The project schedule is the single source of truth for ALL work being performed as part of the project. It is to detail the entirety of the authorised scope of the project. If work needs to be undertaken and it is not in the schedule (and the schedule has been baselined) the DSD Request for Change process is followed to allow the new deliverable or product to be added into the schedule. A Request for Change should be as a result of an issue that has been logged in the register. This is critical if the new task(s) have an impact on the critical path and impacts any of the agreed baseline Key Milestone End Dates. If the forecast exceeds tolerances, an Exception Report should be raised. The project management tool/Microsoft Project is the authorised repository for project schedules once approved. All updates to the schedule including status updates are to be published to the project management tool/Microsoft Project. This is also to be recorded within the Decision Register in the project management tool. Placeholders are to be used to ensure completeness of the schedule when tasks are known but the full details are unknown (e.g. closure tasks). All schedules are to have a start and end milestones. Work Packages are to be entered in the schedule. If a new Work Package is drafted during an approved stage, then the DSD Request for Change process is to be followed. Work packages developed for the following stage can be updated without a Request for Change as they will be approved at the appropriate Stage Gate. Stage Gate Review and Checkpoint due dates are also to be entered and maintained within project schedules.
Task durations	Individual task durations are generally to be at a minimum 1-5 days in length and a maximum of 20 working days (apart from Level of Effort Tasks). If a task is for a longer duration break it down into smaller work packages. Tasks should not be scheduled for a duration of less than 1 day.
Milestones	Milestones are always 0 days (seconds in the project management tool) in duration. Any 0-day durations tasks are automatically deemed to be milestones for status and reporting purposes. The final line of a series of tasks nested under a summary task is to be a milestone. Milestones are to contain the deliverable or products name *e.g. Detailed Design Completed.* The online schedule will contain a column for specifying milestone types for reporting purposes. Ensure all applicable milestones are identified using the drop-down menu. Examples of milestone types include: Decision Required,

	Vendor Deliverable, ACTH Deliverable, Contract, Payment, FFP Start, FFP Finish etc. Milestones are completion activities and must be worded as such. Always try to use the word Completed, Approved or other such words in the milestone description. If the milestone involves a Contract Payment mark this as follows: *Vendor Payment 1* and link all tasks that must be completed for the milestone to be paid to the specific milestone. These should be taken directly from the contract and the same contract terminology should be used. For status purposes Milestones are either 0% or 100% complete. There are no shades of grey where the completion status of milestone's is concerned
Product Breakdown Structure (PBS)	The schedule is to contain all items in the product breakdown structure (PBS). The PBS is to be signed off prior to schedule baselining.
Project Team	The project team involves all those involved in the delivery of the project scope. Representatives from each area involved in the project (testing, procurement, transition, training etc.) are to be members of the project team from the earliest possible point. Those people are to remain in place for the duration of the project and should attend all project team meetings.
Scope of Work	Once the project schedule is baselined no new work can be added to the schedule without it being approved via an Exception Report or Request for Change.
Baselining	All schedules are to be baselined once the schedule is completed and approval has been given to baseline by the Project Board. Baselining is to occur after the Project Board has authorised the Stage Gate 1 – Progress to Plan and the schedule has been updated. The initial baseline is to occur for the entire project schedule. The Plan Stage schedule will then be re-baselined once the Project Managers Stage Report has been approved and the schedule updated etc. The purpose of the baseline is two-fold: • To track status against the schedule, and • To determine accuracy of estimates and the initial planning process. Portfolio Management is only authorised to baseline the schedule after the required health and quality checks have been completed.
Resourcing	All tasks (excluding summary tasks and milestones) are to be resourced. All ACTH resources are to be assigned to tasks within the project management tool. Team resources are to be used for those teams required to work on a project but sit outside DSD. Default work hours for all resources shall default to 7.5 hours a day, 5 days per week. In all cases you are required to adjust the 'work (hours)' that are required to complete each task. These are to be your best estimate as to the amount of work required to complete a task per resource (i.e. there may be 10 resources working on a task but not all resources may have the same amount of work on that task as others).

	Project resources will then submit timesheets for the actual hours worked against project tasks on a weekly basis. These timesheets will be routed to Project Managers for approval.
Status	The schedule is to be status updated weekly. The schedule within the project management tool needs to reflect the current status of the project and therefore the only schedule that is to be reported against. The status is to be set by updating the % Complete for all tasks and milestones. Milestones can only ever be 0% complete or 100% complete. Task start and finish dates are to be adjusted each time a schedule is updated in order to reflect the accurate (actual and estimated) start and finish dates for tasks. Any critical tasks or milestones past due or showing slippage are to be reported to the appropriate Director and Executive Branch Manager and an Exception Report drafted for the Project Board. This should be done as soon as the Project Manager becomes aware that the milestone is going to be missed and any initial remediation has failed. If you claim 100% on a task, its predecessors should be 100% complete as well, unless there is a Start-to-Start Relationship.
Summary Tasks	Summary tasks are not to have predecessor or successor links, or resource assignments. All summary tasks are to be nouns and are usually product or deliverable names (i.e. System Test Execution). Subtasks should be pre-fixed with a verb and usually contain the deliverable or product name (i.e. Develop System Test Plan).
Dependency Management	Manage tasks scheduled dates via work, durations and dependencies. Avoid hard coded dates and constraints. Use these only where necessary. Most tasks should start As Soon As Possible. All activity shall be logic driven as far as possible. All tasks should have at least one predecessor and one successor, excluding summary tasks. The schedule is to contain all internal and external dependencies on the project or other work teams. These shall be prefixed with the words Dependency, Deliverable to or Deliverable from and shall be 0-day duration tasks (refer to milestone section above).
Linking	Attempt to link tasks with forward relationships (i.e. Finish-Start (FS), Finish-Finish (FF) and Start-Start (SS) and avoid linking backwards (Start-Finish) as this can contribute to errors in scheduling and impact tracking of future linked tasks (i.e. Critical Path).
Vendor Tasks	How vendor tasks are managed and scheduled is to some extent determined by the contract which is signed. Vendor milestones are to be added to the project schedule. They are to be added as external dependencies and milestones. The vendor schedule is not to be taken as the de-facto project master schedule. Even if all work is to be undertaken by a vendor there will be some ACTH tasks required - specifically relating to project management, contract management and project closure which must be included in the ACTH master schedule.

	Vendor schedules are to be subject to a baselining process and vendors are to be held accountable for any slippage to the schedule. Prior to baselining all common dates in both schedules are to be accurately aligned. Project managers are to monitor the vendor schedule and its alignment to the ACTH master schedule. Any changes to any deliverable dates are to be managed according to ACTH processes and those outlined in any contract.
Calendars	The standard calendar is 8 hours per day, 5 days per week and factors in public holidays for the ACT.

Appendix C Agile Artefacts

Artefact	Contents	Contributor	Producer	Approver
Project Product Roadmap	Ways of working statement to be developed and agreed to by the "client". This outlines how the project will work, future product functionality, when the features will be released, how they will be communicated, the retrospectives, the estimations used. This is living document that will be updated and added to as the project progresses.	Product Owner Business Stakeholders Scrum team	Delivery Manager	Project Board CIO Executive Sponsor EBM responsible
Agile Product Backlog	Is a prioritised list of features (deliverables) which should include: Epic theme, User Story details, estimated size, priority, sprint order, task owner and estimated effort.	Delivery Manager	Product Owner	Project Board CIO Executive Sponsor
Agile User Stories	Details the requirement to be built from the end-user's perspective. This should include ID; assigned Priority (MoSCoW); "As a" (type of user); "I need to" (do a task) "So that I can" (get some result); Estimated effort and Acceptance Criteria (given/when/then)	Product Owner Business Stakeholders	Business Analyst	Product Owner Delivery Manager
Dynamic Records	Records of project reflective of current point and captured in Project Management tool	Scrum team	Delivery Manager	As required
Sprint Outcome Report	Outcome Summary of what occurred in the Sprint including start/end dates of sprint, sprint achievements, list of sprint backlog items and their status, information on sprint team their capacity and effort done in the sprint.	Scrum team	Scrum Master	PMO
Closure Report	Evaluation of the project against deliverables and project management methodology	Scrum team	Delivery Manager	CIO Executive Sponsor