

Tablelands Regional Council

Project Decision Framework

Tablelands Regional Council acknowledges the Traditional Custodians of the Tablelands region and recognises their continuing connection to country. We pay respect to Elders past, present and future.





Contents

1.	Introduction	1
1.1	Project Leadership Team.....	1
1.2	Continuous Improvement and Quality Control	1
2.	Glossary	1
3.	Purpose.....	3
4.	Objectives and Outcomes.....	3
5.	Stakeholders	3
6.	Organisational Context.....	4
6.1	Our Vision	4
6.2	Our Purpose	4
6.3	Our Values.....	5
6.4	Corporate Plan.....	5
6.5	Policy	5
7.	Project Decision Framework.....	6
7.1	Product and Project Lifecycle	6
7.2	Project Decision Framework Elements.....	7
7.3	Project Decision Framework Governance	7
7.4	Roles and Responsibilities.....	8
7.5	Project Decision Framework Objectives and Benefits.....	9
7.5.1	Introduction.....	9
7.5.2	Balancing Need and Available Budget.....	10
7.5.3	Benefits of the Project Decision Framework	11
7.6	Project Decision Framework Stages	11
8.	Project Decision Framework Process.....	12
8.1	Responsibility Assignment matrix.....	12
8.2	Project Level Assessment	14
8.2.1	Approximate Project Value/Budget	15
8.2.2	Level 1 Projects or Programs.....	15
8.2.3	Level 2 Projects or Programs.....	15
8.2.4	Level 3 Projects or Programs.....	15
8.2.5	Level 4 Projects or Programs.....	15
8.3	Process for Level 2 Projects	15
8.3.1	Identify Concept (Pre-Project).....	16
8.3.2	Initiate, Plan (Project).....	16
8.3.3	Deliver and finalise (Project)	16
8.4	Process for Level 3 and 4 Projects.....	16
8.4.1	Identify (Concept)	17
8.4.2	Initiate Project.....	17
8.4.3	Plan	18
8.4.4	Deliver and finalise (Project)	18
8.5	Additional PDF Tools and Templates	18
9.	References.....	19
	Appendix A. Project Decision Framework Process Overview	20
	Appendix B. Project Decision Framework RASCI.....	21



Version Control

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1.1	Comments from staff	03/09/21	Mark Vis
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1. Introduction

The purpose of this document is to provide all Tablelands Regional Council (TRC) employees with a framework, processes, procedures, templates and guidelines for effectively managing the selection, initiation and planning of all Projects within the TRC's portfolio of programs within a Project and product lifecycle. The objective is to provide employees with a consistent repeatable method to selecting, initiating and planning Projects regardless of size or nature.

1.1 Project Leadership Team

The role of the Project Leadership Team (PLT) is to represent users of the Project Decision Framework (PDF) in each of TRC's sections. The PLT reviews lessons learnt and recommends proposed PDF improvements based on feedback. The objectives of the PLT with respect to the PDF are:

- Review and recommend proposed changes to the PDF to ensure that the framework serves whole-of-organisation needs
- Act as PDF Champions and point of contact within their section for PDF performance feedback and/or issues
- Identify PDF development requirements within their section
- Review audit outcomes, lessons learnt and lead implementation actions where required.

The PLT Terms of Reference provide a full overview of its purpose, functions and objectives.

1.2 Continuous Improvement and Quality Control

The PDF will undergo formal review of its processes, tools and templates at minimum every three years by the PLT or earlier if triggered by internal or external influences.

Your feedback and suggestions are encouraged. For any suggested changes or new tools and techniques please contact the PDF corporate custodian or any of the PLT members.

It is intended that all feedback from TRC staff will be reviewed and circulated on an ongoing basis and minor changes and improvements will not wait for the three year review. It is the target of the improvement process that minor improvements identified will be responded to and implemented in accordance with the PLT meeting schedule.


The use of the PDF is audited through TRC's internal audit processes. It is encouraged that individual groups also audit the use of the PDF to ensure conformance. No external audits or benchmarking is conducted currently.

2. Glossary

The PDF incorporates the following terms which are commonly used in the initiation and management of Projects. They are included to engage in a common language in TRC's environment and their meaning when referenced in the PDF documentation. TRC has a number of other frameworks, strategies, policies and procedures which should be referred to for further terms.

Asset - An asset is an item or thing that has potential or actual value to TRC and community.

Asset Management - A coordinated activity of TRC to realise its values from assets. Asset Management is to be undertaken as per TRC's Asset Management Framework, policies and procedures.



Community Project - any Project, the idea or concept for which is neither explicitly requested, nor solicited by Council, and which is received from a source external to Council. Each Community Project must have a defined start and end date and result in the development of new infrastructure (whether funded by Council or a third party), provision of goods or services, or the undertaking of innovative programs in the community for the public benefit.

Matrix Organisation - Any organisational structure in which the Project manager shares responsibility with the functional managers for assigning priorities and for directing the work of persons assigned to the Project.

Objective - Something toward which work is to be directed, a strategic position to be attained, a purpose to be achieved, a result to be obtained, a product to be produced, or a service to be performed.

Portfolio - Projects, programs, sub-portfolios, and operations managed as a group to achieve strategic objectives.

Portfolio Management - The centralised management of one or more portfolios to achieve strategic objectives.

Procurement - The process by which goods and services are obtained and involves tasks such as (but not limited to) market research, requirements identification, planning, specification writing, budget considerations, contract administration, purchasing and supplier performance. (Procurement Policy, 2021/22)

Product - A deliverable, asset or service created as a result of a Project, which serves a need or satisfies a want. It has a combination of tangible and intangible attributes (benefits, features, functions and uses) to satisfy a customer.


Program - A group of related Projects, subprograms, and program activities managed in a coordinated way to obtain benefits not available from managing them individually. Programs may include elements of related work outside the scope of the discrete Projects in the program. A Project may or may not be part of a program, but a program will always have Projects.

Program Management - The application of knowledge, skills, tools and techniques to a program to meet the program requirements and to obtain benefits and control not available by managing Projects individually.

Project - A temporary endeavour undertaken to create a unique product or service. The temporary nature of Projects indicates that a Project has a definite beginning and end. The end is reached when the Project's objectives have been achieved or when the Project is terminated because its objectives will not or cannot be met, or when the need for the Project no longer exists.

Project Complexity - The apparent degree to which the objectives are difficult to understand, achieve and verify. The inherent complication of the objectives which can be determined by factors such as the intricacy of the number of interfaces and types of data and communication structures.

Project Governance - The set of policies, regulations, functions, processes, procedures and responsibilities that define the establishment, management and control of Projects, programmes or portfolios.



Project Management - The application of knowledge, skills, tools, and techniques to a Project to meet the Project requirements. It is accomplished through the appropriate application and integration of the PMF process, which is categorised into four process groups in TRC. These four process groups are:

- Initiate
- Plan
- Deliver
- Finalise

Project Risk Management - Includes the processes of conducting risk management planning, identification, analysis, response planning and controlling risk on a Project.

RASCI - A common type of responsibility assignment matrix that uses: responsible (R), accountable (A), support (S), consult (C), and inform (I) statuses to define the involvement of stakeholders in Project activities.

Risk - An uncertain event or condition that, if it occurs, has a positive or negative effect on one of more Project objectives.

Risk Management - The application of management policies and processes to enable the systematic identification, analysis, treatment and monitoring of risk.

3. Purpose

The PDF has been compiled to provide the framework and process method for all employees to manage the selection, initiation and planning of Projects. This PDF document explains the key definitions, roles and responsibilities in relation to the selection, initiation and planning of TRC's infrastructure and non-infrastructure programs and Projects through Project and product lifecycles.

4. Objectives and Outcomes


The PDF aims to improve TRC's maturity regarding Project selection to support successful delivery of its strategies in accordance with its corporate and operational plans and associated budgets. The Project Decision Policy outlines TRC's commitment to a consistent approach to Project selection and requires that all Projects are initiated and planned in accordance with TRC's PDF.

The application of the PDF supports the selection, initiation and planning of Projects in TRC's portfolio of capital and operational programs by:

- Providing a consistent TRC wide framework for selecting, initiating and planning of Projects
- Aligning Projects with TRC's strategic plans
- Increasing Project selection transparency and visibility to enable effective decision making regarding the optimal use of resources
- Improving the efficiency and consistency in Project selection, initiation and planning
- Reducing and managing Project risks
- Supporting the capability development of staff selecting, initiating and planning Projects
- Supporting the development and replication of accepted practices.

5. Stakeholders

There are a number of stakeholders who can have an impact on, or be affected by, activities and decisions undertaken by TRC as part of Project selection, initiation and planning. The PDF delivers the following outcomes to principal stakeholders:

- 
- Community — a broad-based appreciation that resources are being used appropriately to ensure that community value is being consistently delivered by TRC
 - State government — that TRC adheres to legislation that provides for the good governance of local government including being accountable, effective, efficient and sustainable
 - Council — a high level of assurance that desired Project outcomes are being achieved efficiently and effectively with governance commensurate to the assessed level of Project risk and complexity
 - Audit, Risk and Improvement Committee — a high level of assurance that the appropriate Project governance mechanisms are in place to ensure effective delivery of Projects within an acceptable level of risk
 - CEO — a high level of assurance that the organisation is consistently delivering community value and TRC's strategic priority outcomes
 - Organisation — understanding of Project governance and its link to ensuring community value

6. Organisational Context

The PDF provides a consistent approach to Project selection, initiation and planning for both infrastructure and non-infrastructure Projects, and outlines the key requirements and expectations for successful Project selection, initiation and planning. The PDF supports TRC's vision, purpose and values by assisting to selecting, initiating and planning Projects effectively so we achieve better value for money, deliver increased benefits and continue to meet the expectations of the community. The PDF is not intended to replace the need for training.

6.1 Our Vision

We work together to create a vibrant, sustainable, inclusive and prosperous region.

6.2 Our Purpose

To be an efficient, effective and sustainable local government for our Tablelands community.

6.3 Our Values

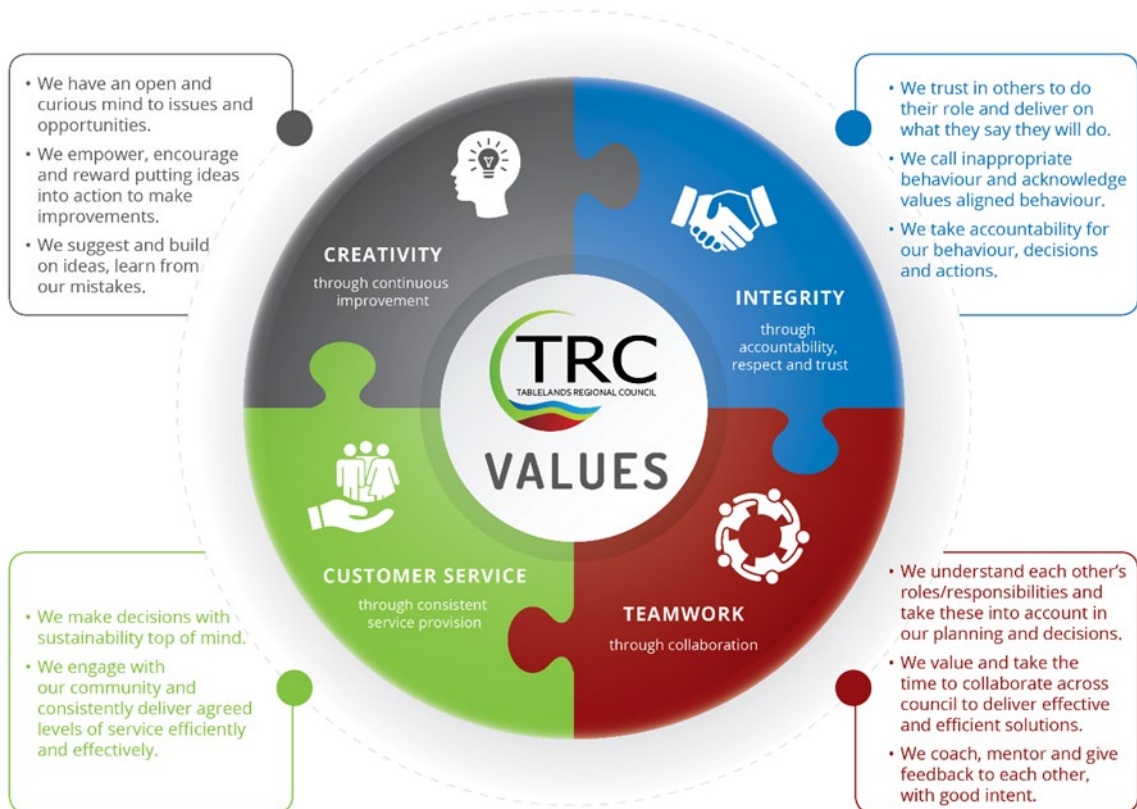


Figure 1. TRC Values

6.4 Corporate Plan

Our organisation is progressive, efficient, transparent and collaborative

Our commitment:

- Collaborate and build partnerships to plan and deliver quality services
- Model leadership and good governance
- Deliver customer focussed systems and processes
- Grow a high performance culture that delivers excellent outcomes and financial sustainability

6.5 Policy

TRC's Project Decision Policy provides that all TRC infrastructure and non-infrastructure Projects TRC are selected, initiated and planned in accordance with the PDF.

7. Project Decision Framework

7.1 Product and Project Lifecycle

The product lifecycle is the conceptual map through which every product goes, from a concept to disposal. A Project lifecycle maps out the steps required to complete a Project with specific targeted objectives.

The Project lifecycle consists of four defined Project management phases:

- Initiate
- Plan
- Deliver
- Finalise

The Project lifecycle starts at the time that a Project is conceived and completes when the desired outcomes have been achieved. The product lifecycle drives and encompasses the Project lifecycle. It is important to remember that anywhere in a products lifecycle a Projects' lifecycle can start.

The PDF encompasses the identify, initiate and plan stages of the product lifecycle as shown in Figure 2.

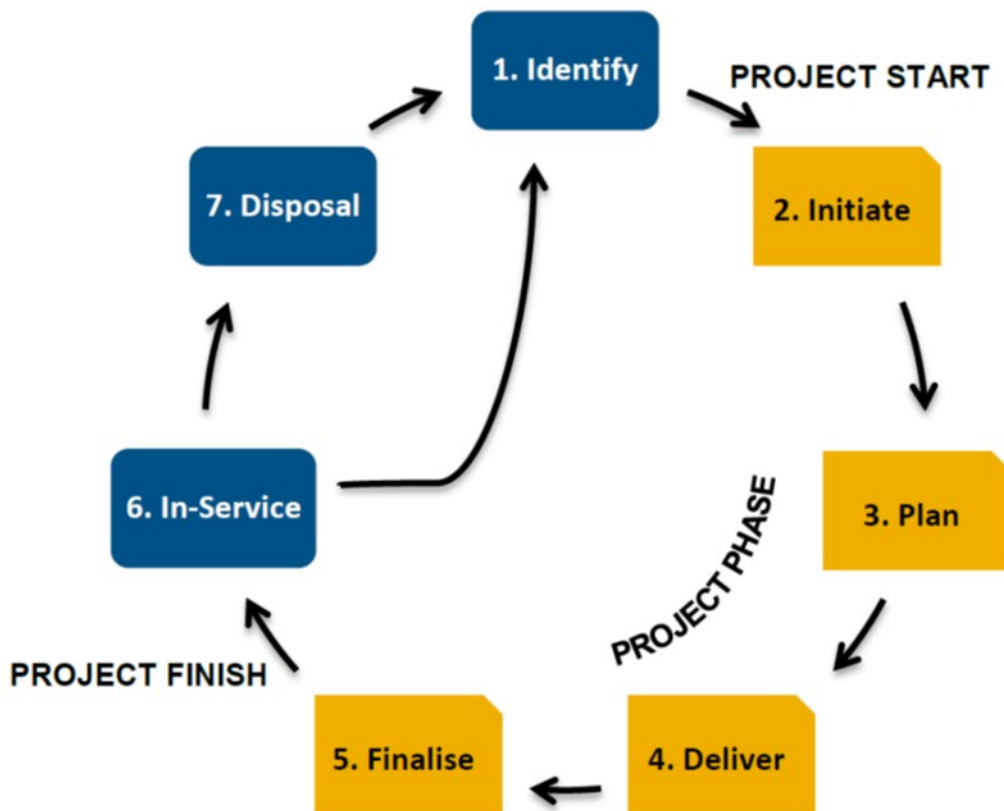


Figure 2. TRC's Product and Project Lifecycle

The Project lifecycle can be divided into two overarching parts as shown in Figure 3:

- the Project Decision Framework – to ensure TRC delivers the right Projects
- the Project Management Framework – to ensure that TRC delivers its Projects right.

This document provides the Project Decision Framework.

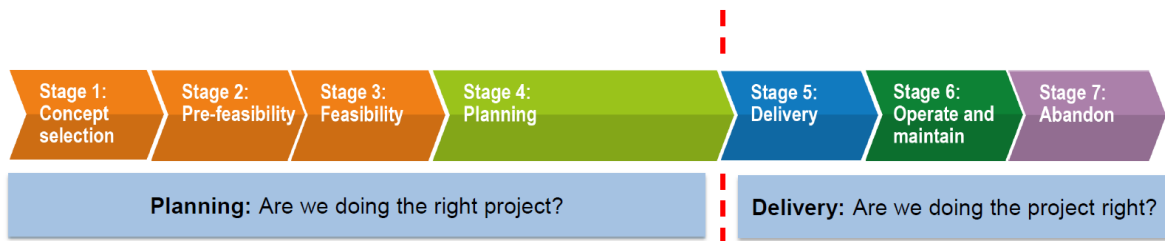


Figure 3. Overview of TRC's Project Lifecycle

7.2 Project Decision Framework Elements

The PDF includes a consistent methodology, roles and responsibilities, approval processes, tools and templates and guidelines for the selection, initiation and planning of Projects. It also includes and is supported by the TRC's Project Decision Policy.

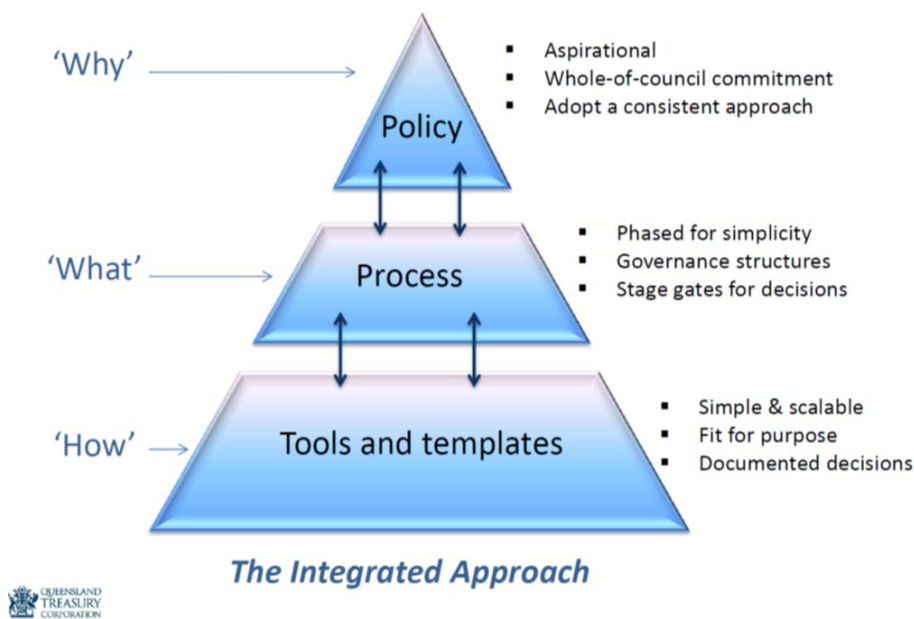


Figure 4. TRC's Project Decision Framework Elements

7.3 Project Decision Framework Governance

Effective Project decision governance involves making decisions and authorising allocation of resources at the appropriate points throughout the life of the Project. The PDF includes key decision points between each stage in order to provide the Project organisation with maximal direction and control, especially during the early Project phases. The person or group (e.g. PLT, ELT or Council) designated to make decisions at certain points of the Project requires authority to make the decisions required and will be held accountable for these decisions. This includes decisions about concepts proceeding (or not) through the Project concept selection, pre-feasibility, feasibility and planning phases (referred to as Stage Gates) as illustrated in Figure 5 below.

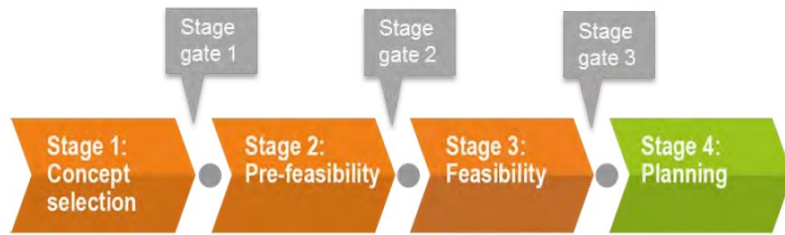


Figure 5. PMF stage gates

Governance arrangements are an integral part of a Project selection process and help ensure:

- decisions are made with appropriate representation from across the organisation (to limit the progression of Projects that do not align with TRC’s strategic direction)
- whole-of-Council ownership of, and commitment to, a rigorous decision making process
- a whole-of-Council or whole-of-portfolio view in order to consider priority Projects in the context of a limited budget;
- adequate controls are in place before a Project can proceed to the next stage
- appropriate delegations and authorities are given to the key decision makers
- decisions are transparent, documented and communicated to the broader organisation.

The PLT will assess all concepts being proposed to ensure consistency and fairness in the Project selection process.

Concepts or ideas are to be submitted to the PLT in the required form and with approval from the relevant section Manager to demonstrate that:

- due consideration has been given to the idea
- the Project is prioritised by that section.

The potential Project then continues through the decision making process shown in Figure 6 where the PLT assesses Project viability at Stage Gates 1 and 2 until proceeding to Council at Stage Gate 3.

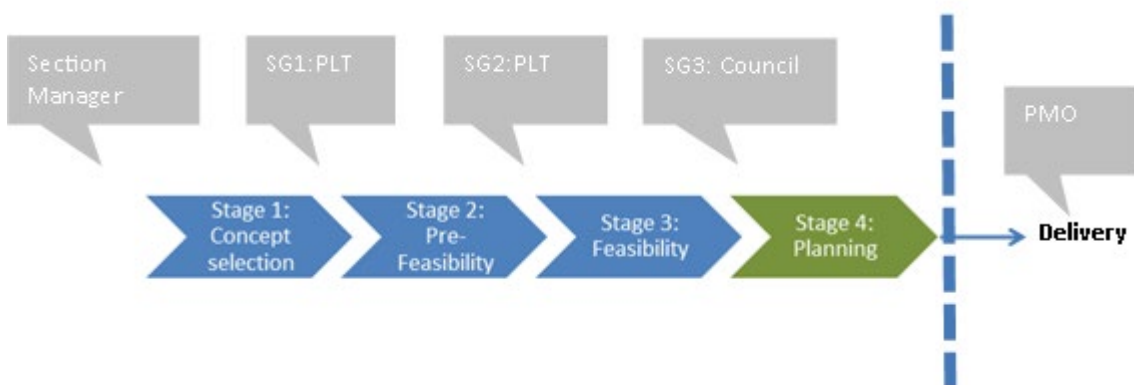


Figure 6. Key decision groups for specific stage gates

7.4 Roles and Responsibilities

At the commencement of a Project, it is imperative that the key people involved in the Project are identified and that their role and responsibilities on the Project are clearly defined, accepted and understood by all the Project participants. The Level Assessment tool assists in ensuring the appropriate governance level is identified, which identifies the management level required.

Various Project roles will apply to Projects and must be identified to suit the nature and specific needs of each Project. The Project roles and responsibilities used within the PDF are outlined in detail in Appendix B of the Project Management Framework. Table 2 provides a summary of these roles and responsibilities.

Role	Abbreviation	Responsibility
Delegated Authority	DA	The DA is a person within the TRC that has been given an appropriate delegation from the CEO to approve the document, concern, or request.
Executive Leadership Team	ELT	Provides strategic direction, leadership and workforce capabilities.
Project Customer	PC	The PC is responsible for the acceptance, approval and management of the Project's product or outcomes. Customers may be internal or external to TRC.
Project Leadership Team	PLT	Cross organisational team providing leadership, governance and strategic direction in relation to Project selection, initiation and planning.
Project Management Office	PMO	The PMO is part of the Office of the CEO providing systems, governance, guidance and direction in relation to Project management.
Project Management Office Steering Committee	PMO SC	The PMO SC provides leadership and oversight to the functioning of the PMO.
Project Director	PD	Provides Project leadership and is a member of the PLT.
Project Manager	PM	Provides daily Project management of a Project to achieve Project objectives. The PM is accountable for Project success.
Program Manager	PGM	Provides daily program management of a program to achieve program objectives. The PGM is accountable for program success.
Project Sponsor	PS	Provides resources and support for the Project, program or portfolio and is accountable for enabling success. The PS may be external or internal to TRC.
Project Team	PT	Can be made up of any number of TRC employees, consultants and/or contractors. Key responsibilities of the PT include producing the deliverables which achieve the Projects objectives. Various members will be responsible for producing different components of the objectives.
Stakeholder	SH	Is any entity that will be affected by the Project's implementation or completion. The Project's SH will include all of the above roles as well as anyone, internal or external to TRC, who is influenced positively or negatively by the Project.

Table 1. Typical TRC Project roles and responsibilities

7.5 Project Decision Framework Objectives and Benefits

7.5.1 Introduction

Typically for a local government, the concepts and ideas (potential Projects) that are put forward at the front end of its formal budget process will be much larger in number than the Projects that can actually be supported. The PDF aims to help TRC set out a 'Project pipeline' which uses predetermined criteria and decision points to assess potential Projects on their merit.

Proposals should have the robust evidence needed to either pursue or abandon potential Projects so that limited budget and resources can be applied prudently.

7.5.2 Balancing Need and Available Budget

The number of Project proposals in a portfolio will almost always exceed the available budget or capacity to deliver. The PDF aims to provide a consistent methodology by which the decision making for new Projects is disciplined and as such filters Projects which should be either progressed, abandoned or deferred. As shown in Figure 7, the PDF can be thought of as a funnel. As the Projects progress through the various stages of consideration, some Projects will be deferred or abandoned. By the time Projects reach the end of the funnel, only those that were able to meet TRC's evaluation criteria will have progressed through a full evaluation process. This is an effective means of applying TRC's limited budget to those Projects which can demonstrate the most strategic need and highest priority.

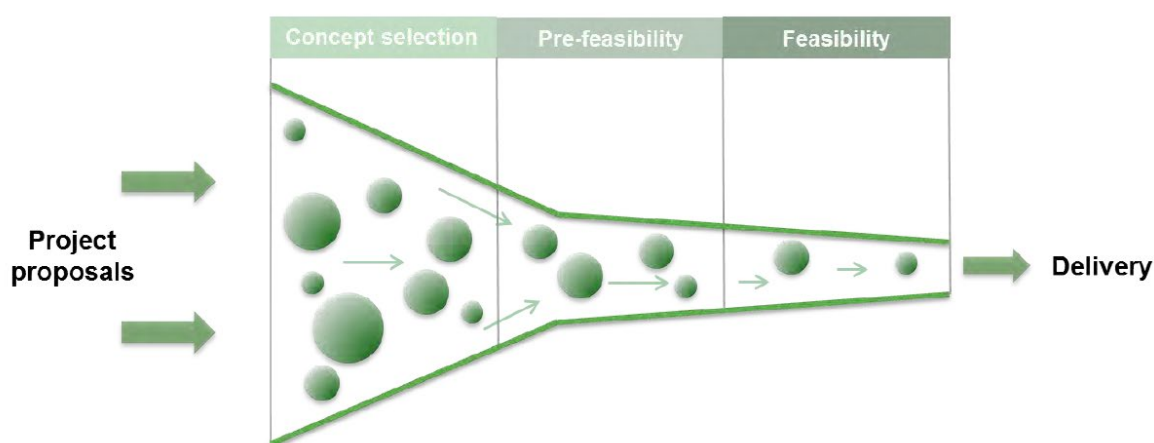


Figure 7. The 'Project Pipeline' – Balancing Need with Available Budget

A significant challenge that TRC faces is deciding how to allocate budget between 'planned' and 'unplanned' Projects. Planned Projects may include those that are part of a previously identified strategy and which may form part of a long-term capital works program. Unplanned Projects are those that are generally unforeseen, yet need to be provided for due to a range of reasons. Examples of where planned and unplanned Projects are sourced are provided in Table 3.

The PDF ensures that all Projects are subjected to a process of due diligence to determine need, value for money and priority in comparison to other Projects in the pipeline, whether they are planned or unplanned.

Sources of 'planned' Projects	Sources of 'unplanned' Projects
Approved Asset Management Plans – which determine the need and timing for renewal, replacement and repair programs	Ad-hoc Council resolutions
Planning Scheme, Master Plans, Local Government Infrastructure Plan (LGIP)	Emergent/unforeseen works
Corporate and operational Plans	Community requests
Capital and operational budgets (10 year capital plan)	State and Federal grant funding and subsidies
Legislative, regulatory or compliance requirements	Development Approvals

Table 2. Sources of Planned versus Unplanned Projects

7.5.3 Benefits of the Project Decision Framework

The PDF will help TRC to achieve the following benefits:

- building discipline into the Project selection process (i.e. Are we undertaking the right Projects?)
- consideration of risk exposure prior to Project selection
- linking Project selection to strategic objectives and efficient allocation of resources
- prioritisation of Project proposals against a common and agreed set of criteria
- recognising whole-of-life costs as part of the up-front investment decision
- justifying decisions to reject or abandon Projects that do not support organisational priorities.

The PDF also assists in separating the investment decision from the funding decision, which is sometimes mistakenly regarded as one and the same thing. Application of the PDF will ensure that concepts proceed based on need and merit (investment decision), not on the source of funding required for the Project (funding decision). Often, in the interests of saving time and money, local governments will identify a Project and then proceed with delivery without considering the concept's feasibility and alignment with strategic priorities. The consequences can be costly and can lead to compromised Project outcomes and unmet service levels. As shown in Figure 8, if the appropriate time investment is made up front in the planning stages, risks and uncertainties are minimised as the Project is rolled out. Conversely, once you enter the execution phase, there is limited ability to control Project costs and influence the Project's outcomes.

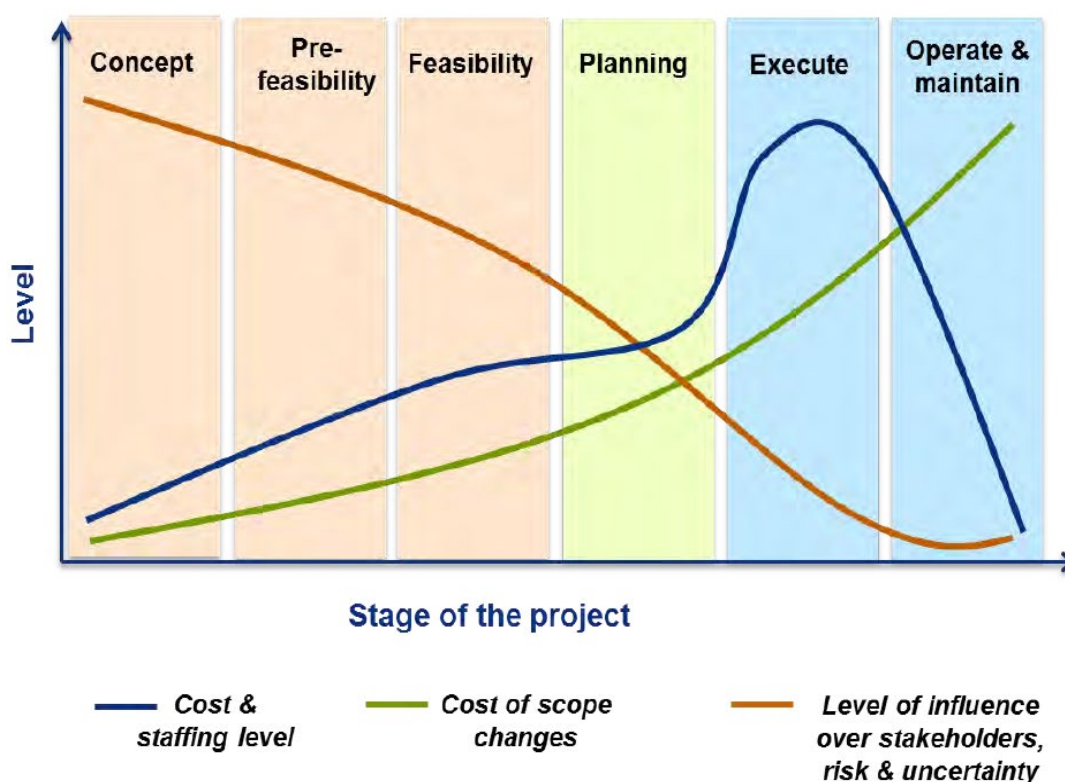



Figure 8. The Importance of Planning or “Frontend Loading” a Project

7.6 Project Decision Framework Stages

The PDF process is TRC’s methodology for managing part of the product and Project lifecycle (i.e. identify, initiate and plan). The following describes the overall objectives for each stage within the PDF. It is important to note that each of the following stages has its own process, which can be further expanded, and work flows added, for each of TRC’s departments or sections.



Stage 1 – Concept selection stage: Concepts or ideas for Projects can be generated from a number of different sources. The Project should initially be discussed and considered within the relevant team or section, to confirm that the Project will meet an identified service need. Once the coordinator, or their manager, if appropriate, confirms their approval for the Project to proceed, an initial Level Assessment should be completed (see section 8.2) and the concept should be presented to the PLT. Relevant information should be provided to PLT which enables it to make an informed decision about whether to progress a concept or idea and initiate it as a potential Project for further consideration, or for the concept to be abandoned.

Stage 2 – Pre-feasibility stage: Building upon the outcomes of the concept selection phase, all available Project options should be assessed to determine whether to:

- invest in the development of a full feasibility study
- bypass full feasibility and move directly to the Project planning phase
- not proceed at all.

This decision should be based on a high Level Assessment of ‘affordability’ and ‘priority’ (i.e. alignment with strategic objectives) and key externalities such as policy, legislative and strategic priorities, as appropriate.

Stage 3 – Feasibility stage: The purpose of this stage is to undertake a more detailed analysis of the most feasible options (selected at Stage 2) and recommend a specific solution or course of action (through completion of a business case). The Business Case should involve a detailed assessment of option complexity, risks and financial value.

This stage results in two possible decision outcomes:

- proceed with the recommended Project to stage 4
- abandon the Project.

Stage 4 – Planning stage: The purpose of this stage is to ensure that the selected Project at the conclusion of the pre-feasibility or feasibility stage is specified to a level of detail that positions the Project in readiness for execution. Additional detail will include comprehensive risk assessment and required mitigation treatments, Project schedule, budget and funding options, governance arrangements, targets/KPIs and processes for managing change. This stage results in a final investment decision (hence Council approval requirement) and approved Project Plan ready for the Project to progress to the ‘execution’ phase.

The processes for each level of Project is described in more detail in section 8.

8. Project Decision Framework Process

8.1 Responsibility Assignment matrix

A responsibility assignment matrix, also known as RASCI matrix or linear responsibility chart, describes the participation by various roles in completing tasks or deliverables for a Project or business process.

RASCI is an acronym derived from the five key responsibilities most typically used: responsible, accountable, support, consulted, and informed. It is used for clarifying and defining roles and responsibilities in cross-functional or departmental Projects and processes.



Figure 9. Responsibility Assignment Model

Role distinction

There is a distinction between a role and individually identified people: a role is a descriptor of an associated set of tasks; may be performed by many people; and one person can perform many roles. For example, an organisation may have ten people who can perform the role of Project manager, although traditionally each Project only has one Project manager at any one time; and a person who is able to perform the role of Project manager may also be able to perform the role of business analyst and tester.

R = Responsible (also recommender)

Those who do the work to complete the task. There is at least one role with a participation type of responsible, although others can be delegated to assist in the work required.

A = Accountable (also approver or final approving authority)

The person ultimately answerable for the correct and thorough completion of the deliverable or task, the one who ensures the prerequisites of the task are met and who delegates the work to those responsible. In other words, an accountable must sign off (approve) work that the responsible provides. There must be only one accountable specified for each task or deliverable.

S = Support

Those who Support and provide help to the Responsible and Accountable members.

C = Consulted (sometimes consultant or counsel)

Those whose opinions are sought, typically subject-matter experts; and with whom there is two-way communication.

I = Informed (also informee)

Those who are kept up-to-date on progress, often only on completion of the task or deliverable; and with whom there is just one-way communication.

Very often the role that is accountable for a task or deliverable may also be responsible for completing it (indicated on the matrix by the task or deliverable having a role accountable for it, but no role responsible for its completion, i.e. it is implied). Outside of this exception, it is generally recommended that each role in the Project or process for each task receive, at most, just one of the participation types.

An example of a RASCI matrix as it applies to the PDF is provided in Appendix B.

8.2 Project Level Assessment

The purpose of the Project Level Assessment (Figure 10) is to provide a consistent guide to supervisors and managers who need to determine what resources and governance structure is required to manage the Project. Assessing the appropriate level of a Project or program structure requires a well-defined, repeatable process for consistency across the organisation.

TRC has developed an assessment tool which guides the user in identifying when a task or activity is a Project, or similarly when it is not, and should be treated as a regular business activity. This tool provides comprehensive assessment criteria with quantifiable attributes to determine the Project's level in the context of its complexity, risk and anticipated cost.

The thresholds of the tool are a guide only and should not be treated as a static rule for application of governance and assigning resources. The manager responsible for appointment of the Project Manager will need to reflect not only on the Project Level Assessment, but also the Project's environment and ensure that an appropriately competent Project Manager has been assigned to the Project.

The Project Level Assessment provides supervisors and managers with an indication of the Project's governance requirements. The Project Level Assessment informs Project Managers of their responsibilities regarding documentation and assists in prompting a more thorough analysis of the risks their Project may face.

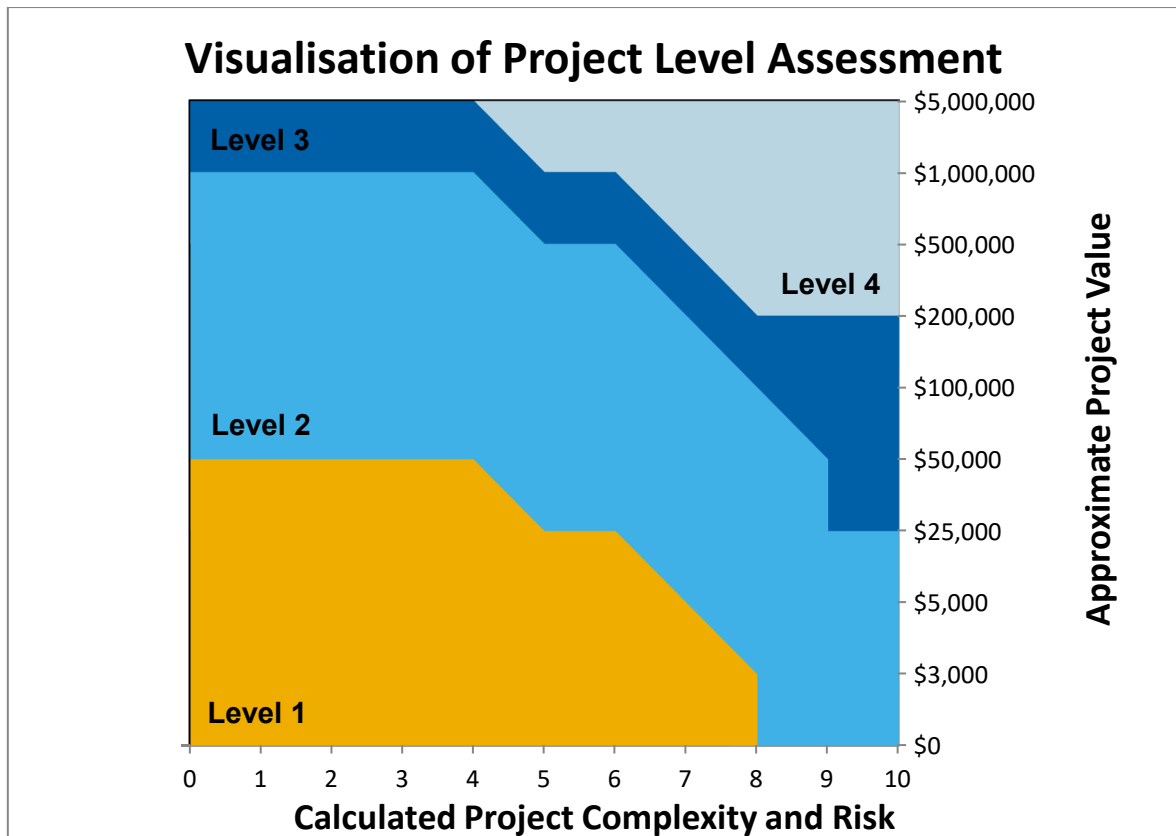


Figure 10. Project Level Assessment



8.2.1 Approximate Project Value/Budget

In the concept to feasibility stages, the Project value/budget is an estimate and is assumed to be all anticipated costs to deliver the Project or work, including employees' wages.

Once a Project proceeds to the Planning stage, the budget is more certain and the Project Level Assessment should be updated.

8.2.2 Level 1 Projects or Programs

Level 1 Projects are of low value, low complexity, low risk and tend to involve very short duration works that do not require the use of the PDF tools and templates to control the risk associated with the tasks to have a successful outcome. They are generally able to be managed by applying established business process (e.g. procurement only).

8.2.3 Level 2 Projects or Programs

Level 2 Projects form the vast majority of the TRC's Projects. Level 2 Projects can use the provided Short Forms as an alternative to the longer templates. Level 2 Projects may be governed under a program management plan. The full PDF process for level 2 Projects including required documentation is described in section 9.2.

8.2.4 Level 3 Projects or Programs

Level 3 Projects must not use the level 2 template alternatives. All PMF processes must be followed for level 3 Projects. The full PDF process for level 3 Projects including required documentation is described in section 9.3.

8.2.5 Level 4 Projects or Programs

Level 4 Projects must not use the level 2 template alternatives. All PMF processes should be followed, however due to the added Project complexity and knowledge required to lead a level 4 Project, more Project specific documents can be used or added. The minimally required PDF process for level 4 Projects including required documentation is described in section 9.3.

8.3 Process for Level 2 Projects

The methodology for selecting, initiating and planning level 2 Projects has been simplified to a high level, logical sequence of inter-related phases, activities and tools that define the Project management process, from the start of the Project through to its completion. Low complexity, low value Projects (level 2) are the majority of Projects undertaken by TRC.

Often, the importance of managing a level 2 Project, and using the correct tools is overlooked. It is really important that TRC treats level 2 Projects with the same respect and due diligence as the high complexity, high risk and high value Projects, as they still present a risk to TRC and the community. However, it is appropriate that we do our due diligence utilising a suite of documents suited for their low complexity, low risk and low value and acknowledge that they don't necessarily require the same governance structure.

The tools and templates for level 2 Projects have been designed to prompt the user/Project Manager into asking the right questions and focusing on areas which might pose a threat to achieving the Project's objectives. A Project which has low complexity and low financial impacts on TRC can be managed by doing the following.

8.3.1 Identify Concept (Pre-Project)

As described in section 8.2 a concept or idea for a Project can come from many sources and can result in a direction being received from a delegated authority which identifies a need or problem which requires investigating or resolution through a Project structure, i.e. PDF methodology and tools. The person who is responsible for delivery of the direction is the Project Manager.

During the Identify stage, the Project Manager undertakes a Project Level Assessment to confirm the right governance and resources required for the Project and complete the Project Submission Form and submits this to the PLT for approval.

8.3.2 Initiate, Plan (Project)

Level 2 Projects generally combine the pre-feasibility, feasibility and planning stages as part of the initiate phase. During these stages the Project Manager further develops the Project using a selection of templates

The Queensland Treasury Corporation (QTC) Whole of Life Costing Tool is fundamental to making sound investment decisions as well as ensuring Council achieves an optimal balance between the financial capacity to provide service continuity and meeting the community's expectations in relation to the level of service.

The QTC Project Risk Assessment Tool assists with performing a risk assessment on a Project and enables decision makers to evaluate the risk of different Project options.

The Project Brief (Short Form) is developed during the pre-feasibility or feasibility stages and documents the Project's objectives, scope, timeframes and quality requirements. The Project brief confirms alignment between the Project Manager's understanding of the Project and requirements of the Project customer.

The Project Management Plan (Short Form) is developed during the planning stage and sets out the instructions to implement the approved Project. It is the central repository for all information required by the Project Manager in determining what needs to be done, by whom, when and at what cost. The Project Management Plan guides the delivery of the Project and needs to be updated during the delivery stage to reflect any changes to the Project.

If the Project Manager/Project Director determines that the level 2 documentation will not adequately address the risks and management requirements of the Project, then the documents and process for level 3 and 4 Projects should be adhered to.

8.3.3 Deliver and finalise (Project)

Once the Project Brief and or Project Management Plan has been completed and approved by the PMO and when the required budget has been allocated, the Project can be delivered.

For the deliver and finalise stages of the Project please refer to the Project Management Framework.

8.4 Process for Level 3 and 4 Projects

The PDF Process for level 3 and 4 Projects is TRC's methodology for selecting, initiating and planning Projects with medium to high risk and complexity through the product and Project lifecycle. The following describes the overall objectives for each activity within this process, it is important to note that each of these activities has its own process which can be further expanded for each of TRC's departments or sections with work flows also added. These processes should be developed as part of the Work Breakdown Structure for each Project to specifically address the various areas within TRC.

8.4.1 Identify (Concept)

Need Identification

As described in section 8.2 a concept or idea for a Project can come from many sources and can result in a direction being received from a delegated authority which identifies a need or problem which requires investigating or resolution through a Project structure, i.e. PDF methodology and tools. The person who is responsible for delivery of the direction is the Project Manager.

During the Identify stage, the Project Manager undertakes a Project Level Assessment to confirm the right governance and resources required for the Project and completes the Project Submission Form and submits this to the PLT for approval.

Options Analysis

The option analysis template is designed to guide the Project Manager through a more detailed analysis of the Project options being considered as part of pre-feasibility stage of the PMF.

Approved Business Case and Budget

The Business Case collates the necessary information (it frames what the “need” is) to determine if the product is a worthwhile investment. This document includes a background of the need, solutions options analysis, scope of recommendation and setting of Project performance and benefits expectations. The strategic alignment and strategic contribution form a key component of the business case. The business case is to be prepared in consultation with other stakeholders in the work group and outside, as the document is a major source of expectations and scope for the Project. Where the Project is expected to be delivered by a Project Manager outside of the work group originating the Project, the Business Case should be prepared before the Project is assigned to a Project Manager.

It is critical that the Business Case is accepted and formally adopted into the budget to ensure the identified need proceeds to a solution and outcome.

Following the finalisation of the Business Case an additional Level Assessment should be completed as part of this process to ensure correct governance is adhered to.

Project Leadership Team

PLT have a process which occurs Pre-project. The Projects that are approved receive funding, support and have a rough commencement date assigned.

The PDF process defines some key Project decision points, but these must reflect the organisational requirements and supporting processes.

The key Project decision points that will actually apply to an individual Project and the approval processes that are to apply, must be clearly identified by the Project Sponsor at the commencement of the Project and must be understood and accepted by the Project Manager and team members.

8.4.2 Initiate Project

Project Manager Assigned

The delegated authority (Project Director) assigns an appropriate Project Manager based on the Project level, required skills, duration and availability.

Project Brief

The Project Manager prepares a Project Brief, as a reverse brief back to the customer. The Project Brief provides well-defined objectives, scope, constraints, scheduling and identification of stakeholders to ensure the Project Manager and customer are in agreement on the Project objectives and deliverables prior to progressing the Project.

Customer Accepts Brief

The customer and PLT will accept or decline the completed Project Brief. If any changes are needed this is the best time to implement them to have the lowest financial impact.

The Project Brief should define the business benefits, this should be based/ summarised from the Business Case. This may be iterative until accepted, postponed or cancelled. This step is a gateway to proceed to the next step in the process.

If the Project is rejected the Project Manager must complete a Project Termination/Deferral Report detailing as much information on the decision as practical.

Team Engaged

The Project Manager begins engaging the Project Team for assistance with preparation of the Project Management Plan and other Project activities as required.

8.4.3 Plan

Project Management Plan

The Project Management Plan is to be prepared and agreed to by the Project Team and internal stakeholders (Note: it is not for the Project customer or sponsor). The Project Management Plan is the central repository for all information required by the Project Manager in determining what needs to be done, by whom, when and at what cost. The Project Management Plan must include a completed Work Breakdown Structure, identification of all scoping information, the cost management plan, schedule management, resource management plan, stakeholder management plan, procurement management plan, quality management plan, communication plan, risk management plan, Project finalisation information and any supporting documentation.

8.4.4 Deliver and finalise (Project)

Once the Project Brief and or Project Management Plan has been completed and approved by the PMO and when the required budget has been allocated, the Project can be delivered.

For the deliver and finalise stages of the Project please refer to the Project Management Framework.

8.5 Additional PDF Tools and Templates

Minimum Documentation Guidelines and RASCI

Checklist of all documentation requirements according to Project level and accompanying RACI properties. This should be checked at the beginning of each Project regardless of levels. For level 3 and 4, it should be modified as required and included in the PMP.

Project Document Register

The Project document register is a template provided for the Project manager to keep track of all Project related documents. The basic format of a document register must include the ECM ID, document name, date of the document, and the location it is currently saved.

Project Termination/Deferral Report

The Project Termination Report functions as a brief report on why the Project has been terminated or deferred, a short checklist of TRC processes to be followed to close the Project, lessons learnt, and any supporting documents for the Project's termination or deferral. The usage of the Termination/Deferral Report shouldn't be viewed as a failure of the Project, but rather a success of the Project's governance.



Project Portfolio Tool

The Project Portfolio Tool is designed for use by local governments ('the User') to act as the central repository of key information for up to 50 proposed Projects. It summarises information and presents key information in a format that allows ease of comparison for decision makers.

Whole of life costing tool

The QTC's Whole of Life Costing Tool is an easy to use model designed to provide decision makers with the indicative whole of life costs associated with a proposed or forecast Project.

Project Risk Assessment Tool

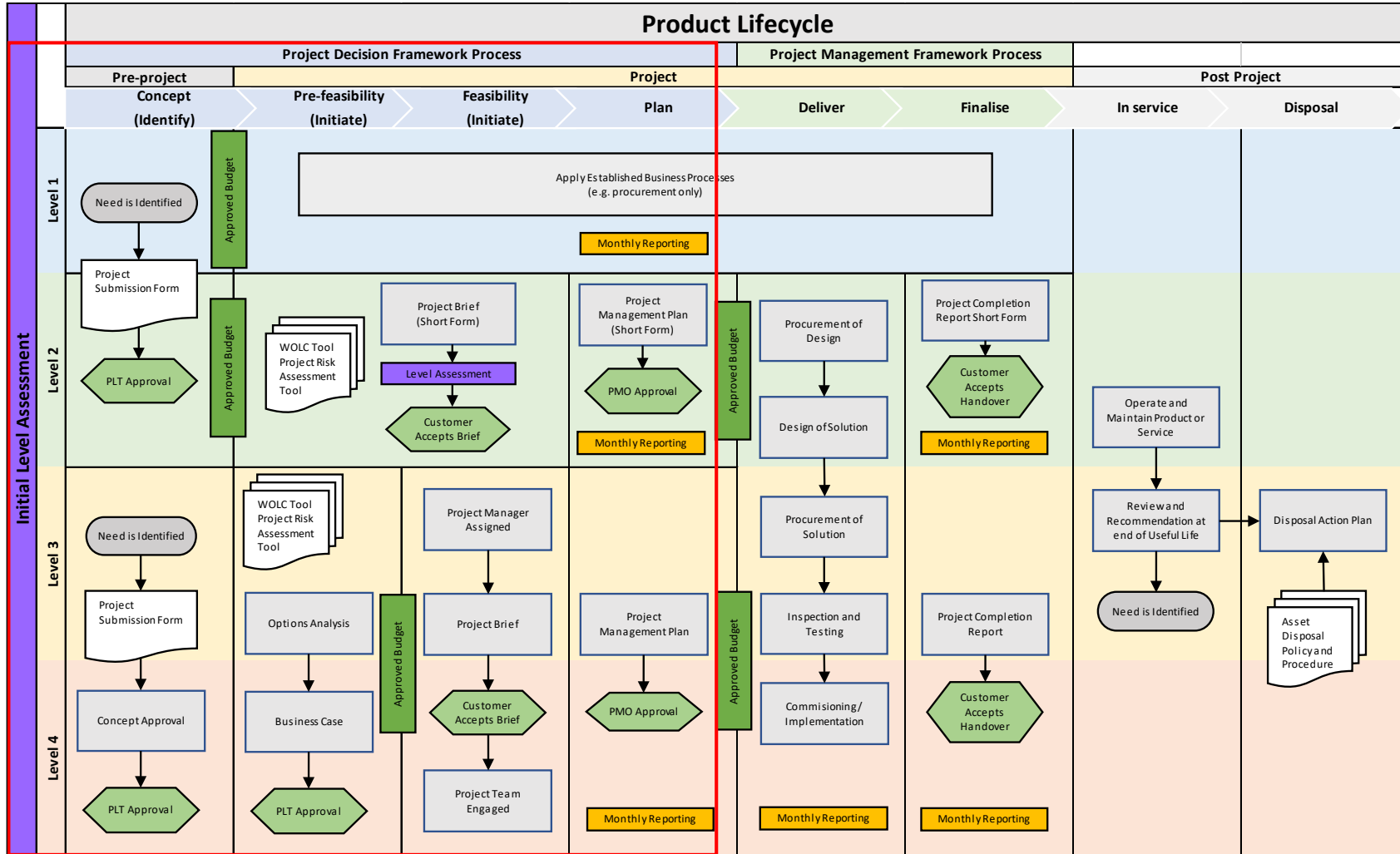
QTC's Project Risk Assessment Tool is designed to assist with performing a risk assessment on a Project. The Tool allows users to enter general information about the Project, then specify Project options and input the estimated budget and contingency (if applicable) for each option.

9. References

Tablelands Regional Council Documents:

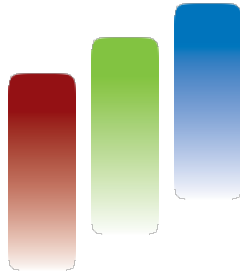
- Corporate Plan
- Procurement Policy
- Procurement Procedure
- Project Decision Policy
- Project Management Policy
- Project Management Framework
- Enterprise Risk Management Framework
- Corporate Governance Framework
- Signing of Correspondence and Documents Policy
- Records Management Policy
- Community Project Request Policy
- Community Project Request – Assessment and Approval Process

Appendix A. Project Decision Framework Process Overview



Appendix B. Project Decision Framework RASCI

Example RASCI											
Key Accountabilities and Associated Tasks	Corresponding Forms / Tools / Work Activity	Minimum Project Level Assigned	Section Manager	Asset Custodian / Customer	Project Sponsor	Project Director	Project Manager	Project Team	Communications and Engagement Officer	Funding Officer	
Identify											
Need is identified	Customer Request / Asset Management Plan / Strategy / Operational Plan	All	R	A			S	S			
Level Assessment	Level Assessment Form	All	A	C			R	S			
Project Submission	Project Submission Form	2, 3, 4	A	C			R	S			
Project Concept Submission	Concept Approval Template	3, 4	A	C			R	S			
Initiate											
Whole of Life Cost Assessment	QTC WOLC Tool	2, 3, 4	A	C			R	S			
Project Risk Assessment	QTC Project Risk Assessment Tool	2, 3, 4	A	C			R	S	C	C	
Options Analysis	Options Analysis Template	3, 4	A	C			R	S			
Develop Business Case	Business Case Template	3, 4	C	C			A	R			
Assign Project Manager	Project Manager Assigned Template	3, 4	R/A	I			C	I			
Develop Project Brief	Project Brief (Short Form) Template	2	C	A	I	I	R	S	S	S	
Develop Project Brief	Project Brief Template	3, 4	C	A	I	I	R	S	S	S	
Prepare Cost Estimate	Cost Estimate Template	2, 3, 4	C	I			A/R	S			
Engage Project Team	Project Team Engaged Template	3, 4	A				R	C			
Plan											
Develop Project Management Plan	Project Management Plan (Short Form) Template	2	C		I	C	A	R			
Develop Project Management Plan	Project Management Plan Template	3, 4	C		I	C	A	R			
Conduct Risk Assessment	Risk Assessment Framework	2, 3, 4	C		I	C	A	R	C	C	
Prepare Cost Estimate	Cost Estimate Template	2, 3, 4	I		I	C	A	R			
Project Program/Schedule	Microsoft Projects	2, 3, 4	I		I	C	A	R		C	
Develop Communication and Engagement Plan	Communications and Engagement Framework	2, 3, 4	C		I	C	A	R	S		
Obtain Permits and Approvals	Permit Applications	2, 3, 4	C		I	I	A	R	S		
Obtain Funding	Funding Applications and Budget Development Process	2, 3, 4	C		C	I	A	R		S	
Develop Procurement Plan	Work Activity	2, 3, 4	C		I	C	A	R			
Monthly Project Reporting	Technology 1 Poject Module	2	C	I	I	C	A/R	S	S	S	
Monthly Project Reporting	Technology 1 Poject Module Monthly Project Report Form	3, 4	C	I	I	C	A/R	S	S	S	
			R	Who is responsible for carrying out the task							
			A	Who is accountable for the task and what has been completed							
			S	Who provides support during the execution of the task							
			C	Who provides advice for the task							
			I	Who needs to be informed of the outcome of the task							



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