



Massey University

Projects Office
Tari Kaupapa

Project Methodology Template Examples



Te Kunenga
Ki Purehūroa

Table of Contents

1	TEMPLATES	2
1.1	PROJECT NOTIFICATION EXAMPLE	3
1.2	PROJECT PRIORITY CALCULATION EXAMPLE	5
1.3	TERMS OF REFERENCE EXAMPLE	9
1.4	RISK REGISTER EXAMPLE	13
1.5	PROJECT CONTROL BOOK EXAMPLE	16
1.6	I-TOOLS PROJECT REGISTRATION EXAMPLE	17
1.7	BUSINESS USER REQUIREMENTS EXAMPLE	18
1.8	REQUEST FOR INFORMATION (RFI) EXAMPLE	21
1.9	REQUEST FOR FINANCIAL AUTHORITY (RFA)	25
1.10	FEASIBILITY STUDY EXAMPLE	26
1.11	BUSINESS CASE EXAMPLE	40
1.12	WORK BREAKDOWN STRUCTURE EXAMPLE	52
1.13	COMMUNICATION PLAN EXAMPLE	57
1.14	QUALITY ASSURANCE PLAN EXAMPLE	66
1.15	IMPLEMENTATION PLAN EXAMPLE	69
1.16	PROJECT MANAGEMENT PLAN EXAMPLE	76
1.17	SYSTEM USER REQUIREMENTS EXAMPLE	94
1.18	MASTER TEST PLAN EXAMPLE	99
1.19	TRAINING PLAN EXAMPLE	107
1.20	STATEMENT OF WORK EXAMPLE	109
1.21	CHANGE REQUEST FORM EXAMPLE	112
1.22	CHANGE REQUEST REGISTER EXAMPLE	113
1.23	PROJECT TEAM MEETING NOTES EXAMPLE	114
1.24	PROJECT STATUS REPORT EXAMPLE	115
1.25	PEER REVIEW EXAMPLE	125
1.26	RISK FORM EXAMPLE	128
1.27	ISSUE FORM EXAMPLE	129
1.28	ISSUES REGISTER EXAMPLE	130
1.29	COMMUNICATION REGISTER EXAMPLE	131
1.30	DELIVERABLE SIGN-OFF EXAMPLE	132
1.31	INDIVIDUAL TEST PLAN EXAMPLE	133
1.32	DEFECTS REGISTER EXAMPLE	137
1.33	TRAINING MATERIAL & USER GUIDES STYLE GUIDE	138
1.34	POST IMPLEMENTATION REVIEW EXAMPLE	141
1.35	PROJECT CLOSURE STATEMENT EXAMPLE	151
1.36	PROJECT HANDOVER SIGNOFF EXAMPLE	154

1 Templates

	Project Management	Standard Deliverables
Propose	Project Notification Project Priority calculation Terms of Reference Risk Register Project Control Book I-Tools Project Registration	Business User Requirements RFI RFA Feasibility study Business Case
Prepare	Work Breakdown Structure Communication Plan Quality Assurance Plan Implementation Plan Project Management Plan	System User Requirements Master Test Plan Training Plan
Produce	Statement of Work Change Request Form Change Request Register Project Team Meeting Notes Project Status Reports Peer Review Risk Form Issue Form Issue Register Communication Register Deliverable sign-off	Individual Test Plan Defects Register Training Material/User Guides
Present	Post Implementation Review Project Closure Statement	Handover signoff

1.1 Project Notification Example

Project Information

Project Description:	<Brief description, 1 paragraph> A new Contract Management System is required to enable managers to manage contract effectively and reduce the risk to the University of potentially damaging contracts.
Date:	<of this notification> Today
Project Ownership:	<areas responsible for this project> Someone Important
Project Contacts:	<name, position, phone, email> Me, Manager, 5555, me@massey.ac.nz
Project Approval:	<Authority for project funding (e.g. Capital budget)> A Big Committee

Objectives

<Reasons for the project, overall aims & outcomes>

- To enable the effective monitoring of contracts, including status and expiry date for renegotiation
- To enable management reporting of contracts to reduce the risk to the University of potential damage
- To have a central repository of contracts in the University for easy access and maintenance.

Scope

<The activities and tasks contained in the project, showing project boundaries including activities outside scope>

- To document the business, user and system requirements of a new System at the University
- To identify and document options for the purchasing/developing of a system that recognises the needs of the University
- To purchase a new System
- To implement the new System within the University environment
- To document the process for the University.

Dependencies

<A statement of the expected impact of project outcomes on Massey systems and process, as well as impacts on the project of other key systems and processes where applicable. Projects must integrate with Massey business dates, with existing processes, services and systems and with each other.>

1. That all existing contracts are not included, are incorrect or incomplete within the current spreadsheets and filing cabinets.
2. Staff unaware that the new Contract Document Management System has been implemented, continue managing their own contracts on an ad hoc basis, future contracts may not be collected
3. Scope creep threatens delivery in timeframe
4. Software application restricts decisions that are made within this project.

Costs

<A rough estimate of the funding required that is envisaged for the project>

Lots

1.2 Project Priority Calculation Example

Project Prioritisation Tool

Project name	Contract Management Project
Overview of project	This project will replace the current manual workarounds of contracts
Sponsor	University Registrar
Date	Today
Type of project	Legal Compliance

Criteria for prioritisation

Criteria	Result	Rating	Raw Points	Total Raw Points	Weight %	Weighted Points
Link to 10 year plan	Available here					
Research & Creative Works						
<i>Describe how the project will assist to achieve the objectives highlighted</i>	No impact or insignificant impact	0	0			
	Moderate impact	2				
	Significant impact	5				
	High impact	10				
Teaching & Learning						
<i>Describe how the project will assist to achieve the objectives highlighted</i>	No impact or insignificant impact	0	0			
	Moderate impact	2				
	Significant impact	5				
	High impact	10				
Treaty of Waitangi						
<i>Describe how the project will assist to achieve the objectives highlighted</i>	No impact or insignificant impact	0	0			
	Moderate impact	2				
	Significant impact	5				
	High impact	10				

Students

Describe how the project will assist to achieve the objectives highlighted

No impact or insignificant impact
Moderate impact
Significant impact
High impact

0
2
5
10

0

Staff

Describe how the project will assist to achieve the objectives highlighted

No impact or insignificant impact
Moderate impact
Significant impact
High impact

0
2
5
10

0

The University & the wider community

Describe how the project will assist to achieve the objectives highlighted

No impact or insignificant impact
Moderate impact
Significant impact
High impact

0
2
5
10

0

Internationalism

Describe how the project will assist to achieve the objectives highlighted

No impact or insignificant impact
Moderate impact
Significant impact
High impact

0
2
5
10

0

Organisation & Management

This project will assist managers to effectively manage contracts – when they are due, conditions, risk

No impact or insignificant impact
Moderate impact
Significant impact
High impact

0
2
5
10

5

Total Link to 10 year plan

Areas

5
1

30

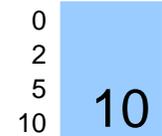
15

Risk Impact

Compliance Risk Rating

What is the consequence to compliance of not doing the project - provide a brief reason for the rating

- Low
- Medium
- High
- Critical



Strategic Risk Rating

What is the consequence to strategy of not doing the project - provide a brief reason for the rating

- Low
- Medium
- High
- Critical



Total Risk Impact

12 50 30

Financial Impact:

Payback period

Provide information to justify the raw score: Amount of time for financial benefits to recoup expenditure

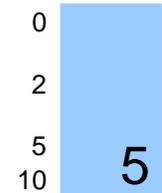
- Over 3 years
- Between 2 years and up to 3 years
- Between 1 year and up to 2 years
- Within 1 year



Benefit-Cost ratio

Provide information to justify the raw score: Number of times the benefits (revenue or cost avoidance) covers the cost (initial investment)

- Benefits less than cost
- Benefits between 1 and 2 times of cost
- Benefits between 2 and 3 times of cost
- Benefits more than 3 times cost



Total Financial Impact

7 20 7

Total Priority Points

52

Priority
Recommendations:
1-Must Do - 60-100 points
2-Should Do - 33-59 points
3-Could Do - 21-32 points
4-Review Doing - 0-20
points

Calculated Priority

2

Recommended Priority

Should Do

1.3 Terms of Reference Example

Purpose

The purpose of this document is to provide an overview of what is in the Contract Management project and the results required. It provides authority to the project manager to conduct a project within scope, quality, time, cost, and resource constraints as laid down in the document, as well as defining the governance and project role responsibilities.

Audience

The intended audience is the project team and the following identified stakeholders:

- Risk Committee
- Chief Operating Officer

Assumptions

The creation of this document assumes the following:

That all parties have been fully informed of events to date.

That all parties are familiar with Massey University's project methodology.

Associated Documents

There are no documents to be read in conjunction with this document.

Definitions

The following definitions apply to this document:

- Contract: A legal document that binds two parties to an agreement
- System: A computer program

Terms of Reference

Project Description	New Contract Management System Project
Responsible To	A Big Committee
Sponsors	University Registrar
Business Process Owners	Department Manager
Identified Stakeholders	Departments this affects
Date initiated	1 December 2005
Background	<p>The University has been undertaking the task of managing contracts manually. The process to date involves receiving of contracts, photocopying them and filing them and recording the summary information in a spreadsheet.</p> <p>Currently we are unable to monitor the status of contracts and it does not provide the necessary management reporting.</p> <p>The University has undertaken to investigate a new System in order to effectively manage contracts entered into by the University.</p>
Project Aim (Scope)	<ul style="list-style-type: none"> • To document the business, user and system requirements of a new Contract Management System at the University • To identify and document options for the purchasing/developing of a Contract Management System that recognises the needs of the University • To purchase a new Contract Management System • To implement the new Contract Management System within the University environment • To document the process for the University.
Project Objectives	<ul style="list-style-type: none"> • To enable the effective monitoring of contracts, including status and expiry date for renegotiation • To enable management reporting of contracts to reduce the risk to the University of potential damage • To have a central repository of contracts in the University for easy access and maintenance.

Key Results Required	<ul style="list-style-type: none"> • The process defined and developed for contract management across the University • Current and future needs for an integrated system defined that will support contract management across the University • The implementation of a new system within the University that will: <ul style="list-style-type: none"> ➤ Reduce duplication of reporting for contract management across the University. ➤ Ensure a consistent set of contract management reports is developed and maintained • The existing data integrated in the new system
Benefits	<ul style="list-style-type: none"> • A single repository for the management of contracts across the University. • Improved access to the contract management system for identified users • Increased control of tracking and monitoring of all contracts • Improved contract management reporting • Improved risk management of contracts
Project Leader Project Control Group	Project Manager Project Administrator <ul style="list-style-type: none"> • Lots more interesting people
Project Parameters Timeframe Resources Required Estimated Cost	Complete by a date in the future Team plus Information Systems person, Vendor \$100,000,000
Reporting Procedures	Weekly Project Team meeting 6 weekly Sponsor Group meeting
Possible Constraints	Threat/Risk/Constraint <ol style="list-style-type: none"> 1. That all existing contracts are not included, are incorrect or incomplete within the current spreadsheets and filing cabinets. 2. Staff unaware that the new Contract Document Management System has been implemented, continue managing their own contracts on an ad hoc basis, future contracts may not be collected 3. Scope creep threatens delivery in timeframe 4. Software application restricts decisions that are made within this project.

Attachments List of appendices and/or related documentation	None
---	------

Approval of Terms of Reference

SPONSOR GROUP

..... /...../.....

Signature

Date

PROJECT CONTROL GROUP

..... /...../.....

Signature

Date

PROJECT MANAGER

..... /...../.....

Signature

Date

1.4 Risk Register Example

Risk is anything that threatens or limits the ability of a project to achieve its goal, objectives, or the production of project deliverables. It includes capturing risks that are outside the project, but have the potential to impact on the project. Risk management is a process of thinking systematically about all possible undesirable outcomes before they happen and setting up procedures that will avoid them, minimize their impact, or cope with their impact. The following is an extract from the University's Risk manager Handbook relating to the classification of risks.

Raw Risk level

Likelihood	Consequences				
	Insignificant 1	Minor 2	Moderate 3	Major 4	Catastrophic 5
A (certain)	H	H	E	E	E
B (likely)	M	H	H	E	E
C (possible)	L	M	H	E	E
D (unlikely)	L	L	M	H	E
E (rare)	L	L	M	H	H

E *extreme risk* – immediate executive action required.
H *high risk* – senior management attention needed
M *moderate risk* – management responsibility must be specified
L *low risk* – manage through routine procedures

Effect of Controls on Risks

If the resultant risk is consider Low, no further action is required, and can be noted as Accepted.

Control	Level of Raw Risk			
	Extreme Risk	High Risk	Moderate Risk	Low Risk
Excellent	L	L	L	L
Good	L	L	L	L
Adequate	M	M	L	L
Inadequate	E	H	M	L
Non-existent	E	H	M	L

The table that follows evaluates this project risk in relation to the above classifications.

Risk Register								
No	Risk Name	Owner	Consequence	Likelihood	Raw Rating	Control mechanisms and weighting.	Effect of control on risk weighting	Treatment and Activity log
1	That the reporting accuracy and ability to retrieve information may be compromised if all existing contracts are not included, have incorrect or incomplete data within the current Contract Management System.	PM	Moderate	Likely	High	Internal audit of current system. Verification from Contract Managers		
	Future contracts may be managed outside of the reporting system due to the fact that staff could be unaware that the new Contract Document Management System has been implemented and continue managing their own contracts on an ad hoc basis.	PM	Moderate	Possible	High	Training and Communication Plan		
	Delivery in timeframe could be affected by scope creep.	PM	Minor	Unlikely	Low	Correct Budget Project Control function		

Risk Register

No	Risk Name	Owner	Consequence	Likelihood	Raw Rating	Control mechanisms and weighting.	Effect of control on risk weighting	Treatment and Activity log
	That the full set of requirements is not met due to software application restrictions.	PM	Moderate	Possible	High	Software specifications selection process		
	Budget over run due to extra resourcing or a more expensive system.	PM	Moderate	Possible	High	Change management		
	A complete list of user requirements may not be obtained from users.	PM	Moderate	Unlikely	Medium	Consultation process and stakeholder identification		

1.5 Project Control Book Example

Project Control Book Contents

Process		Date
Initiate		
<input checked="" type="checkbox"/>	Terms of Reference	99/99/9999
	Feasibility Study	
	RFI	
<input checked="" type="checkbox"/>	Business Case	99/99/9999
<input checked="" type="checkbox"/>	RFP – Tenders Board	99/99/9999
<input checked="" type="checkbox"/>	RFA	99/99/9999
Plan		
<input checked="" type="checkbox"/>	Project Management Plan	99/99/9999
<input checked="" type="checkbox"/>	Scope Management	99/99/9999
<input checked="" type="checkbox"/>	Risk Management	99/99/9999
<input checked="" type="checkbox"/>	Quality Management	99/99/9999
<input checked="" type="checkbox"/>	Communication Management	99/99/9999
<input checked="" type="checkbox"/>	Issue Management	99/99/9999
<input checked="" type="checkbox"/>	Change Management	99/99/9999
<input checked="" type="checkbox"/>	Initial Budget/Cashflow	99/99/9999
<input checked="" type="checkbox"/>	Work Breakdown Structure	99/99/9999
<input checked="" type="checkbox"/>	Gantt Chart (activities & schedule)	99/99/9999
Execute		
<input checked="" type="checkbox"/>	Contract Administration	99/99/9999
<input checked="" type="checkbox"/>	Master Test Plan	99/99/9999
<input checked="" type="checkbox"/>	Training plan	99/99/9999
<input checked="" type="checkbox"/>	Handover plan	99/99/9999
Control		
<input checked="" type="checkbox"/>	Status Report – Sponsors (monthly)	99/99/9999
	Status Report (weekly)	
	Change management:	
<input checked="" type="checkbox"/>	Change Request	99/99/9999
<input checked="" type="checkbox"/>	Change Register	99/99/9999
	Issue Management:	
<input checked="" type="checkbox"/>	Issue Form	99/99/9999
<input checked="" type="checkbox"/>	Issues Register	99/99/9999
<input checked="" type="checkbox"/>	Budget Control	99/99/9999
Close		
<input checked="" type="checkbox"/>	Post Implementation Review	99/99/9999
<input checked="" type="checkbox"/>	Project Closure Statement	99/99/9999

Items excluded in this project:

Item	Reason
Feasibility study	Only one choice of product
RFI	Went straight to Business Case

1.6 I-Tools Project Registration Example

Setting up a Project on

New Project General Information	
Project Name	[Enter Project Name]
Phase	-- Select from list--
Start Date	[1/01/2010]
Estimated End Date	[1/01/2010]
Baseline End Date	[1/01/2010]
New Project Budget Information	
Budget	\$0
Actual Costs to Date	\$0
Cost Centre	[Enter Cost Centre Code]
New Project Priority Information	
Project Priority	Compliance (high)
Project Category	--Select from list--
New Project Team Information	
Project Manager	[Enter Project Manager's Name]
Project Team Leader	[Enter Project Team Leader's Name]
Project Members	[Enter Project Member Name]
	[Enter Project Member Name]
Once completed please return this form to the I-Tools Administrator	

1.7 Business User Requirements Example

Purpose

The purpose of this document is to verify the business requirements for the purchase and implementation of a Contract Management System.

Audience

The intended readers of this document are the Project Sponsor Group, the Project Manager, the Project Control Group, Users of the current System.

Assumptions

This document assumes that the reader is familiar with contract management within the Massey University environment.

Associated Documents

Documents to be read in conjunction with this document:

- Project -Terms of Reference
- System - System Requirements Specification

Definitions

The following definitions apply to this document:

- Contract: A legal document that binds two parties to an agreement
- System: A computer program

Background

Contracts have been stored in the University's Document Management System (DMS). However, the Document Management System is not a contract management system, therefore a second database was created to enable reporting on contracts to take place.

We now use two systems to manage the University contracts. The DMS is used as a repository for the University contracts and a separate contract database has been established to enable monthly reporting to Contract Managers. The contract database was developed as an interim solution and needs to be replaced with a new Contract Management System. The DMS is not a Contract Management System and provides limited functionality and support of contract management to the user. We are unable to use the system to monitor the status of contracts and it does not provide the appropriate reporting requirements.

The process to date involves receiving of contracts, scanning them into the DMS, entering data for reporting purposes and sending reports to Contract Managers on a monthly basis.

Scope

The Contract Management System will cover all University contracts as defined in the University Contract Management Policy and Procedure (to be written).

The scope of this project **excludes** Research and Consultancy contracts (processed by Research Services) and Employment Contracts (processed by Human Resources).

Users

Regional Facilities Management; Regional Registrars; Finance Operations; Strategic Finance and Planning; Strategic Facilities Management and Information Technology Services.

Naming Conventions, Definitions and Assumptions

Each contract shall have a code that is defined by AABBCCCC where AA is the location, BB is the Department and CCCC is the year that the contract was signed.

It is assumed that the contracts will have completed the legal process before signing and storing.

Functional Data Requirements

The system must have:

1. The ability to include customised fields for reporting and information retrieval purposes
2. The ability to track the status of all contracts

Look and Feel Requirements

1. Data entry must be easy and quick
2. Reports must be easily available and intuitively named
3. A web interface is preferred, using Windows standard terminology eg File, Edit, View etc

Usability Requirements

In general users require:

1. High quality reporting capability
2. Cross referencing to other documents
3. Storage of templates for different types of contracts used within the University

Performance Requirements

1. The system shall be available at least during normal University working hours, and preferably 24/7
2. The system shall be able to handle multiple access points operating simultaneously without adverse effects

Security & Access Requirements

1. The system shall be available to authorised personnel only
2. The process for access requests shall be transparent and timely
3. Delegated security levels for users

1.8 Request for Information (RFI) Example

Introduction

Purpose

This document has been drawn up to provide suppliers with an overview of the Massey University's interest in Contract Management Systems. The document indicates the information the University is seeking in its invitation to suppliers to register their interest in providing a solution for all or part of the required equipment and services.

Associated Documents

There are no documents to be read in conjunction with this document.

Definitions

Put any specific ones in here

- Contract: A legal document that binds two parties to an agreement
- System: A computer program

Information contained within this document has strategic importance to Massey University and is to be kept confidential and used only for the purpose of responding with the information requested. Information provided by respondents will also be treated as confidential. Please note that the information provided will not be returned to unsuccessful respondents.

A selected group of suppliers will be invited to respond to a detailed Request for Proposals as a result of the registration of interest process, contingent on the decision to proceed with the project.

This Request for Information (RFI) is not intended, and shall not be construed, to create any obligation on the part of the University either to enter into any contract with any vendor or to serve as the basis for any claim whatsoever. All work undertaken by potential vendors in the preparation of a suitable response shall be at the vendor's expense.

The University reserves the right to reject any or all proposals for any reason whatsoever.

Overview of Massey University

Massey University is a multi-campus tertiary educational institution with approximately 33,000 students registered in study. Of these, approximately 18,000 are studying by distance (extramurally). The other 15,000 are studying in face-to-face mode at Campuses located in Auckland, Palmerston North and Wellington (with a presence in a number of other smaller regions). Massey University also has joint partnerships with a number of other educational institutions.

Overview of Contract Management System

The University is seeking to implement a new contract management system. This requirement has arisen in part from the need to manage University risk related to contracts.

Additional drivers are:

- The lack of reporting ability in the current system
- The distributed nature of contract information lacking transparency for senior management

For a more complete list of functional requirements of the Contract Management System see the appendix to this document.

Overview of Existing

Contracts have been stored in the University's Document Management System (DMS). However, the Document Management System is not a contract management system, therefore a second database was created to enable reporting on contracts to take place.

We now use two systems to manage the University contracts. The DMS is used as a repository for the University contracts and a separate contract database has been established to enable monthly reporting to Contract Managers. The contract database was developed as an interim solution and needs to be replaced with a new Contract Management System. The DMS is not a Contract Management System and provides limited functionality and support of contract management to the user. We are unable to use the system to monitor the status of contracts and it does not provide the appropriate reporting requirements.

The process to date involves receiving of contracts, scanning them into the DMS, entering data for reporting purposes and sending reports to Contract Managers on a monthly basis.

Information Technology Services maintains a number of Compaq Alpha Unix Servers providing drive-space, print services and email to client computers.

The standard Information Technology tool set available to all University staff is:

- Networked computer (80% Microsoft Win2000/XP and 20% Apple Macintosh)
- Email client (Qualcomm Eudora or Microsoft Outlook)
- Web browser (various versions of Netscape Navigator or Microsoft Internet Explorer)
- Productivity Suite (Microsoft Office, Claris Office, Corel Office)

Massey University uses Microsoft Active Directory for a single point of authentication.

Information Requested

All respondents should supply the following information:

Company Profile/Overview/History

Company ownership, capital funding, etc.

Management structures including international, national and regional offices.

Staffing Structures Nationally/Internationally

Number of staff by function group (sales, service, development, administration, etc).

Locations, branches, etc.

Sub Contractors

Detail any proposed use of sub contractors.

Support Structures

National / International

On site capabilities, describe on site, remote support alternatives.

Outline of Quality Assurance standards adhered to by the company. What approach?
What level? How validated?

Provide information on hotline/helpdesk service.

Provide information on escalation procedures.

Provide information on support contract charges.

Provide information on user group and related information.

Product Offering

Provide a general description of the product to be offered

Include any relevant white papers, brochures or other documentation

Include any demonstration software that may be available

Provide a URL for any relevant web sites

Outline of Implementation for Equipment, Software and Services

Installation alternatives - identify and provide reference site examples.

Preferred implementation schemes.

Identify if appropriate options or alternatives which may be considered.

Reference Sites for Equipment, Software and Service

How many sites.

Dimensions of configurations.

Type of traffic and volumes transacted across the service provided.

Sample Contract

Provide samples of any standard contracts covering sales and support.

Appendix - Functional Requirements

See Business Requirements for list.

Documentation and Help

The system must provide adequate documentation and help files to assist with its use and access. It should include

- (a) system administrator's guide
- (b) user's guide (for inputters of data)
- (c) installation guide
- (d) customisation guide
- (e) the means of adding instructions about getting information to inputters
- (f) the means of adding check-lists for Research Category requirements

Available on

- (g) paper
- (h) CD-ROM
- (i) HTML

The documents must

- (j) reflect the system accurately
- (k) provide all information required to use the system
- (l) provide all information required to administer the system
- (m) provide all information required to customise the system
- (n) include examples of screens
- (o) include a complete glossary and index

Vendor requirements

The vendor should be able to

- (a) provide standard license, maintenance, and support contracts
- (b) support changes to the product in a changing legislative environment
- (c) demonstrate comparable operational reference sites

1.9 Request for Financial Authority (RFA)

REQUEST FOR FINANCIAL AUTHORITY

RFA //

REQUESTED BY: (Strategic Finance Use Only)

BUDGET CENTRE MANAGER (BCM):
BUDGET CENTRE:

Copies to:

AUTHORITY REQUEST DETAILS (INCLUDING JUSTIFICATION): File No:

--	--

BUDGETARY DETAILS	Projected	Yearly
Cash Flow (Capital Projects Only)		
	Year	\$

AUTHORITY AMOUNT (NET OF GST): \$ <small>(INCLUDING DETAILS OF ESTIMATE AND/OR COPY OF QUOTE)</small>
OPERATING OR CAPITAL BUDGET SOURCE (ACCOUNT NUMBER);
CAPITAL PROJECTS/WORKS PROGRAMME REFERENCE AND AMOUNT (CAPITAL PROJECTS ONLY)

BCM SIGNATURE:..... DATE
Equipment Committee Approval reference (if applicable):

PVC/AVC/PRINCIPAL SIGNATURE:
(Where Applicable)

APPROVAL DETAILS

ACCOUNT NUMBER AND AMOUNT:

SPECIAL CONDITIONS OF AUTHORITY:

AUTHORISED BY: DATE:

1.10 Feasibility Study Example

Introduction

Purpose

This feasibility study has been conducted to determine the best course of action on the contract management system.

Audience

Identified stakeholders include: The Project Team, Risk Committee, Chief Operating Officer

Associated Documents

This document should be read in conjunction with the Terms of Reference and the Business User requirements for this project.

Definitions

The following definitions apply to this document:

- Contract: A legal document that binds two parties to an agreement
- System: A computer program

Executive Summary

The purpose of this section is to provide an overview of the entire feasibility study report.

Provide a descriptive summary of the;

- *purpose* of this document
- *current* business organisations and IT systems in place today
- *requirement* for change to current business organisations and IT systems
- *options* for change to current business organisations and IT systems
- *recommended option* chosen
- *financial expenditure* associated with recommended option
- *risks and issues* associated with recommended option
- *business benefits* associated with recommended option
- *nature of approval* requested for this document
- *next steps* requested

Background

Describe the project background. This includes:

- The date of formation of the project
- The method of formation and current level of approval
- The general business problem to which the project will address

Current Business Overview

Current Business Definition

Current Business Processes

List each of the current business processes relevant to this project. Provide a description for each major business process. Depict all business processes within a *process flow diagram* in order to highlight typical business transaction types (e.g. the payments process).

Current Business Organisation

List each of the current business units (eg Finance Department) relevant to this project. Provide a description of the function of each major business process. Depict all business units within an *organisation chart* in order to highlight business reporting and internal communication lines.

Current Business Locations

Document the physical location (e.g. street address) of each business unit relevant to this project. Depict all business locations within a *geographical map* (where appropriate) in order to highlight the physical placement of each business unit.

Current Business Data

Document the major types of business data (e.g. payment information) required in order to undertake the generic business processes listed above. Document the source repositories of each of the data types listed (e.g. payments database). Depict all business data types and sources within a *data flow diagram*.

Current Business Applications

List each of the current business applications (e.g. financial management system) relevant to this project. Provide a description for each current business application. Depict all business applications within an *applications architecture diagram* in order to highlight the interfaces between current business applications.

Current Business Technologies

List each of the current business technologies (e.g. mainframe) relevant to this project. Provide a description for each major technology. Depict all business technologies within a *technology architecture diagram* in order to highlight the interfaces between current business technologies.

Current Business Problems

Business Process Problems

List all issues and problems associated with the current business processes (as defined above). Examples include:

- Process efficiency problems
- Process timeliness problems
- Process owner problems
- Process clarity problems
- Process dependency problems
- Process relevancy problems

Rate and prioritise the problems highlighted above.

Business Organisation Problems

List all issues and problems associated with the current business units (as defined above). Examples include:

- Business unit definition problems (lack of vision, scope, objectives...)
- Business unit direction problems (misalignment with corporate vision...)
- Business unit structure problems (inefficient / inappropriate structure...)
- Business unit size problems (too large / small...)
- Business unit makeup problems (percentage contractors to permanent...)
- Business unit performance problems (lack of service performance...)
- Business unit expenditure problems (expenditure consistently greater than budget...)

Rate and prioritise the problems highlighted above.

Business Location Problems

List all issues and problems associated with the current business locations (as defined above). Examples include:

- Business location security problems (lack of...)
- Business location size problems (too large / small...)
- Business location relevancy problems (not fit corporate image...)
- Business location financial problems (too expensive...)
- Business location physical problems (deterioration...)

Rate and prioritise the problems highlighted above.

Business Data Problems

List all issues and problems associated with the current business data (as defined above). Examples include:

- Business data quality problems
- Business data management problems
- Business data ownership problems
- Business data maintenance problems
- Business data adequacy problems
- Business data consistency problems
- Business data reliability

Business Application Problems

List all issues and problems associated with the current business applications (as defined above). Examples include:

- Business application reliability problems
- Business application scalability problems
- Business application relevancy problems (i.e. fit to business objectives)
- Business application performance problems
- Business application architecture problems
- Business application sizing problems

Business Technologies Problems

List all issues and problems associated with the current business technologies (as defined above). Examples include:

- Business technology reliability problems
- Business technology scalability problems
- Business technology relevancy problems (i.e. fit to business application)
- Business technology performance problems
- Business technology architecture problems
- Business technology sizing problems

Other Business Problems

List any other business problems here. Examples include:

- Lack of compliance with safety / regulatory standards

Business Requirements

Business Process Requirements

List the requirements associated with all business-process-related problems (see above).

Process Problem	Requirement Summary	Requirement Description

Business Organisation Requirements

List the requirements associated with all business-organisation-related problems (see above).

Organisational Problem	Requirement Summary	Requirement Description

Business Location Requirements

List the requirements associated with all business-location-related problems (see above).

Locational Problem	Requirement Summary	Requirement Description

Business Data Requirements

List the requirements associated with all business-data-related problems (see above).

Data Problem	Requirement Summary	Requirement Description

Business Application Requirements

List the requirements associated with all business-application-related problems (see above).

Application Problem	Requirement Summary	Requirement Description

Business Technology Requirements

List the requirements associated with all business-technology-related problems (see above).

Technology Problem	Requirement Summary	Requirement Description

Other Business Requirements

List the requirements associated with all other-business-related problems (see above).

Other Problems	Requirement Summary	Requirement Description

Options

Options Identified

(NB An 'option' is described as a set of activities which once implemented, will result in the satisfaction of the business requirement, as described above)

List each of the options available for implementation. Each option should be described as follows:

Option 1 - <Name>

Overview

Provide a comprehensive description of the option. Complete the following table.

Category	Requirement (see section 4)	Solutions
Process		e.g. undertake a business process re-engineering exercise
Organisation		e.g. undertake a business re-organisation exercise
Location		e.g. undertake a business re-location exercise
Data		e.g. undertake a data cleansing exercise
Application		e.g. replace the existing business applications
Technology		e.g. replace the existing business technologies
Other		e.g. undertake a safety standards compliance exercise

Issues

List any issues (eg technical, architectural, cultural) to be taken into account when considering the potential implementation of the above option.

Constraints

List any constraints to be taken into account when considering the potential implementation of the above option.

Risks

List any risks (eg business, safety, regulatory) to be taken into account when considering the potential implementation of the above option.

Assumptions

List any assumptions to be taken into account when considering the potential implementation of the above option.

Option 2 - <Name>

Overview

Provide a comprehensive description of the option. Complete the following table.

Category	Requirement (see section 4)	Solutions
Process		e.g. undertake a business process re-engineering exercise
Organisation		e.g. undertake a business re-organisation exercise
Location		e.g. undertake a business re-location exercise
Data		e.g. undertake a data cleansing exercise
Application		e.g. replace the existing business applications
Technology		e.g. replace the existing business technologies
Other		e.g. undertake a safety standards compliance exercise

Issues

List any issues (eg technical, architectural, cultural) to be taken into account when considering the potential implementation of the above option.

Constraints

List any constraints to be taken into account when considering the potential implementation of the above option.

Risks

List any risks (eg business, safety, regulatory) to be taken into account when considering the potential implementation of the above option.

Assumptions

List any assumptions to be taken into account when considering the potential implementation of the above option.

Option 3 - <Name>

Overview

Provide a comprehensive description of the option. Complete the following table.

Category	Requirement (see section 4)	Solutions
Process		e.g. undertake a business process re-engineering exercise
Organisation		e.g. undertake a business re-organisation exercise
Location		e.g. undertake a business re-location exercise
Data		e.g. undertake a data cleansing exercise
Application		e.g. replace the existing business applications
Technology		e.g. replace the existing business technologies
Other		e.g. undertake a safety standards compliance exercise

Issues

List any issues (eg technical, architectural, cultural) to be taken into account when considering the potential implementation of the above option.

Constraints

List any constraints to be taken into account when considering the potential implementation of the above option.

Risks

List any risks (eg business, safety, regulatory) to be taken into account when considering the potential implementation of the above option.

Assumptions

List any assumptions to be taken into account when considering the potential implementation of the above option.

Options Analysis

Analyse and rate each of the above options based on the following criteria:

- Financial costs
- Non-financial costs
- Financial benefits
- Non-financial benefits
- Duration
- Risks
- Issues
- Other

Financial costs

Calculate the financial costs associated with each option and comprise an overall rating on a scale of 1-10. Financial costing examples include:

One-off project costs (CAPEX)

- Internal labour costs
- 3rd party vendor costs
- IT hardware costs
- IT software costs
- Premises costs
- Communications costs
- Training costs

On-going Support Costs (OPEX)

- On-going support costs
- On-going maintenance costs
- On-going training costs

Non-Financial costs

Identify all non-financial costs associated with each option and comprise an overall rating on a scale of 1-10. Non-financial costing examples include:

- Temporary reduction in customer service during rollout

Financial benefits

Calculate the financial benefits associated with each option and comprise an overall rating on a scale of 1-10. Financial benefit examples include:

- Revenue generation
- Cost reduction

Non-Financial benefits

Identify all other non-financial costs associated with each option and comprise an overall rating on a scale of 1-10. Non-financial benefit examples include:

- Improved organisational culture
- Improved brand image

Duration

Identify the likely project duration for each option and comprise an overall rating on a scale of 1-10. (NB The shorter the duration, the earlier the benefits will be realised and consequently the higher the overall rating).

Risks

Identify all risks associated with each option and comprise an overall rating on a scale of 1-10. Risk examples include:

Issues

Identify all issues associated with each option and comprise an overall rating on a scale of 1-10. Non-financial cost examples include:

Other

Identify any other criteria applicable to each option and comprise an overall rating on a scale of 1-10.

Options Selection

Complete the following table in order to comprise a complete view of all options available. Calculate the total score based on a weighting applied to each rating type.

Options Rating Table

	COSTS			BENEFITS			OTHER				
Option No.	Financial costs	Tangible costs	Intangible costs	Financial benefits	Tangible benefits	Intangible benefits	Risk rating	Issues rating	Project duration rating	Other criteria	TOTAL SCORE
1											
2											
3											

Select the recommended option based on the highest score from the 'Options Rating Table' above.

Recommendations

Based on the selected option above, provide a listing of the specific recommendations made in order to ensure the timely approval and implementation of the final solution.

Example recommendations include:

- That the recommended option be approved immediately
- That the timescales for implementation are approved immediately
- That the 'next steps' (as defined below) are approved immediately for execution
- That the required budget is allocated immediately in order to undertake the 'next stage plan
- That the project manager is allocated immediately in order to undertake the 'next stage plan
- That the required resources are allocated immediately in order to undertake the 'next stage plan

1.11 Business Case Example

Executive Summary

Contract Management is an important activity at Massey University. There is a considerable risk to the University if contracts are not managed effectively. A new contract management system is now needed to enable the efficient and effective management and administration of contracts.

The cost of not having an efficient and effective system to manage contracts is significant, with the following key costs:

- Potential of litigation from poorly managed contracts;
- Cost of administering contracts in the Regions and NSS;
- Cost of poorly constructed contracts.
- Potential to miss renewal of existing contracts, particularly when key staff leave;
- Risk of loss of income or payment of damages;
- Inefficiencies in the management of contracts and administration of contracts;
- Potential high cost of manual work/processes for the University to meet regulatory requirements.

The University's current systems are inadequate in that:

- A number of fragmented systems are in use;
- The University's research reporting capability is very poor; and
- The lack of workflow functionality results in slow, inefficient administration and an unacceptable contract risk.

A new contract management system would minimise the occurrence of the above costs. It would also enable the University to convey a more professional image in relation to contracts. This would assist to minimise the risk the University currently has, and reduce the exposure of key staff to expensive litigation.

Description of Proposal:

Purpose

The purpose of this Business Case is to obtain approval from Council to purchase and implement a new contract management system for the University at an estimated cost of \$100,000,000.

Key drivers for a contract management system are:

- The need to have a system in place which facilitates more effective and efficient processes for managing contracts across the University.

- The need to provide a more accessible channel for internal and external stakeholders to access contracts.

- The need to upgrade the existing system to better align it with the procedural requirements of the University and to improve its flexibility in dealing with structural changes that are expected to be ongoing.

- To improve contract information management across the University.

- To improve contract management and reporting.

- To have better risk management practices in place.

- To improve operational efficiency by creating support for work currently performed manually.

Background

Contracts have been stored in the University's Document Management System (DMS). However, the Document Management System is not a contract management system; therefore a second database was created to enable reporting on contracts to take place.

We now use two systems to manage the University contracts. The DMS is used as a repository for the University contracts and a separate contract database has been established to enable monthly reporting to Contract Managers. The contract database was developed as an interim solution and needs to be replaced with a new Contract Management System. The DMS is not a Contract Management System and provides limited functionality and support of contract management to the user. We are unable to use the system to monitor the status of contracts and it does not provide the appropriate reporting requirements.

Benchmarking

Other Universities do the following with their contracts:

- University 1 – complete manual system

- University 2 – Uses a CMS that holds the contracts

- University 3 – Integrates with their finance system

Current Situation

The process to date involves receiving of contracts, scanning them into the DMS, entering data for reporting purposes and sending reports to Contract Managers on a monthly basis. This was being undertaken by the Projects Office until a more suitable alternative can be found.

The current CMS is a Microsoft Access application that helps keep track of contracts that are included. People outside the Projects Office do not have access to the information stored on the database and therefore are often unaware of the status of their contract. This often causes frustration within the environment. This system was developed to meet the specific need of holding contracts and is not viable as a system to manage and administer across the University and it would not be possible to convert it into such a system.

Attach process maps, or a detailed description of what happens. Discuss any issues with this in this section.

System Requirements

Functional Data Requirements

The system must have:

- The ability to include customised fields for reporting and information retrieval purposes
- The ability to track the status of all contracts

Look and Feel Requirements

- Data entry must be easy and quick
- Reports must be easily available and intuitively named
- A web interface is preferred, using Windows standard terminology eg File, Edit, View etc

Usability Requirements

In general users require:

- High quality reporting capability
- Cross referencing to other documents
- Storage of templates for different types of contracts used within the University

Performance Requirements

- The system shall be available at least during normal University working hours, and preferably 24/7
- The system shall be able to handle multiple access points operating simultaneously without adverse effects

Security & Access Requirements

- The system shall be available to authorised personnel only
- The process for access requests shall be transparent and timely
- Delegated security levels for users

Strategic Analysis & Project Justification

Contract management is an integral component of risk management at Massey University. The implementation of a contract management system will help to achieve the goals and objectives of the 10 Year Plan by assisting the University to manage and administer contracts more efficiently and effectively.

Contracts can be expensive to undertake and need to be well managed to be successful. Without suitable management mechanisms, the University and key staff are exposing themselves to significant risk.

Massey University currently has limited tools to assist in the administration and management of contracts. A system is required to administer contracts over their life cycle.

An audit of contract management and administration at Massey has identified a number of internal control weaknesses that a contract management system can help resolve. The specific areas that a system will assist in resolving are (from Massey University Follow Up of Reports Previously Issued document dated November 200X):

- 2.1 – Contract initiation process not being followed (high) – a contract information management system will be able to monitor all contracts created which will help identify any contracts initiated that do not comply with the guidelines (page 4).
- 3.1 – Contract progress is unclear (high) – a contract management system will monitor timelines, schedules and costs and will be able to report contract progress (page 13).

A contract management system will provide clarity on contract creation and contract execution with information available online. This will make it much easier to monitor contract and report on exception conditions which will reduce the risk to the University of problems with contracts.

Alternatives

For the preparation of this business case, there were three options to consider:

- Option 1 - The Status Quo
- Option 2 - Develop a system
- Option 3 - Purchase a system

Option 1 - The Status Quo

The status quo is described above in *Current Situation*. This does not meet the user requirements, with key problems being the inefficiency in managing contracts throughout the University. Key contracts can easily be overlooked resulting in late renewal of contracts and the unprofessional interface with the contract parties, possibly jeopardising future relationships. No development work is scheduled to improve any of the existing solutions but they will require a high level of maintenance to ensure they continue supporting requirements.

Costs

Nil

Advantages

No capital investment required.

Disadvantages

Does not meet the University's current or future needs;
Potential to miss renewal of existing contracts, particularly when key staff leave;
Risk of loss of income or payment of damages;
Difficult and high risk of delivery failure to adapt or convert this system to meet current or future needs;
Inefficiencies in the management of contracts and administration of contracts;
Difficulties accessing information on current contracts; and
Potential high cost of manual work/processes for the University to meet regulatory requirements.

Conclusions

This is not a recommended option for the University as this is considered an unsustainable option.

Option 2 - Develop a System

The development of a Contract Management System has been included here to provide a point of relativity to the costs associated with the recommended option. This system would need to be built from scratch as none of the existing systems would be useable. An estimate of the costs and timeframe of developing a system in house is likely to be in the order of \$500,000,000 and will take at least 5 years to complete. Information Technology Services section have no resources to allocate to this project, so if this option were selected new resources would need to be procured. It is not in the University's best interests to expand the development capability of this section.

Costs

A high level breakdown of the costs of this option is shown in the table below:

Item	Amount	Annual Maintenance
Application Software	\$100,000,000	
Hardware	\$40,000	
System Software	\$20,000	\$5,000
Implementation and Support	\$390,000,000	\$60,000
System Administrator	\$240,000	\$50,000
Contingency	\$9,700,000	
Total Costs	\$500,000,000	\$115,000

Notes:

The cost estimates were prepared with assistance from the Information Technology Services section management team.

Advantages

A customised product to meet all the needs of the users; and
Potentially less expensive option.

Disadvantages

Will take too long;
risk of extended period of development with associated costs;
Dual systems will be needed while the development is completed;
This option does not guarantee best practice or practice alignment;
High risk of a slow delivery;
There will be in-house support and delivery requirements to consider;
and
Massey University will not get the benefit of best practice from other universities.

Conclusion

This is not a recommended option for the University because it is not in the University's best interest to expand the development capability, there will be a longer delivery timeframe, because this option has a higher long-term cost than the purchase option and there is a higher risk of delivery failure with this option.

Option 3 - Purchase a System

Purchasing a system is a way of accessing the current best practice of existing users of the system. It is also the easiest way to access changes to the legislative requirements. System providers are able to offer consultancy in the development of business processes. This option has the lowest long term costs and also the lowest risk profile for the University.

A high level breakdown of the costs of this option is shown in the table below:

Item	Amount	Annual Maintenance
Vendor Costs		
Site User Licences for Core Modules	\$54,000,000	\$50,000
Installation, Setup and Training	\$24,150,000	
Total Vendor Costs	\$78,150,000	\$50,000
Massey Costs		
Hardware	\$40,000	
Software	\$20,000	\$5,000
Implementation and Support	\$21,090,000	\$10,000
System Administrator	\$100,000	\$50,000
Contingency	\$600,000	
Total Massey Costs	\$21,850,000	\$65,000
Total Costs	\$100,000,000	\$115,000

Notes:

1. Proposals were received from two vendors, with the License Fees ranging from \$53,000,000 to \$54,000,000. The higher costs have been used as the basis for this option.
2. The cost estimates for the Massey Costs were prepared with assistance from the Information Technology Services section management team.

Advantages

A purchased system gives Massey University a cost effective way of accessing the current best practice of the tertiary education institutions that use it;

A purchased system will provide new legislative or industry wide requirements at the lowest cost; and

Supplier may have additional modules that will interface seamlessly with the core modules.

Disadvantages

May require added level of technical support.

Conclusion

This is the recommended option, with a preference for finding a system used by other universities in New Zealand and Australia.

Non-Financial Analysis:

Key performance Indicators

The table below summarises for key performance indicators the current situation and the situation once the University has a research information management system.

KPI	Current	Future
Time to sign contracts	No information on where delays are occurring	Milestones available for each step, ability to monitor and respond to delays
Contract milestones (milestone billing etc)	No information on where delays are occurring, often late	Milestones available for each step, ability to monitor and respond to delays
Reporting	Manual search for information takes too long to be useful	Information immediately available

Financial Analysis

Assumptions:

1. Labour has been charged at an average rate of \$100,000 per person per year.
2. Proposals were received from two vendors, with the License Fees ranging from \$53,000,000 to \$54,000,000. The higher costs have been used as the basis for this option.
3. The cost estimates for the Massey Costs were prepared with assistance from the Information Technology Services section management team.
4. Discount rate is 8% has been used in the Net Present Value calculations.
5. The Net Present Value has been calculated over six years (initial year of purchase plus five years – the period before capital expenditure would be required for a significant upgrade).
6. The cash flow is fixed at the end of each year.
7. A rate of inflation has not been applied.

Summary of Options

(Please refer to Appendix A on page 13 for a financial breakdown of costs, including a net present value analysis).

Option	Implementation Cost	Net Present Value
Option 1 – Status Quo	\$0	(\$1,348,056) to (\$3,428,352)
Option 2 – Develop a System	\$500,000,000	(\$551,419,443)
Option 3 – Purchase a System	\$100,000,000	(\$111,140,790)

Maintaining the status quo (Option 1) has no capital cost but is the most expensive option in the longer term, with significant maintenance costs and a high risk of the University breaching contracts. This option is not recommended.

Develop a system (Option 2) has the highest capital costs and will take longest to deliver. It is the option with a high risk of the delivery dates slipping. It is also not in the University's interest to expand the systems development capability. This option is not recommended.

Purchase a system (Option 3) is the option with the lowest risk for the University, with the long term costs the lowest. A purchased system will encapsulate the best practice of a group of tertiary institutions. This is the recommended option.

Risk Analysis

The risks directly associated with the project are summarised in the following table:

Risk Summary	Mitigation Strategy
Specialised ITS resources not available to implement system.	Obtain outsourced resources as necessary.
Key staff in Contract Management due to retire.	Offer retiring staff part-time contracts.
Limited resource to implement new system.	A System Administrator is planned to initiate system.
Resistance to comprehensive change in processes that will eventuate from implementing this system.	Senior managers support introduction of new system. Communication of benefits and project progress will be a key component to plan.
Slippage in deliverables past project end date.	The planned estimates have a contingency factored in.

Appendices

Put detailed financial information in here

1.12 Work Breakdown Structure Example

Introduction

Purpose

The purpose of this document is to breakdown the deliverables in the Contract Management project to their lowest level, so that tasks may be created to complete the deliverables. It is a development document used for planning, not reporting. It is expected that the document will become more detailed as more about the project is known.

Audience

This document is intended as a working document for the Project team only. It is not for general circulation, and is not intended to report on the project.

Assumptions

This document assumes that the reader is familiar with what a Work Breakdown Structure is.

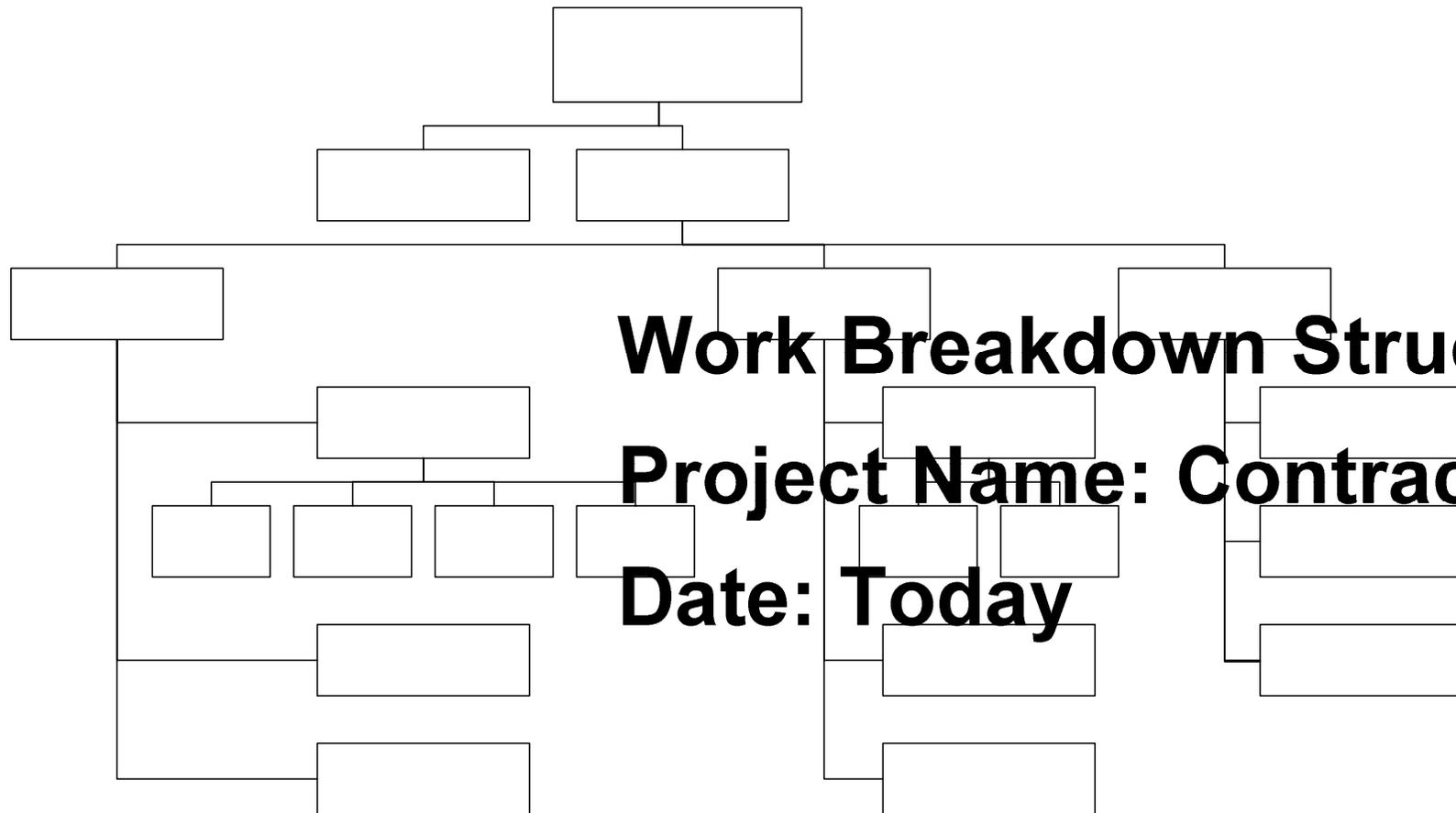
Associated Documents

Project Terms of Reference.

Definitions

The following definitions apply to this document:

<Enter text>



Work Breakdown Structure

Project Name: Contract Management

Date: Today

Project Management Tasks

These need to be planned for in every project

ID	Project Phases	Deliverables	Key Tasks
1	Propose	Terms of reference Risk Register	Scope project Determine risks and mitigating strategies
	Prepare	Work Breakdown Structure Timeline Communication Plan Quality Assurance Plan Training Plan Test Plan Implementation Plan Project Management Plan Request for Financial Authority	Determine what deliverables and tasks are required Analyse stakeholders Gain budget approval
	Produce	Statement of Work Change Management Status Reports Deliverable Sign-off	Assign work Obtain business owner approval
	Present	Post Implementation Review Project Closure Statement	Survey stakeholders Lessons learned Handover agreed

Details of deliverables in WBS

Business Case

ID	Sub-Deliverables	Tasks	Who will do it?	How long is it expected to take?	Deadline date
1.1	Investigate Market and Possible Suppliers	Identify industries Identify suppliers Benchmark systems Complete RFI			
1.2	Business and User Requirements				
1.3	Business case				

Contract Management System

ID	Sub-Deliverables	Tasks	Who will do it?	How long is it expected to take?	Deadline date
1.1	Purchase and Implementation of System	Contract Management IT Infrastructure			
1.2	Functional handover to Risk Manager				
1.3	Operational handover to ITS				

Contract Management Processes

ID	Sub-Deliverables	Tasks	Who will do it?	How long is it expected to take?	Deadline date
1.1	Process developed				
1.2	Process reviewed				
1.3	Process published				

1.13 Communication Plan Example

Introduction

Purpose

The purpose of the Communication Plan is to:

- identify all stakeholders
- describe the communication needs of the stakeholders
- define how stakeholders will be kept informed about the project
- identify the communication paths within the University
- ensure all information is consistent, accurate, and timely

The Communication Plan provides an overall framework for managing and coordinating the wide variety of communications that will directly or indirectly take place as part of the Project. It addresses communicators, audiences, messages, communication channels, feedback mechanisms and message timing, and creates an integration between all six. Such a framework will ensure that the project provides relevant, accurate, consistent information to Massey at all times.

This plan includes the following elements:

- Project Audiences
- Communication Plan
- Communication Calendar
- Communication Formats
- Communication Principles

A number of stakeholders are involved in this project. By effectively communicating with them the project can accomplish its work with support and cooperation of each stakeholder group.

Audience

This document is intended for the members of the Project Sponsor Group.

Assumptions

This document assumes that the reader is familiar with Project Terms of Reference.

Associated Documents

This document should be read in conjunction with the Project Terms of Reference.

Project Audiences

This section contains a description of the various audiences that are covered in this Communication Plan. The following table identifies each audience and their vested interests and expectations.

Audience	Roles & Responsibilities	Vested Interests	Expectations
University Council	Approval of the business case. Monitoring progress reports to ensure the benefits defined in the business case are delivered.	Progress on delivery against Business Case. Project progresses as planned.	Progress reports to ensure the benefits defined in the business case are delivered via the Registrar.
Vice Chancellors Executive Committee	Oversight of the delivery of core organizational benefits. Executive endorsement of the project.		Project is well planned and managed. Project progressing to plan. Periodic progress reports via the Registrar.
Sponsor Group	Approving and prioritising Project Definition for project elements. Monitoring progress by exception. Reviewing and approving substantial changes. Monitoring the project progress. Ensuring that proper risk assessment is performed and mitigation strategies are developed. Approving project scope, budget, objective and plan changes within any delegated authority. Signing off the project deliverables at the relevant milestones. Confirming project cancellation where necessary. Ensuring that the proper financial checks and professional balances are included. Ensuring that the project meets the	Project Strategy Owners. Effective project management. Adequate resources are available to the project. Project remains within scope, budget and timeframe. Project meets the broader business needs of the University	The Project adheres to the Project terms of reference and plan. Receipt of progress reports on a regular basis. Timely notification/resolution of issues. Project is on time and within budget. Review of Project Deliverables.

Audience	Roles & Responsibilities	Vested Interests	Expectations
	<p>University's statutory obligations and protects its interests.</p> <p>Ensuring that the project delivers the required benefits.</p> <p>Reviewing and approving the quality assurance reports, including the project manager's recommended actions.</p>		
Project team	<p>Championing the project and raising awareness at operational level.</p> <p>Supporting the implementation plans and achievement of project milestones.</p> <p>Resolving policy and project issues.</p> <p>Driving and managing change through the organisation.</p> <p>Alignment and integration of project goals with other ongoing projects.</p> <p>Communicating with other key organisational representatives.</p> <p>Communicating vision to user community</p>	<p>The project satisfies the business needs.</p> <p>Project is completed on time.</p> <p>Impacts of Project on the Business.</p> <p>Utilizing the technology will improve business processes.</p> <p>Business staff is used effectively.</p> <p>No surprises!</p>	<p>Receipt of progress reports on a regular basis.</p> <p>Timely notification/resolution of issues.</p> <p>Notification of changes to Terms of Reference and plan.</p> <p>Input into review of project deliverables.</p>
Project Management	<p>The effective coordination of tasks and resources between the Project Office and other groups.</p> <p>Communicating vision to the user community</p>	<p>Project staff are used effectively.</p> <p>The Project is completed on time and within budget.</p> <p>ITS objectives are met as they apply to the Project.</p>	<p>Regular communication.</p> <p>Timely notification of issues.</p> <p>Effective team work.</p>
Activity Centre / Business Owners	<p>Provide functional expertise in an administrative process</p> <p>Work with users to ensure the project meets business needs</p> <p>Approval of the design documentation.</p> <p>User acceptance testing signoff.</p> <p>Identification of User Training Requirement and assistance with rollout.</p> <p>Approval for new functionality to be released into production.</p>	<p>Clear understanding of the business needs.</p> <p>Their staff knowledge is used effectively.</p> <p>The technology will improve business processes.</p> <p>Project deliverables are of a high quality.</p>	<p>Their staff are satisfied.</p> <p>Regular communication with Project Manager.</p> <p>The project team understands their requirements.</p> <p>The product will meet their business needs and improve their work processes.</p>
Academic Directors	<p>To ensure College Business requirements are communicated, understood and met.</p> <p>Provide input into relevant statement of requirements.</p>	<p>The needs College staff are met as they apply to this project.</p> <p>Improvement in business processes.</p>	<p>Regular contact with the Project Manager.</p> <p>Opportunity to provide input into the project.</p> <p>College staff are satisfied with the project deliverables.</p>

Audience	Roles & Responsibilities	Vested Interests	Expectations
Business Analysts	<p>Working with users to define what functionality is required to support there business requirements. Documentation and analysis of future requirements. Acting as the primary liaison point between ITS and the User community during the development phase. Identification and mapping of help files. Coordination of the updating of User guides and manuals. Defining, documenting and coordination of User Acceptance Testing. Coordination of User training</p>	<p>Information flows easily among project stakeholders. Project is successful. Clear direction and delegation of tasks. Consistent quality management.</p>	<p>Quality delegation. Review and feedback on deliverables. Adequate project resources are available. The project is well managed</p>
Programmer Analysts	<p>Application design and peer review. Application coding and peer review Programmer module testing. Support for user acceptance testing and problem resolution. Supporting the release of new functionality into production.</p>	<p>Information flows easily among project stakeholders. Project is successful. Users requirements are communicated and captured efficiently.</p>	<p>The project is well managed Priorities are clearly communicated. Adequate project resources are available. Opportunity to provide input into the project.</p>
Users	<p>The effective use of the System. Active participation in training. Support the integration of technology with business processes. Constructive feedback on how effective the technology is being deployed.</p>	<p>Project deliverables are of a high quality. Improve the business processes. They are well informed about changes that effect how they carry out their responsibilities.</p>	<p>The product will meet their needs and improve their work processes. Assistance with learning the new system through effective training. Information is ready available.</p>

Communication Events

The following table outlines the communication events that will occur to support the Project. Refer to Section V for suggested formats of communications and meetings.

Audience	Event	Communicator	Channel	Timing	Feedback Mechanism
University Council	Council Meeting	Registrar	Verbal, Written (Project Status Update)	Six monthly	Verbal via Registrars feedback and meeting minutes
Vice Chancellors Executive Committee	VCEC Meeting	Registrar	Verbal, Written (Project Status Update)	Six monthly	Verbal via Registrars feedback and meeting minutes
Sponsor Group	Sponsor Group Committee Members	Project Manager	Verbal, Written (Project Managers Report)	Six weekly	Verbal via members feedback and Meeting Minutes
Project Team	Project Meeting	Project Manager	Verbal, Written (Project Managers Report)	Three weekly	Verbal via members feedback and Meeting Minutes
Project Management	Update Meeting	Project Manager Director – Projects Office	Verbal	Weekly	Verbal at Meeting
	Three Way Meeting	Project Manager Project Manager – Application Development Assistant Director IT Applications Development	Verbal	Weekly	Verbal at Meeting
	Four Way Meeting	Project Manager Director – Projects Office Assistant Director IT Applications Development Director Information Technology	Verbal	Two weekly	Verbal at Meeting
Activity Centre/ Business Owners	Project Briefing	Project Manager	Verbal, with Supporting relevant project documents (e.g. ToR)	Six monthly	Verbal at Meeting

Audience	Event	Communicator	Channel	Timing	Feedback Mechanism
	Software Development Updates and Approval	Business Analysts	Verbal, with Supporting relevant project documents (e.g. Scope, Specification, Testing)	Periodic	Verbal, plus via supporting documents
Academic Directors	Project Briefing	Project Manager	Verbal, with Supporting relevant project documents	Periodic	Verbal at Meeting
Business Analysts	Project Progress Update Meeting	Project Manager	Verbal	Weekly	Verbal at Meeting
	Heads Up Meeting	Project Manager – Application Development	Verbal	2 Daily	Verbal at Meeting
	Project Office Meeting	Project Director	Verbal	Monthly	Verbal at Meeting
Programmer Analysts	Heads Up Meeting	Project Manager – Application Development	Verbal	2 Daily	Verbal at Meeting
	Project Office Newsletter/ Web site	Project Manager	Electronic	Monthly	Electronic Feedback Form
All SMS Users	Project Status Email	Project Manager	Electronic	Periodic	Email Electronic Feedback Form Evaluation forms
	Project Office Newsletter/ Web site	Project Manager	Electronic	Monthly	
	User Training	Business Owner	Face to Face	Periodic	

Communication Calendar

The following calendar identifies the communication events that occur for each month of the project.

Month	Event	Audience
May	Discussion on systems criteria	Project Control Group
June	Discussion on business and system requirements feedback and systems for demonstration day	Risk Manager
June	Final business and system requirements emailed	Project Control Group, Risk Manager, Director ITS and Organisational Development
June	Discussion on Selection Criteria for demonstrations of systems	Project Control Group
June	Demonstration of Research Master and Contract Assistant – Enterprise Version with Blueridge	Project Control Group
June	Discussion on business and system requirements feedback and systems for demonstration day	Risk Manager
June	Final business and system requirements emailed	Project Control Group, Risk Manager, Director ITS and Organisational Development
June	Discussion on Selection Criteria for demonstrations of systems	Project Control Group
June	Demonstration of Research Master and Contract Assistant – Enterprise Version with Blueridge	Project Control Group
July	Discussion of demonstration outcome	Project Control Group
July	Email to Research Master requesting estimate of modifications	Research Master
July	Meeting to discuss Massey University requirements for Research Master from an IT perspective	Systems Specialist (Administration)
July	Discussion on outcome of demonstrations and commencement of processes	Risk Manager
July	Meeting to discuss process documents	User community
July	Discussion on draft processes and screen shots of system	Project Control Group
July	Discussion on draft processes and screen shots of system	Risk Manager

Communication Instruments

The purpose of this section is to outline the contents of key communications instruments and meetings.

<p>Council Report Progress against Business Case objectives and milestones.</p> <p>Vice Chancellors Executive Committee Report Progress against Business Case objectives and milestones.</p> <p>Sponsor Group Meeting Review Minutes Review Action Register Review Project Managers Report Discuss Project Problems and Issues. Review Policy Recommendations Approval of Project Charter and Framework.</p> <p>Project Team Meeting Review Minutes Review Action Register Review Project Managers Report Discuss Project Problems and Issues. Review Communication Plan Review upcoming project activities. Provide feedback from key stakeholders.</p> <p>Project Managers Report Project Vision, Goals, Objectives, KPIs. Project Status Progress Against Milestones Key points since last report. Project Costs – Budget vs Actual Risk Report Issues Report Change Request Report Communication Log Training Log Testing Log Quality Plan Checklist Register of Changes Sponsored by External and Executive Stakeholders. Resource Deployment</p>	<p>Update Meeting Work in Progress Project Resourcing</p> <p>Three Way Meeting Development Status Update</p> <p>Four Way Meeting Project Resourcing Development Status Update ITS and Project Office Effective Coordination Project Briefing Project Framework Project Timelines Project Progress against Plan Implementation Plans</p> <p>Software Development Updates Project Progress against Plan Scope Documentation Specification Documentation Testing Documentation Implementation Documentation</p> <p>Project Progress Update Meeting Work in progress update Issue resolution Task to be undertaken in next week Progress against project plan</p> <p>Heads up meeting Who is currently working on what</p> <p>Project Office Meeting Project Status Updates Who is currently working on what</p> <p>Project Office Newsletter/Web Site Project Status Key Project Decisions Frequently Asked Questions</p> <p>Project Status Email Update on progress and plans of the Project. Upcoming Project Activities Training Plans Implementation time frames</p>
--	--

Communication Principals

From project team experience and from communications best practices, a number of common principles emerge which should be followed to ensure successful communication. These have been used in defining the Communication Plan to support the Project. They are described in the following table.

Principle	Reason
Credibility	Without a credible communication approach or credible communicators, individuals will simply not believe in the end goal.
To involve not inform	Promotes ownership of the program, feeling a necessary part of the program
Communicators whom people trust/respect	If the staff does not trust or respect the communicators, the messages 'fall on deaf ears'.
Visible management support	Active management commitment gives credibility to communication. Must be seen to demonstrate support.
Face-to-face communication	Audience is involved, communication is two-way and provides a feedback mechanism.
To avoid information 'overload'	Too much information leads to confusion and irritation. Accurate and timely information is key.
Consistent messages	Inconsistency loses credibility in the program. Without consistency, audiences are confused and frustrated about what to expect.
To repeat messages and vary mechanisms	The more ways a message can be communicated, the more likely it is to be internalized. Using different mechanisms ensures repetition without individuals 'switching off'.
To create demand: Encouraging team to pull for information, rather than management pushing it at them.	Ensures buy-in to the change.
Tailor communication to audience needs: Give information which audience wants, not what you want to tell	Makes information 'real' to the audience. The audience is more likely to listen if the information is pertinent to their current frame of reference.
Central co-ordination	Ensures consistent approach.
Manage expectations	Encourages audience to believe in what you to tell them. Preparing shows you understand their needs.
Listen and act on feedback	Encourages support in the approach by being responsive to the needs of the audience. Ensure approach meets changing audience needs.

1.14 Quality Assurance Plan Example

Introduction

Purpose

This plan has been developed to ensure that Quality is managed effectively throughout the project, and provide assurance that the project will meet quality standards. This Quality Assurance Plan describes the strategy and methods the project will deploy to ensure:

- That the project is being managed, developed, and deployed in a sound, reasonable way.
- That the project's deliverables are of acceptable quality before they are delivered to the project's clients.
- That the deliverables will do what the users expect.

Audience

This document supports the Project Team and Sponsor Group.

Assumptions

This document assumes that the reader is familiar with the concepts of Quality Assurance and Quality Control.

Associated Documents

This document should be read in conjunction with the Project Terms of Reference.

Definitions

The following definitions apply to this document:

<Enter text>

Quality Assurance Plan

Quality standards

The project will incorporate standards from the following sources:

<Enter Text>

Quality assurance

The following activities will ensure satisfying the meeting the project management standards:

- Approval of the Project Plan by the Project Sponsor Group
- Sign-off of changes to the Project Plan by the Project Sponsor Group
- Full testing of the project deliverables
- Sign-off of the deliverables by identified stakeholders
- Project status reports for presentation to the Project Sponsor Group
and for placement on the web site
- Post Implementation Review

Quality Control

Activity	Measure	Possible Rectification
Reports	Sign-off by stakeholder	Amend report as required
Quality of system	User Acceptance Testing	Errors log
Training	Evaluations completed by participants	Additional training
Complete system	Sign-off by stakeholders	Rework

Resources Required

Roles and Responsibilities

Timeline of Quality Activities

1.15 Implementation Plan Example

Introduction

Purpose

The purpose of this plan is to determine how the deliverables of the Contract Management project will be implemented into the operational areas. It focuses on process, culture and training, and does not include the details of any technical implementations. This plan describes the steps necessary to turn the project's product or service over to the business unit and production support staff. The plan assures that all of the necessary steps are identified and that each of these steps has resources assigned to them.

Audience

This document is intended for the Project Team and the Sponsor Group.

Associated Documents

This plan should be read in conjunction with the Training Plan and the Communication Plan for this project.

Definitions

The following definitions apply to this document:

Change:

Implementation:

Business process:

Implementation Plan

What is being implemented?

<Description of the change that is taking place. What is in scope and what is not.>

A new Contract Management System will replace the current process. It is for University contracts that are not research or employment.

Who is affected?

<List of affected parties>

Risk Manager, Contract Managers, staff who manage contracts that are currently not visible to central management.

General timing of change

<Windows of opportunity, no-go dates, other events etc>

As the current system is not working correctly, nothing is being done in this area. As the staff affected are not involved in student activity, the only busy time is year end processing in Dec/Jan. It is recommended that May/June/July is the best time for a launch of the new system.

Expected Process change

<Describe any changes to process or procedures expected to be affected by the implementation eg: new system will require people to use Windows instead of command lines, printing will now be on A4 rather than lineflow etc. Include as many details as are known at this stage.>

Staff will need to learn the new system. They will also have to be able to scan documents into the Document Management System. This will increase their administration in the short term, but they should be able to see the benefits when they want to report on their contracts.

Change analysis

Level of change

The impact needs to be determined using the number of people involved, the amount of time they spend working with the new implementation and the degree of change that is proposed.

Amount of time & degree of change	Number of people affected			
	0-10	11-100	101-500	Everyone
< 2 hours/week with little change	Minor	Minor	Minor	Minor
< 2 hours/week with some differences	Minor	Minor	Minor	Minor
< 2 hours/week with significant difference but familiar	Minor	Minor	Moderate	Moderate
< 2 hours/week with complete difference	Minor	Moderate	Major	Major
2-10 hours/week with little change	Minor	Minor	Minor	Minor
2-10 hours/week with some differences	Minor	Minor	Minor	Moderate
2-10 hours/week with significant difference but familiar	Moderate	Moderate	Moderate	Major
2-10 hours/week with complete difference	Major	Major	Major	Major
10-20 hours/week with little change	Minor	Minor	Minor	Minor
10-20 hours/week with some differences	Minor	Moderate	Moderate	Moderate
10-20 hours/week with significant difference but familiar	Moderate	Major	Major	Major
10-20 hours/week with complete difference	Major	Major	Major	Major
> 20 hours/week with little change	Minor	Minor	Minor	Minor
> 20 hours/week with some differences	Minor	Moderate	Moderate	Major
> 20 hours/week with significant difference but familiar	Moderate	Major	Major	Major
> 20 hours/week with complete difference	Major	Major	Major	Major

The number of people affected is expected to be around 20

The amount of time they spend on average would be < 2 hours per week

The degree of change is significant but familiar

Therefore the level of change for contract managers is expected to be Minor.

Impact of change

<Will the change have a perceived positive or negative impact on affected people? Is this change as a result of users identifying a problem, or management strategy.

Discuss net impact of change – level of impact and type of impact to get an overview of whether this change will fit easily with the current culture or encounter resistance. >

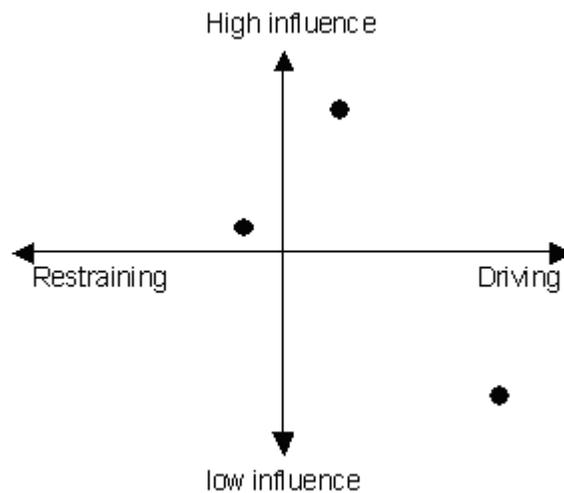
The impact of this change is expected to be positive. The change is driven by the user group, and has been instigated to solve a problem of lack of reporting on contracts. There will be some that feel that their current spreadsheets are working “just fine”, but they are a minority group.

Plan for culture change

Stakeholder analysis

<Identify the people and organisations that may be able to significantly influence the implementation and its success, as well as those directly affected by the implementation.>

Analyse the positions (including values and expectations) of key stakeholders. You may wish to use the diagram below to plot stakeholders by their level of influence and support for the change.>



Document your strengths and weaknesses in managing key stakeholders

Stakeholders	Their views in respect of the change	Your strengths in managing these views	Your vulnerabilities with reference to these views
Risk manager	Keen to see implemented. Needs to have visibility of all contracts in the University that may place the University at risk	No need to manage	None
Contract Managers	Mostly keen. Easier access to information, and automated workflow in renewals etc	Tools speaks for itself. Once demonstrated and implemented it is expected that the final few will appreciate the change	If implementation is not "perfect" we may lose the people who didn't really want it anyway.
Contract Administrators	Keen – current workarounds are unwieldy and time consuming	No need to manage	None
Other system users	Mostly research area – not so keen, as a potential for conflicts of interest when using common screens	Building relationships with staff involved to enhance collegial rather than adversarial activity.	They have the main system, and therefore final say in any disputes. If negotiation fails, it could be difficult

Sphere of influence analysis

<People who resist change are generally only resisting because of the barriers they feel exist within their current work environment. Most often they can be convinced of the benefits of a change if a person and/or people within their 'sphere of influence' can expose them to those benefits.

Analyse the key stakeholder group and identify those groups who may be positive about change that are within the target groups' sphere of influence.>

Not necessary in this instance, as there is general agreement as to the change.

Force field analysis – what are facilitators and barriers

<All changes have positive and negative factors, use a force field analysis to identify the facilitators and barriers to change and judge how you might be able to strengthen the facilitators and lessen the barriers to overcome the inertia associated with the status quo.>

Not necessary in this instance, as there is general agreement as to the change.

Identify potential change agents

<Look at ways these people can assist the project. Offer training in change management and get them involved in the project.

Change agents come in all shapes and sizes, do not be afraid to identify people who might be supporting the existing system/process. Often they are the best change agents.>

Key Contract Managers

Risk Manager

Key Contract Administrators

Influential research person (other user group)

Documentation required

<What documentation will be needed to support the change? User manuals? Guides? Process documentation? >

User guides will be created, along with process documentation. Contract cover sheets will have to be revised.

After implementation support

<What happens when the project has gone? Will existing support structures support the change, or will new ones be required? What are the resourcing implications? Do the existing support people know about the change? Are they trained? How will change requests (rather than requests for help) be actioned?>

A key Risk Management team member will be trained as the “Super User” to assist with support after the implementation. There will also be technical support from the main systems administrator.

Transition arrangements

<Will the change be “cold turkey” or will some transitional arrangements occur as the change is made. Detail what these arrangements might be and how they will be managed, funded, supported etc.>

As there is no real system currently in place, when the legacy data is loaded, we will begin to load contracts and systematically get contract managers to do the same until the system becomes fully live.

Summary Action Plan

<Timeline of expected events based on all of the above. Link to Communication plan and Training plan for details, rather than repeat it all here>

Activity	Date	Responsible	Resources required	Documentation
Training as per plan	May	Vendor	Risk Team	User guide Process documentation
Legacy data loaded	May	Vendor	ITS	Data
Communication as per plan	April/May	PM		Status updates
System live	June	ITS/Vendor	All affected staff	Install notes

1.16 Project Management Plan Example

Introduction

Purpose

The purpose of this document is to provide an overview of how the Contract Management System project will be structured and managed. It provides the framework for where the detailed aspects of the project are determined, coordinated, and documented.

Audience

The intended audience is the project team and the following identified stakeholders:

- Massey Staff - Contract Managers/Administrators
- Project Sponsor Group
- Project Control Group

Assumptions

The creation of this document assumes the following:

1. That all parties understand how the current System operates within the University.
2. That all parties are familiar with Massey University's project methodology.

Associated documents

The Contract Management Project Terms of Reference are to be read in conjunction with this document.

Background

The Contract Document Management System (CDMS) has been operational within the University since August 2001. The CDMS was developed out of the Document Management System (DMS) by ITS to meet the original user specifications documented by the former Contracts office. From December 2002 the Projects Office has been managing this system. The process to date involves receiving of contracts, scanning them into the CDMS, entering data for reporting purposes and sending reports to Contract Managers on a monthly basis.

This system provides limited access and functionality to users. Currently we are unable to monitor the status of contracts and it does not provide the necessary management reporting.

The University has undertaken to investigate a new Contract Management System in order to effectively manage contracts entered into by the University.

Key changes since the Business Case/TOR

No changes have occurred since the Business Case was approved by Council.

Objectives

- To enable the effective monitoring of contracts, including status and expiry date for renegotiation
- To enable management reporting of contracts to reduce the risk to the University of potential damage
- To have a central repository of contracts in the University for easy access and maintenance.

Scope

In Scope

1.	To document the business, user and system requirements of a new Contract Management System at Massey University
2.	To identify and document options for the purchasing/developing of a system that recognises the needs of the University.
3.	To purchase a new Contract Management System.
4.	To implement the new Contract Management System within the University environment.
5.	To document the Contract Management process for the University.

Outside Scope

1.	Research Contracts
2.	Employment Contracts

Scope Management

Once the project deliverables have been fully identified, the change management process will apply (see section 7.5)

Assumptions, Constraints & Dependencies

Assumptions

1.	That there is a system capable of delivering all that is required.
2.	That the operational areas involved fully support the project and are keen to reach a successful conclusion.
3.	That ITS will take over the support of the system after an appropriate handover.
4.	Resources, once negotiated and agreed, will remain stable and staff will not be assigned to other tasks or projects.

Constraints

1.	There is a total budget of \$100,000,000 to manage this project.
2.	The expected timeframe for this project is the end of December 20XX.

Dependencies

1.	Dependence on the vendor to deliver a final product and provide the correct advice.
2.	ITS can find a suitable platform for the system to operate from.

Project Structure

Organisation

Project Sponsor group

Purpose:

To direct and establish goals and deliverables, prioritise outputs against business strategy, approve recommendations and monitor progress, assist with problem/issue resolution, assist with communication of the project deliverables

Who:

University Registrar, Director, Information Technology Services and Organisational Development, Risk Manager and Director, Projects Office.



Project Management

Purpose:

To facilitate and support achievement of project goals and deliverables

Who:

Project Leader



Project Control Group

Purpose:

To design, develop and implement project deliverables

Who:

XXXXXXXXXXXXXXXX

Ad hoc:

Others on an as required basis

Roles & Responsibilities

<p>Project Sponsors – <Joe Bloggs, Mary Bloggs></p>	<ul style="list-style-type: none"> ▪ Chief champion of the project ▪ Have accountability for the project and ownership of entire project ▪ Provide overview and direction for the project ▪ Chair the project steering committee ▪ Advocate the project internally and externally ▪ Facilitate and support policy and funding recommendations ▪ Help anticipate and prepare for cultural, business, and technological impacts of the transition to xxx ▪ Provide advice and guidance to the project manager & project team ▪ Monitor the project budget ▪ Sign off/acceptance capability ▪ Final acceptance responsibility ▪ Manage escalated risks and issues ▪ Sign off and review of project components
<p>Project Manager – <Joe Bloggs></p>	<ul style="list-style-type: none"> ▪ Prepare and present business case ▪ Project planning (timelines, resources, scope, budget) ▪ Manage and direct project activities, including project documentation, resources and timelines ▪ Liaison to project sponsors and stakeholders ▪ Project communication and management of expectations ▪ Support of project team ▪ Create, update and distribute project plan ▪ Create weekly Status Report ▪ Issue resolution and escalation ▪ Implement and monitor change control
<p>IT Project Manager – <Joe Bloggs></p>	<ul style="list-style-type: none"> ▪ Prepare and present business case ▪ Project planning (timelines, resources, scope, budget) ▪ Manage and direct project activities, including project documentation, resources and timelines ▪ Liaison to project sponsors and stakeholders ▪ Project communication and management of expectations ▪ Support of project team ▪ Create, update and distribute project plan ▪ Create weekly Status Report ▪ Issue resolution and escalation ▪ Implement and monitor change control

Project Approach

After the Terms of Reference have been signed off a Project Control Group meeting will be held in order to determine the first steps to get the project underway.

Lifecycle

	1 st Quarter	2 nd Quarter	3 rd Quarter	4 th Quarter	1 st Quarter
	MILESTONE 0 Project Approval	MILESTONE I Proof of concept	MILESTONE II Development Approval	MILESTONE III Production Approval	MILESTONE IV Implementation and Handover

Resources

Staffing plan

Role	Staff Member	Start Date	End Date	Reporting To
IT Support		Today	Later	
Testing		Tomorrow	Soon	
Integration of existing data	Extra resource	Later	Much later	

<Also enter extra information about staffing if necessary>

Controlling & Executing

Schedule

Gantt chart

The Gantt chart will be updated and reported against baseline every month. This is attached as Appendix 1.

Milestones

ID	Milestone	Description	Due Date	Assigned To
1.	Terms of Reference		February	
2.	Investigate Market and Possible Suppliers		March	
3.	Business and User Requirements		April	
4.	Business case		June	
5.	Project Management Plan		July	
6.	Process developed		August	
7.	Purchase and Implementation of System		November	
8.	Handover – functional handover to Risk Manager - operational handover to ITS		December	

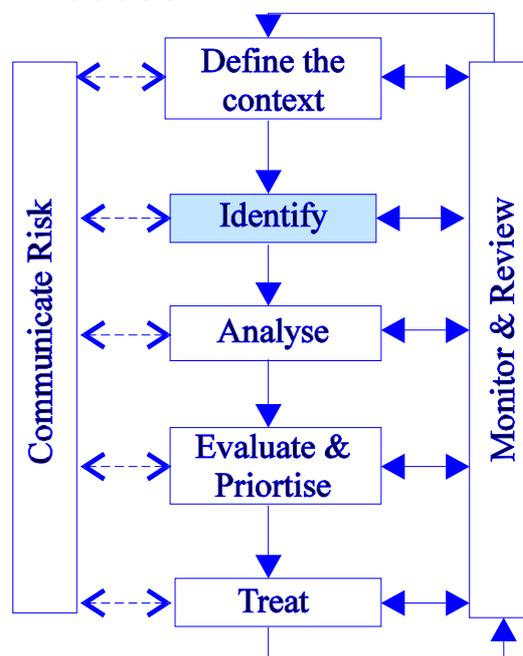
Risk Management

The project risk management process is based on the Massey University Risk Management policy and framework.

The risk management process comprises three process steps:

Risk Identification
Risk Assessment
Risk Treatment

Risk Management Process



Risk Management Roles

Risk Originator	Documents the risk as clearly and completely as possible Submits risk form to project manager
Project Manager	Tracks status of Risk in the Risk register Clarifies risk if necessary Transfers risk to Issues register if the risk is realised Makes necessary updates to project plan Monitor and reports on risk status and management Keeps risk originator apprised of risk status
Business Analyst	Researches and clarifies risk as needed Identifies alternative mitigation strategies and/or contingency plans. Makes recommendation Liaison with key stakeholders (e.g. ITS) on the impact and possible solutions
Project Control Group	Reviews risk, impact analysis and recommendation Either approves the mitigation strategy and/ or contingency plans Ensures any required additional resources are available

Risk Register

The following is an extract from the University's Risk manager Handbook relating to the classification of risks.

Raw Risk level

Likelihood	Consequences				
	Insignificant 1	Minor 2	Moderate 3	Major 4	Catastrophic 5
A (certain)	H	H	E	E	E
B (likely)	M	H	H	E	E
C (possible)	L	M	H	E	E
D (unlikely)	L	L	M	H	E
E (rare)	L	L	M	H	H

E *extreme risk* – immediate executive action required.
H *high risk* – senior management attention needed
M *moderate risk* – management responsibility must be specified
L *low risk* – manage through routine procedures

Effect of Controls on Risks

If the resultant risk is consider Low, no further action is required, and can be noted as Accepted.

Control	Level of Raw Risk			
	Extreme Risk	High Risk	Moderate Risk	Low Risk
Excellent	L	L	L	L
Good	L	L	L	L
Adequate	M	M	L	L
Inadequate	E	H	M	L
Non-existent	E	H	M	L

The table that follows evaluates this project risk in relation to the above classifications.

Risk Register								
No	Risk Name	Owner	Consequence	Likelihood	Raw Rating	Control mechanisms and weighting.	Effect of control on risk weighting	Treatment and Activity log
1	That the reporting accuracy and ability to retrieve information may be compromised if all existing contracts are not included, have incorrect or incomplete data within the current Contract Document Management System.	PM	Moderate	Likely	High	Internal audit of current system. Verification from Contract Managers	Medium	Added audit task to Project
2	Future contracts may be managed outside of the reporting system due to the fact that staff could be unaware that the new Contract Management System has been implemented and continue managing their own contracts on an ad hoc basis.	PM	Moderate	Possible	High	Training and Communication Plan	Low	Risk Manager to communicate to the University
3	Delivery in timeframe could be affected by	PM	Minor	Unlikely	Low	Correct Budget Project Control function	Low	None required at this stage

Risk Register								
No	Risk Name	Owner	Consequence	Likelihood	Raw Rating	Control mechanisms and weighting.	Effect of control on risk weighting	Treatment and Activity log
	scope creep.							
4	That the full set of requirements is not met due to software application restrictions.	PM	Moderate	Possible	High	Software specifications	Low	Awaiting feasibility study
5.	Budget over run due to extra resourcing or a more expensive system.	PM	Moderate	Possible	High	Change management	Low	None required at this stage
6.	A complete list of user requirements may not be obtained from users.	PM	Moderate	Unlikely	Medium	Consultation process and stakeholder analysis	Low	Reconfirmation of requirements once completed

Quality Management Plan Summary

Quality Standards

The project will incorporate standards from the following sources:

MU Contract Legal Compliance 1.7B

Quality Assurance

The following activities will ensure satisfying the meeting the project standards:

Peer review of critical documents - Projects Office and Project Control Group
Approval of the Project Plan by the Project Sponsor Group
Sign-off of changes to the Project Plan by the Project Sponsor Group
Sign-off of the system by the Project Sponsor Group
User acceptance testing
Project status reports for presentation to the Project Sponsor Group and for placement on the web site

Quality Control

Activity	Measure	Possible Rectification
Processes	Sign-off by stakeholder	Amend as required
Reports	Sign-off by stakeholder	Amend report as required
Quality of system	User Acceptance Testing	Errors log
Training	Evaluations completed by participants	Additional training
Complete system	Sign-off by stakeholders	Rework

Quality Register

A quality register will be held by the Project Manager to record quality activities.

Communication Plan Summary

Stakeholder Analysis

Stakeholder group	Participants	Potential Impact	Stakeholder contribution	Stakeholder interests & expectations
Project Sponsors	As per list	High	Direction to the project	Deliverables completed
PCG	As per list	High	Direction to the project	Deliverables completed
Contract Managers		High	Operational Expertise	Improved System
Contract Management System Administrators		High	Operational Expertise	Improved System
Risk Manager	Anne Walker	High	Business Process Owner	Improved System

Communication Plan

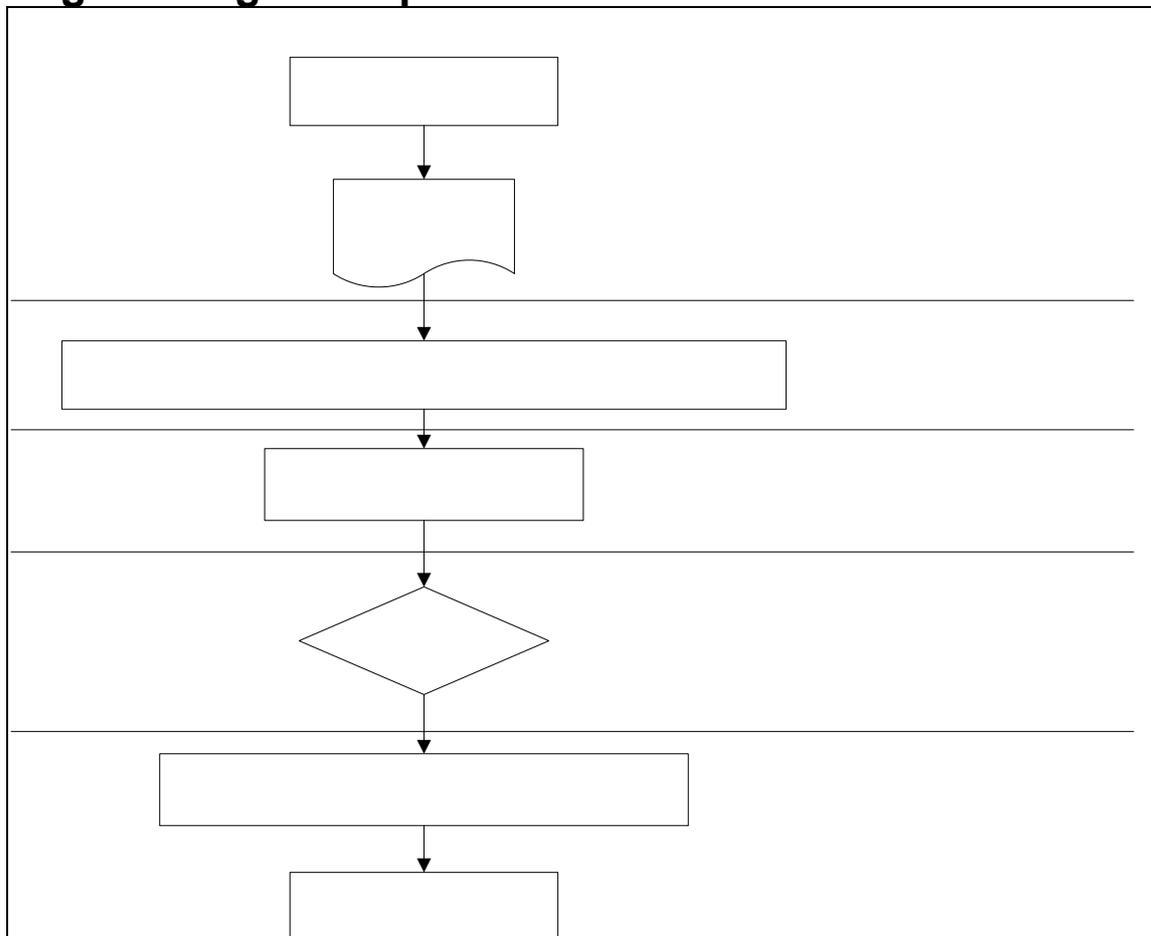
Stakeholders	Message and Method	Timing	Assigned To
Project Sponsors	Update meeting	On an ad hoc basis	PM
PCG	Update meeting	Monthly - extra as required	PM
ITS	Update and issue collection	As required	PM
Risk Manager	Update meeting	Fortnightly	PM
User Community	1 st email from Risk Manager at approval of the Business Case. Thereafter, update email	Monthly	PM

Change management

The objectives of the change management procedure are:

- To manage each request for change to ensure that the scope of the project is kept under control
- To ensure each request for change is assessed by key project players
- To allow each change to be accepted (or rejected or deferred) with the appropriate authority
- To enable the orderly implementation of each accepted change
- To allow the impact of all changes to be understood and managed
- To allow small changes to be managed with the minimum of overhead

Change management procedure



Change Management roles

Requester	<ul style="list-style-type: none"> • Documents the request as clearly and completely as possible on the Change Request Form • Submits request to project manager
Project Manager	<ul style="list-style-type: none"> • Tracks status of change request in the Change Request register • Clarifies change request if necessary • Sends request for impact analysis to analyst • Forwards change request, impact analysis and recommendation to project sponsor / project control group • Makes necessary updates to project plan • Keeps requester apprised of request status • Approves low impact requests
Business Analyst	<ul style="list-style-type: none"> • Researches and clarifies request as needed • Liaison with key stakeholders on the impact and possible solutions. • Identifies alternative solutions • Makes recommendation • Estimates time and resources required to add the change to the project's scope • Identifies where added tasks fit into project plan • Updates Change Request Form with impact analysis • Sends updated Change Request Form to project manager • Updates Functional and Application Specifications
Project Control Group	<ul style="list-style-type: none"> • Reviews change request, impact analysis and recommendation • Either approves the request, denies the request or places the request on hold • Ensures any required additional resources are available

Change Register

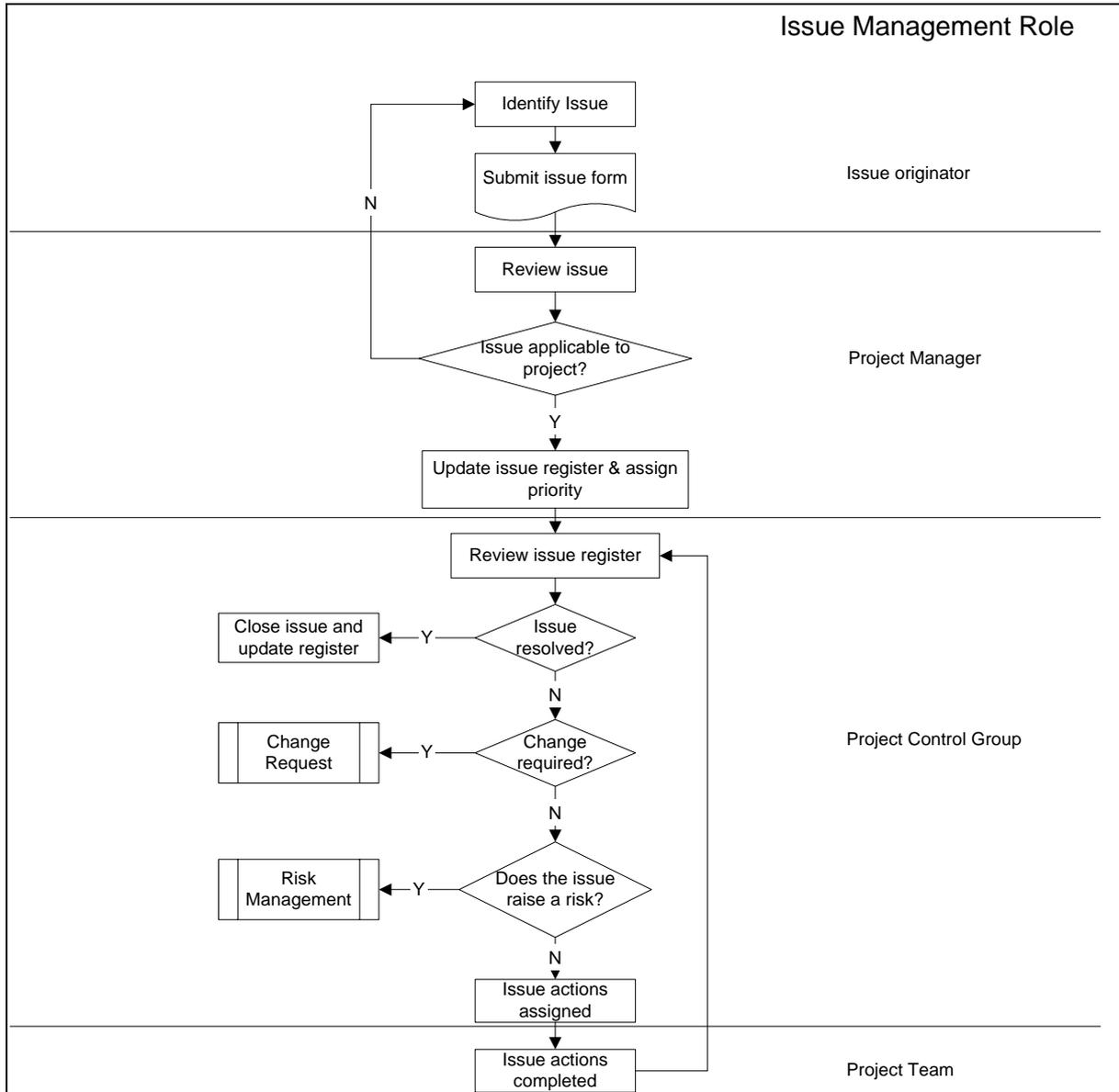
<Link to separate change register>

Issue management

The primary goals of an Issue Management Plan are to ensure that:

- Issues are identified, evaluated and assigned for resolution.
- Issue resolutions determined to impact the scope, schedule, or quality of the project will go through the change management process.
- Issue resolutions or decisions are documented and communicated to all affected parties.

Issue management procedure



Issue management roles

Issue Originator	<ul style="list-style-type: none"> • Documents the issue as clearly and completely as possible on the Issue Form • Submits issue form to project manager
Project Manager	<ul style="list-style-type: none"> • Tracks status of issue in the Issue Log • Transcribes issue onto Issue Form if necessary • Clarifies issue if necessary • Sends issue for impact analysis to analyst • Forwards issue, impact analysis and recommendation to project sponsor • Makes necessary updates to project plan • Keeps issue originator apprised of issue status • Approves low impact resolution recommendations
Business Analyst	<ul style="list-style-type: none"> • Researches and clarifies issue as needed • Liaison with key stakeholders (e.g. ITS) on the impact and possible solutions • Identifies alternative resolutions • Makes recommendation • Estimates time and resources required to resolve the issue • Identifies where added tasks fit into project plan • Updates Issue Form with impact analysis • Sends updated Issue Form to project manager • Updates Functional and Application Specifications as necessary
Project Control Group	<ul style="list-style-type: none"> • Reviews issue, impact analysis and recommendation • Either approves the resolution, denies the resolution or places the resolution on hold • Ensures any required additional resources are available

Issues register

This register is currently empty and is held by the Project Manager

Budget control

There is a total budget of \$100,000,000 for the purchase and implementation of a Contract Management System. This cost will also include extra resource to integrate the existing data from CDMS into the new system. A breakdown of costs will be included once the RFP process has been completed.

Testing Plan Summary

See Master Test Plan for full details

Test	Who	Date
Function	All	May
Process	All	May
Legacy	Heidi	May

Prerequisites

Data: Configuration of all Fields with Research Services must be completed prior to the testing of this system.

Hardware: Test Server

Software: RIMS Test Database

Location: At people's desks

Staffing and Training: The following staff have been identified as testers for the Contract Management System and will require training on its features:

- Heidi– Resource to update the system once the legacy data from DMS has been transferred.
- Rae – Overall Contracts Administrator
- Bill – Contract Manager
- Tony – Contract Manager

Training Plan Summary

See training plan for full details

Audience	Training	Training Resource	Timeframe	Environment / location
Testing staff	User	Guide	May	On the job
Risk team	Super User	Guide	May	On-the-job
Contract Managers	User	Guide	June	On-the-job
Other staff	User	Guide	As required	On-the-job

1.17 System User Requirements Example

Introduction

Purpose

<Identify the product whose software requirements are specified in this document, including the revision or release number. Describe the scope of the product that is covered by these System User Requirements, particularly if these System User Requirements describe only part of the system or a single subsystem.>

Audience

<Describe the different types of reader that the document is intended for, such as developers, project managers, marketing staff, users, testers, and documentation writers. Describe what the rest of these System User Requirements contain and how they are organized. Suggest a sequence for reading the document, beginning with the overview sections and proceeding through the sections that are most pertinent to each reader type.>

Assumptions

Associated Documents

<List any other documents or Web addresses to which these System User Requirements refer. These may include user interface style guides, contracts, standards, system requirements specifications, use case documents, or a vision and scope document. Provide enough information so that the reader could access a copy of each reference, including title, author, version number, date, and source or location.>

.Document Conventions

<Describe any standards or typographical conventions that were followed when writing these System User Requirements, such as fonts or highlighting that have special significance. For example, state whether priorities for higher-level requirements are assumed to be inherited by detailed requirements, or whether every requirement statement is to have its own priority.>

Project Scope

<Provide a short description of the software being specified and its purpose, including relevant benefits, objectives, and goals. Relate the software to corporate goals or business strategies. If a separate vision and scope document is available, refer to it rather than duplicating its contents here. System User Requirements that specify the next release of an evolving product should contain their own scope statement as a subset of the long-term strategic product vision.>

Overall Description

Product Perspective

<Describe the context and origin of the product being specified in these System User Requirements. For example, state whether this product is a follow-on member of a product family, a replacement for certain existing systems, or a new, self-contained product. If the System User Requirements define a component of a larger system, relate the requirements of the larger system to the functionality of this software and identify interfaces between the two. A simple diagram that shows the major components of the overall system, subsystem interconnections, and external interfaces can be helpful.>

Product Features

<Summarize the major features the product contains or the significant functions that it performs or lets the user perform. Details will be provided in Section 3, so only a high level summary is needed here. Organize the functions to make them understandable to any reader of the System User Requirements. A picture of the major groups of related requirements and how they relate, such as a top level data flow diagram or a class diagram, is often effective.>

User Classes and Characteristics

<Identify the various user classes that you anticipate will use this product. User classes may be differentiated based on frequency of use, subset of product functions used, technical expertise, security or privilege levels, educational level, or experience. Describe the pertinent characteristics of each user class. Certain requirements may pertain only to certain user classes. Distinguish the favoured user classes from those who are less important to satisfy.>

Operating Environment

<Describe the environment in which the software will operate, including the hardware platform, operating system and versions, and any other software components or applications with which it must peacefully coexist.>

Design and Implementation Constraints

<Describe any items or issues that will limit the options available to the developers. These might include: corporate or regulatory policies; hardware limitations (timing requirements, memory requirements); interfaces to other applications; specific technologies, tools, and databases to be used; parallel operations; language requirements; communications protocols; security considerations; design conventions or programming standards (for example, if the customer's organization will be responsible for maintaining the delivered software).>

User Documentation

<List the user documentation components (such as user manuals, on-line help, and tutorials) that will be delivered along with the software. Identify any known user documentation delivery formats or standards.>

Assumptions and Dependencies

<List any assumed factors (as opposed to known facts) that could affect the requirements stated in the System User Requirements. These could include third-party or commercial components that you plan to use, issues around the development or operating environment, or constraints. The project could be affected if these assumptions are incorrect, are not shared, or change. Also identify any dependencies the project has on external factors, such as software components that you intend to reuse from another project, unless they are already documented elsewhere (for example, in the Business Requirements or the project plan).>

System Features

<This template illustrates organizing the functional requirements for the product by system features, the major services provided by the product. You may prefer to organize this section by use case, mode of operation, user class, object class, functional hierarchy, or combinations of these, whatever makes the most logical sense for your product.>

System Feature 1

<Don't really say "System Feature 1." State the feature name in just a few words.>

Description and Priority

<Provide a short description of the feature and indicate whether it is of High, Medium, or Low priority. You could also include specific priority component ratings, such as benefit, penalty, cost, and risk (each rated on a relative scale from a low of 1 to a high of 9).>

Stimulus/Response Sequences

<List the sequences of user actions and system responses that stimulate the behaviour defined for this feature. These will correspond to the dialog elements associated with use cases.>

Functional Requirements

<Itemize the detailed functional requirements associated with this feature. These are the software capabilities that must be present in order for the user to carry out the services provided by the feature, or to execute the use case. Include how the product should respond to anticipated error conditions or invalid inputs. Requirements should be concise, complete, unambiguous, verifiable, and necessary. Use "TBD" as a placeholder to indicate when necessary information is not yet available.>

<Each requirement should be uniquely identified with a sequence number or a meaningful tag of some kind.>

REQ-1:

REQ-2:

System Feature 2

<It is expected there will be more than one System Feature required. For each System Feature follow the format of 5.1 System Feature 1 above.>

External Interface Requirements

User Interfaces (conceptual)

<Describe the logical characteristics of each interface between the software product and the users. This may include conceptual sample screen images, any GUI standards or product family style guides that are to be followed, screen layout constraints, standard buttons and functions (e.g., help) that will appear on every screen, keyboard shortcuts, error message display standards, and so on. Define the software components for which a user interface is needed. Details of the user interface design should be documented in a separate user interface specification.>

Hardware Interfaces

<Describe the logical and physical characteristics of each interface between the software product and the hardware components of the system. This may include the supported device types, the nature of the data and control interactions between the software and the hardware, and communication protocols to be used.>

Software Interfaces

<Describe the connections between this product and other specific software components (name and version), including databases, operating systems, tools, libraries, and integrated commercial components. Identify the data items or messages coming into the system and going out and describe the purpose of each. Describe the services needed and the nature of communications. Refer to documents that describe detailed application programming interface protocols. Identify data that will be shared across software components. If the data sharing mechanism must be implemented in a specific way (for example, use of a global data area in a multitasking operating system), specify this as an implementation constraint.>

Communications Interfaces

<Describe the requirements associated with any communications functions required by this product, including e-mail, web browser, network server communications protocols, electronic forms, and so on. Define any pertinent message formatting. Identify any communication standards that will be used, such as FTP or HTTP. Specify any communication security or encryption issues, data transfer rates, and synchronization mechanisms.>

Other Nonfunctional Requirements

Performance Requirements

<If there are performance requirements for the product under various circumstances, state them here and explain their rationale, to help the developers understand the intent and make suitable design choices. Specify the timing relationships for real time systems. Make such requirements as specific as possible. You may need to state performance requirements for individual functional requirements or features.>

Safety Requirements

<Specify those requirements that are concerned with possible loss, damage, or harm that could result from the use of the product. Define any safeguards or actions that must be taken, as well as actions that must be prevented. Refer to any external policies or regulations that state safety issues that affect the product's design or use. Define any safety certifications that must be satisfied.>

Security Requirements

<Specify any requirements regarding security or privacy issues surrounding use of the product or protection of the data used or created by the product. Define any user identity authentication requirements. Refer to any external policies or regulations containing security issues that affect the product. Define any security or privacy certifications that must be satisfied.>

Software Quality Attributes

<Specify any additional quality characteristics for the product that will be important to either the customers or the developers. Some to consider are: adaptability, availability, correctness, flexibility, interoperability, maintainability, portability, reliability, reusability, robustness, testability, and usability. Write these to be specific, quantitative, and verifiable when possible. At the least, clarify the relative preferences for various attributes, such as ease of use over ease of learning.>

Other Requirements

<Define any other requirements not covered elsewhere in the System User Requirements. This might include database requirements, internationalization requirements, legal requirements, reuse objectives for the project, and so on. Add any new sections that are pertinent to the project.>

Appendices

Appendix A : Glossary

<Define all the terms necessary to properly interpret the System User Requirements, including acronyms and abbreviations. You may wish to build a separate glossary that spans multiple projects or the entire organization, and just include terms specific to a single project in each System User Requirements document.>

Appendix B : Analysis Models

<Optionally, include any pertinent analysis models, such as data flow diagrams, class diagrams, state-transition diagrams, or entity-relationship diagrams.>

Appendix C : Issues List

<This is a dynamic list of the open requirements issues that remain to be resolved, including TBDs, pending decisions, information that is needed, conflicts awaiting resolution, and the like.>

1.18 Master Test Plan Example

Introduction

Purpose

This document describes the testing procedures/overview for quality testing for the Contract Management System. This plan describes the approach to all testing associated with development: unit testing, integration testing, system testing and acceptance testing needed to complete a project properly.

Audience

Project Manager, Business Analysts, Business Owners, ITS

Associated documents

This document should be read in conjunction with the following documents:

Business User Requirements document for the Contract Management System.

Overview

Project Objectives

Establishing a fully integrated student advisement tool set Massey wide.

System Description

We currently use two systems to manage University contracts. The Document Management System (Silent One) is used as a repository for the University contracts and a separate contract database has been established to enable monthly reporting to Contract Managers.

It has been approved that the non research contracts will be included within the RIMS (Research Information Management System) contract module. This will benefit the University by:

- Harmonisation of enterprise systems i.e. no data doubling up with respect to core data of personnel, organisation structure etc.
- Reduced IT maintenance (not supporting two databases and associated additions)
- Utilise existing RME system administration overhead
- Use of existing software licenses
- Standardisation on an enterprise wide system
- Current support (internal and external)
- Core data already exists to support the module (personnel and organisational)
- Interaction with Research contracts if required
- Mac compatible

Plan Objectives

The objectives of this plan are to;

- Define responsibilities
- Identify the method to be used
- To identify how the Contract Management System will be tested against the user requirements specified in the Business Requirements to ensure fitness for purpose.
- Identify the environment in which testing will occur.

Outstanding Issues, Assumptions, Risk and Contingencies

There are no outstanding issues, assumptions, risks and contingencies

Business Requirements to be tested

Functional Data Requirements

The system must have:

1. The ability to include customised fields for reporting and information retrieval purposes
2. The ability to track the status of all contracts

Look and Feel Requirements

1. Data entry must be easy and quick
2. Reports must be easily available and intuitively named
3. A web interface is preferred, using Windows standard terminology eg File, Edit, View etc

Usability Requirements

In general users require:

1. High quality reporting capability
2. Cross referencing to other documents
3. Storage of templates for different types of contracts used within the University

Performance Requirements

1. The system shall be available at least during normal University working hours, and preferably 24/7
2. The system shall be able to handle multiple access points operating simultaneously without adverse effects

Security & Access Requirements

1. The system shall be available to authorised personnel only
2. The process for access requests shall be transparent and timely
3. Delegated security levels for users

Prerequisites

Test Data

Configuration of all Fields with Research Services must be completed prior to the testing of this system.

Hardware

Test Server

Software

RIMS Test Database

Location

At people's desks

Staffing and Training

The following staff have been identified as testers for the Contract Management System and will require training on its features:

- Heidi– Resource to update the system once the legacy data from DMS has been transferred.
- Rae – Overall Contracts Administrator
- Bill – Contract Manager
- Tony – Contract Manager

Test Scope

Requirements to be tested

Requirement 1 - The process for the storage and retrieval of contracts must be communicated to the users.

Sub Feature	Purpose
Web Page	The system must provide a means of communicating the process to users for example via a page or link

Requirement 6 - The University must be able to track the status of all contracts including knowing where all contracts are at any given time ie: lawyers, sent to other party for signing, completed.

Sub Feature	Purpose
Contracts Data Entry Screen	The system must provide a means of tracking the status of the contract ie: intention to contract, draft one, signatory one, final.
Silent One	The system must be able to track the version of the contract.
Significant Dates screen	The system must be able to provide an "alert/task/prompt" function for revision/renewal/expiry of contracts at least 6 months prior to that date.
Significant Dates Screen	The system must provide an alert/prompt function advising interested parties of the new contract.
??	The system shall be able to create a profile of contract ownership details from which to initiate communication for specific events for reporting purposes i.e. University profile.

Requirement 7 - The Contract Managers must be able to extract all reporting details required.

Sub Feature	Purpose
Reporting	The system must be able to retrieve details of a contract in a report without having a scanned contract
Reporting	The system must be able to report on any identified field.

Requirement 8 - All University contract documents must be held in a secure site with designated access based on the delegations policy.

Sub Feature	Purpose
	The system must be able to provide various security levels with different levels of access.
	The system must supply administrative functionality in order to review all contracts at a global level.
	The system must provide for delegated personal to change security levels as needed
	The system should allow external personnel to have "view only" access to specified contracts to the system.

Requirement 9 - An account of the contract history must be provided.

Sub Feature	Purpose
	The system must be able to store multiple copies of the contract.
	The system must be able to provide a contract history including version control.

Requirement 10 - The quality of the documentation scanned into the system must be a replica of the original.

Sub Feature	Purpose
	The system must be able to have both A3 and A4 capability with regard to viewing.
	The system must be able to store and maintain a linkage with related documentation.

Features not to be Tested

The following requirements are not included:

18. Training must be arranged for all users.

Should = Prefer to Have

- 22. A link should be made to the University Finance system to enable tracking of finance details for contracts.
 - The contract number relating to the contract should be included on the bank statement.
 - Payments/receipts of contracts should be made by Direct Debit or Direct Credit.
- 23. A process should be put in place to ensure Direct Credits for the University are tracked ie: leases, rentals.
- 24. A question on contract performance should be included in the quarterly Performance and Risk report.
- 25. With regard to National contracts, any details/negotiation of the contract, background/implications for the regions should be communicated to the regions.

Security testing

Check that user characteristics as set up match security.

- Test that user groups are able to access all they are entitled to, and only what they are entitled to.
- Physical Test: Log-on and verify security settings.
- Testing has list of users and their security level. Testing to see that users belong to correct group and that the group has the correct security.

Process testing

Requirement 2 – The process for storage and retrieval (responsibility and accountability) of contracts must be well defined and documented.

Requirement 3 – The process for storage and retrieval of contracts must be standardised across all three campuses.

Requirement 4 – The process for storage and retrieval of contracts must be reliable.

Requirement 5 – The process for the University must be more clearly understood.

Process Name	Associated Forms	All doc OK	Process OK	Result / comment	Status
Access the Contract Management System	Access Form for Citrix Server, Contract Management System and Silent One				
Draft a Contract	Contract templates				
Authorise and Store a Contract					
Manage a Contract					

Data conversion testing

All data has been converted correctly from old to new where appropriate

Extended scenario testing

Typical scenarios are handled correctly by the system

No extra scenarios have been identified at this stage.

Testing includes:

Area	Scenario	Expected result	Result/ comment	Status

Transition

No testing of transition plan is necessary as there is no current system operating.

Proposed Schedule

List of proposed tests and dates

Awaiting Vendors Project Plan to confirm dates.

Resources

Who is required for the testing and when.

Have identified who, are awaiting Vendors project plan to confirm dates.

Suspension Criteria

What conditions will halt testing.

If the database and server are not available or the correct configuration

Business Owner Signoff

I have reviewed this document, agree with its content and approve the test plan.

Signed: _____

Date: ____/____/____

<insert name>, Business Owner

1.19 Training Plan Example

This plan describes the strategies, activities and tasks necessary to provide the business unit with the skills necessary to operate the new product or technology successfully.

Target Audience Information	
Audience: Contract Managers	Potential Audience Size 20
Function: Contract Managers	Level in Organisation: Management
Education Level: Tertiary qualified	Location: On the job
Other Training: N/A	Preferred learning Style: Hands on
Audience Need: Why would they want to do the training?	
Internally focused: The need to manage progress and renewal of contracts.	Externally focused: The need to be more professional in contract communications with other parties
What is the decision making process? Instigating renewals, renegotiations etc	Where are they in the decision making process? High
What business need or organisational challenge does this learning experience address? Managing contracts – reporting and workflow of renewals	How does this learning experience help them? They will learn to input contracts, how to find groups of contracts and how to activate workflow for contract renewal and negotiations
Business Requirements	
<i>What business needs to be supported or accomplished by this learning experience?</i> Key Business Objectives Central management of contracts	
Learning Objectives Input contract, report on contract, workflow contract process	
Content Outline Intro to contracts Scanning contracts DMS and CMS Assigning status Reporting	

Learning Methodologies	
What methods will be used? On-the-job training	Measurement or Evaluation Process: Evaluation form
Delivery Specs:	
Training Delivery Start: May	
Facilitators: Michael Mouse	<i><If the facilitators are internal, what is the expertise and skill level:></i> Business Analyst – knows the system and has undertaken training in the past
Equipment Required Laptop and Datashow Software and Training database	

1.20 Statement of Work Example

The Scope of Work

Introduction Massey University has implemented a Contract Management System, and requires assistance with reporting via VB using a VBA Editor.

Assumptions This Statement of Work document, its plans and estimates have been developed taking account of the assumptions outlined below.

1. There is full disclosure of relevant information.
2. Staff members are available when required.
3. The Project Sponsor is available to facilitate and review progress.

Access to the system is available when and where required

Scope The scope of work being undertaken by Supplier Ltd, the scope of work to be provided by Massey University and the items of work that are out of scope of this project are defined in the table below:

Function	In Scope		Out of Scope
	Supplier Ltd	Massey University	
Reports	Produce reports as per specifications. Test reports.	Provide specifications of reports. Provide details of data selection. Test completed reports.	Updates to existing reports

The Outcomes

Acceptance Criteria The Acceptance Criteria for this statement of work are detailed in Appendix 1 – Acceptance Criteria

Deliverables The key deliverables of this Statement of Work are:

	Description	Deliverable	Responsibilities	Expected Cost	Expected Delivery Date
1.	Report 1				
2.	Report 2				
3.	Report 3				
4.	Report 4				
5.	Report 5				
TOTAL					

The Resources

Supplier Personnel Supplier Personnel involved are:

Position	Assigned	Responsibility
Consultant	Jim Hendrix	<ul style="list-style-type: none">• Create reports
Tester	Michael Mouse	<ul style="list-style-type: none">• Test Reports

The Financials

The Charges The estimated charge for this Statement of Work is \$1500 plus GST.

The Additional Charges and Expenses Additional charges and expenses will be charged, with prior approval, to Massey University.

The Sign Off

References The following documents should be read in conjunction to this Statement of Work:

Document	Version	Date

Sign off

Accepted by Supplier Limited

Accepted by Massey University

Signature

Signature

Name

Name

Title

Title

Date

Date

Appendix 1- Acceptance Criteria

Statement of Work:

Criteria				
	Acceptance Criteria	Date completed	Initialled for Supplier Ltd	Initialled for Massey University
1.	Report 1 completed			
2.	Report 2 completed			
3.	Report 3 completed			
4.	Report 4 completed			
5.	Report 5 completed			
6.	Statement of Work completed			

3. Final Acceptance			
	Name	Signed	Date (dd / mm / yy)
Client	<input type="text"/>	<input type="text"/>	<input type="text"/>
Supplier	<input type="text"/>	<input type="text"/>	<input type="text"/>

1.23 Project Team Meeting Notes Example

	Agenda	Actions/Who
	Attendees	
	Me, You, Them	
1.	Project update	
	Project status	
	Scope <ul style="list-style-type: none"> ➤ Phase 1 – completed ➤ Phase 2 – current ➤ Phase 3 – can begin analysis during Phase 2 ➤ Leigh to discuss DMS with Massey ITS and DMS Vendor ➤ Deliverables – very important part of scope document. ➤ Exclusions – should research contracts be listed as an exclusion? ➤ Will research contracts be included in DMS export? 	
	Test system <ul style="list-style-type: none"> ➤ PM has access to RIMS test ➤ Will check current status of configuration 	
2.	Outstanding actions from last meeting	
	Training plan – now completed	
3.	New Actions	
	Project Plan – update with latest amendments	PM
	Risk plan	
	Status reporting – fortnightly	
	Monthly Risk and financial report	
4.	General	

1.24 Project Status Report Example

Project Overview

Vision

To implement a new Contract Management System for the University

Goal Statement

To provide consistency and improved storage and retrieval of all University contracts through:

- The accumulation of all University contracts in a single repository
- Staff Obtaining access to the system with delegated levels of security
- Improved regular and reliable reporting across the University

Objectives

To provide consistency, accuracy and timeliness to the management of contracts while reducing the risk to the University by providing:

- A single repository for the storage of contracts across the University
- Improved access to the contract management system for identified users
- Increased control through tracking and monitoring of all contracts
- Improved reporting on contracts
- Improved management of risk within contracts

Measures of Success

- The Contract Management process defined and developed for contract management across the University.
- Current and future needs for an integrated system defined that will support contract management across the University.
- To implement a new contract management system within the University that will:
 - Reduce duplication of reporting for contract management across the University.
 - Ensure a consistent set of contract management reports is developed and maintained.
- The existing Contract Document Management System data integrated into the new system.

Overall Project Status

Scope	Green
Time	Green
Cost	Green

Key:

Green	Progressing as planned
Orange	Progressing with minor slippage
Red	In trouble, outcome will not be within original objectives

Progress against Milestones

Project Summary

The project is behind schedule mostly due to the reliance on the vendor for delivery and the dependence on the RIMS project timeline, which has been delayed.

The process document will unable to be completed until the new system is in place and the procedures for each process can be completed.

We have had approval to implement the non research contracts into the contracts module of the Research Information Management System. This has resulted in both Research Services and the non Research contracts considering the appropriate configuration of the fields for the contracts module. There has been some delay from Research Services as a new Project Manager has been instigated to the RIMS project and the priority and focus for them has been on the Project module not the contracts module. We are expecting confirmation from them within the next two weeks. The timeline has been modified accordingly to reflect the slippage.

Project Progress Chart

Key									
Example	Work breakdown task			Green = Complete			Blue = In progress within schedule		
81%	% Complete last report			Blue = In progress within schedule			Orange = In progress, minor slippage		
90%	% Complete this report			Orange = In progress, minor slippage			Red = In trouble		
13.10.04	Date Due			Red = In trouble			White = Not Due to be started		
13.10.05	Date Expected Now			White = Not Due to be started					
Contract Management System					1. Terms of Reference				
Project initiation complete	Project planning complete	Project executed	Project controlled	1.5 Project Closed	1.1 Document terms of reference	1.2 Feedback and amendments	1.3 Sign off terms of reference		
0%	0%	0%	0%	0%	0%	0%	0%		
100%	100%	30%	30%	0%	100%	100%	100%		
Feb-05	Mar-05	Dec-05	Dec-05	Dec-05	14.02.05	22.02.05	22.02.05		
2. Project Management Plan					3. Business, User, Functional & Reporting Requirement Gathered				
2.1 Document project management plan	2.2 Risk identification	2.3 Document work breakdown structure	2.4 Document gantt chart	3.1 Identify users and plan contact	3.2 Identify best method of requirements collection	3.3 Contact Users	3.4 Arrange requirements collection		
0%	0%	0%	0%	0%	0%	0%	0%		
100%	100%	100%	100%	100%	100%	100%	100%		
24.02.05	22.02.05	Dec-05	22.03.05	26.04.05	29.04.05	09.05.05	30.05.05		
4. Investigate Market & Possible Suppliers					5. Create Business, User and Reporting Requirements documents				
4.1 Plan Investigation	4.2 Carry out investigation	4.3 Document findings	5.1 Define & Document Business Requirements	5.2 Define & Document User Requirements	5.3 Define & Document Reporting Requirements	6.1 Work with ITS to define functional requirements	6.2 Define and document functional requirements		
0%	0%	0%	0%	0%	0%	0%	0%		
100%	100%	100%	100%	100%	100%	100%	100%		
24.3.05	18.4.05	22.04.05	3.6.05	9.6.05	10.6.05	28.06.05	30.06.05		
7. Mini Business Case (Proposal) documented					8. Process developed				
7.1 Budget documented	7.2 Write Proposal	7.3 Review Proposal	7.4 Project Sponsor Signoff	8.1 Review & Revise existing processes	8.2 Workshop processes with identified users	8.3 Document processes			
0%	0%	0%	0%	0%	0%	0%			
100%	100%	100%	100%	100%	100%	80%			
4.07.05	8.07.05	18.07.05	26.07.05	18.07.05	26.07.05	01.08.05			
9. Phase 1 (Analysis)					10. Phase 2 (Configuration and Legacy Data Transfer)				
9.1 Business process analysis	9.2 Identify and Document Project roles and responsibilities	9.3 Contracts Users Defined	9.4 Report requirements specified technically	9.5 Quote Provided	10.1 RMEWin Contracts module configured	10.2 User guide documentation written	10.3 User Training/Train the Trainer		
0%	0%	0%	0%	0%	0%	0%	0%		
100%	100%	100%	100%	100%	80%	0%	0%		
14.10.05	14.10.05	14.10.05	14.10.05	14.10.05	31.10.05 31.01.06	4.11.05 10.02.06	11.11.05 20.02.06		
11. Phase 3 (Export Feeder)									
10.4 Data transferred from legacy system	10.5 Test Contracts entry/workflow process with pilot group	10.6 RMEWin Contracts structural availability	11.1 SilentOne data export format requirements provided	11.2 Develop export feeder to SilentOne	11.3 Test upload to SilentOne - Feedback to RMPL	11.4 Release export feeder to Massey			
0%	0%	0%	0%	0%	0%	0%			
50%	0%	0%	0%	0%	0%	0%			
21.11.05	25.11.05	09.12.05	7.11.05	09.12.05	13.12.05	19.12.05			
28.02.06	07.03.06	14.03.06		15.02.06	21.02.06	28.02.06			
12. Phase 4 (Web Interface)					13. Rollout				
12.1 Define Workflow	12.2 Development of workflows in RMEWEB for initial release	12.3 Testing and response to RMPL	12.4 Refinement of RMEWeb	12.5 Acceptance testing and release	12.6 Training and Documentation	13.2 Promote contract system to relevant parties			
0%	0%	0%	0%	0%	0%	0%			
0%	0%	0%	0%	0%	0%	0%			
28.02.06	21.01.06 21.03.06	03.02.06 31.03.06	17.02.06 14.04.06	24.02.06 24.04.06	03.03.06 30.04.06	07.03.06 04.05.06			
14. Handover									
14.1 Operational handover completed	14.2 Evaluation report documented	14.3 Project closure statement documented	14.4 Risk Management Group Approval						
0%	0%	0%	0%						
0%	0%	0%	0%						
10.03.06	17.03.06	21.03.06 18.05.06	23.03.06 19.05.06						

Major Milestones Scheduled for the Next Three Months

The following table represents the schedule of Major Milestones committed to as of the report date for a period of approximately a three-month window.

Major Milestone Major milestone is the name given to completion of significant activities within Project Phases.

Milestone Date Milestone date is the planned date of major milestone achievement.

% A percentage given to indicate progress towards the achievement of a milestone

Major Milestone	Finish Date (work in progress)	%	Comment
Phase 2 Implementation (Configuration and Legacy Data Transfer)	14.03.XX	40%	Awaiting on Research Services for final field configuration. Data has been forwarded to Research Master to test the transfer between systems.
Phase 3 Implementation (Export Feeder)	28.02.XX	30%	Silent One data export requirements have been provided to Research Master.

Key Points from Last Period

Process document is all but completed. System instructions still to be finalised pending implementation.

At the beginning of November 20XX a proposal was signed to execute non Research Contracts within the Research Information Management System.

Configuration of the fields for the non research contracts has been completed, still awaiting configuration of the Research contracts module.

A new scoping document has been provided by Research Master and an updated Project Plan is still to be provided - project closure date has been extended to May 20XX.

Project Costs - Budget vs Actual

The table below shows the budgeted costs as approved by the University Council and the actual expenditure as at XX/XX/XXX.

<insert budget/actual spreadsheet>

Risk Report

The following is an extract from the University's Risk manager Handbook relating to the classification of risks.

Raw Risk level

Likelihood	Consequences				
	Insignificant 1	Minor 2	Moderate 3	Major 4	Catastrophic 5
A (certain)	H	H	E	E	E
B (likely)	M	H	H	E	E
C (possible)	L	M	H	E	E
D (unlikely)	L	L	M	H	E
E (rare)	L	L	M	H	H

Extreme risk – immediate executive action required

High risk – senior management attention needed

Moderate risk – management responsibility specified.

Low risk – manage through routine procedures

Effect of Controls on Risks

If the resultant risk is considered Low, no further action is required, and can be noted as Accepted.

Control	Level of Raw Risk			
	Extreme Risk	High Risk	Moderate Risk	Low Risk
Excellent	L	L	L	L
Good	L	L	L	L
Adequate	M	M	L	L
Inadequate	E	H	M	L
Non-existent	E	H	M	L

If the resultant risk is consider Low, no further action is required, and can be noted as Accepted.

The table that follows evaluates each project risk in relation to the above classifications as at XX/XX/XXXX.

Risk Register								
No	Risk Name	Owner	Consequence	Likelihood	Raw Rating	Control mechanisms and weighting.	Effect of control on risk weighting	Treatment and Activity log
1	That the reporting accuracy and ability to retrieve information may be compromised if all existing contracts are not included, have incorrect or incomplete data within the current Contract Document Management System.	PM	Moderate	Likely	High	Internal audit of current system. Verification from Contract Managers	Medium	Added audit task to Project
2	Future contracts may be managed outside of the reporting system due to the fact that staff could be unaware that the new Contract Management System has been implemented and continue managing their own contracts on an ad hoc basis.	PM	Moderate	Possible	High	Training and Communication Plan	Low	Risk Manager to communicate to the University
3	Delivery in timeframe could be affected by scope creep.	PM	Minor	Unlikely	Low	Correct Budget Project Control function	Low	None required at this stage
4	That the full set of	PM	Moderate	Possible	High	Software specifications	Low	Awaiting feasibility study

Risk Register								
No	Risk Name	Owner	Consequence	Likelihood	Raw Rating	Control mechanisms and weighting.	Effect of control on risk weighting	Treatment and Activity log
	requirements is not met due to software application restrictions.							
5.	Budget over run due to extra resourcing or a more expensive system.	PM	Moderate	Possible	High	Change management	Low	None required at this stage
6.	A complete list of user requirements may not be obtained from users.	PM	Moderate	Unlikely	Medium	Consultation process and stakeholder analysis	Low	Reconfirmation of requirements once completed

Issues Management

The primary goals of an Issue Management Plan are to ensure that:

- Issues are identified, evaluated and assigned for resolution.
- Issue resolutions determined to impact the scope, schedule, or quality of the project will go through the change management process.
- Issue resolutions or decisions are documented and communicated to all affected parties.

The following table is a list of issues that have been registered and the current status.

Issues Register							
As at Date							
Issue No	Issue Date	Issue Title	Originator	Severity	Assigned To	Status	Date Resolved

Change Management

The objectives of the change management are:

- To manage each request for change to ensure that the scope of the project is kept under control.
- To ensure each request for change is assessed by key project players.
- To allow each change to be accepted (or rejected or deferred) with the appropriate authority.
- To enable the orderly implementation of each accepted change.
- To allow the impact of all changes to be understood and managed.
- To allow small changes to be managed with the minimum of overhead.

The following table is a list of issues that have been registered and there current status.

Change Request Register						
As at Date						
Item	Change Description	Raised by	Date Raised	Priority	Responsible	Status

Communication Log

Contract Management System Communication Log as at XX/XX/XXXX:

Month	Event	Audience	Status
May	Discussion on systems criteria	Project Control Group	Complete
June	Discussion on business and system requirements feedback and systems for demonstration day	Risk Manager	Complete
June	Final business and system requirements emailed	Project Control Group, Risk Manager, Director ITS and Organisational Development	Complete
June	Discussion on Selection Criteria for demonstrations of systems	Project Control Group	Complete
June	Demonstration of Research Master and Contract Assistant – Enterprise Version with Blueridge	Project Control Group	Complete
June	Discussion on business and system requirements feedback and systems for demonstration day	Risk Manager	Complete
June	Final business and system requirements emailed	Project Control Group, Risk Manager, Director ITS and Organisational Development	Complete
June	Discussion on Selection Criteria for demonstrations of systems	Project Control Group	Complete
June	Demonstration of Research Master and Contract Assistant – Enterprise Version with Blueridge	Project Control Group	Complete
July	Discussion of demonstration outcome	Project Control Group	Complete
July	Email to Research Master requesting estimate of modifications	Research Master	Complete
July	Meeting to discuss Massey University requirements for Research Master from an IT perspective	Systems Specialist (Administration)	Complete
July	Discussion on outcome of demonstrations and commencement of processes	Risk Manager	Complete
July	Meeting to discuss process documents	User community	Complete
July	Discussion on draft processes and screen shots of system	Project Control Group	Complete
July	Discussion on draft processes and screen shots of system	Risk Manager	Complete

Resourcing

The following represents the resources currently deployed on the project:

Project Office

<Enter text>

Information Technology Services

<Enter text>

1.25 Peer Review Example

Peer Reviewers Checklist for Reviewing Projects

Project Name: Contract Management System

Week Ended: This week

Project Plan

- Plan complete
- Plan reflects Terms of Reference and/or Business Case
- Work Breakdown Structure comprehensive
- Testing Plan complete
- Training Plan complete
- Handover to Operational area methods clearly identified

Execution and Control

- Current milestones met
- Future milestones discussed
- Slippage or possible slippage discussed and mitigation strategies suggested
- Risks updated
- Quality Plan updated
- Issues Register updated
- Communication Register updated

Comments

Project is progressing according to plan. Plans are clear and easily followed.

Project Manager You

Peer Reviewer Me

Date: Today

Points to discuss

Progress

To-date

1. Are major deliverables identified with planned dates?
2. Is achievement, actual versus planned dates occurring?
3. Major deliverables missed, is there an explanation and documented recovery action plan in place?
4. Sub-project features missed, is there an explanation and documented recovery action plan in place?
5. Is progress demonstrated against an up-to-date project plan?
6. Are deliverables subject to QA procedures and Release controls?

Forecast

1. Are missed major deliverables re-forecast?
2. Are new major deliverables forecast? Are these the subject of change control?
3. Are missed sub-project features re-forecast?
4. Are new sub-project features forecast? Are these the subject of change control?
5. Is the forecast reflected in the project plan.

Tracking

1. Is there a GANNT Chart that shows actual progress against planned tasks?
2. Is there a clearly shown critical path?
3. Is progress tracked in a consistent and meaningful way?
4. Is slippage in progress identified, managed and raised to the appropriate level for review and action.

Scope of Work

Change

1. Is there a documented change process for this project?
2. Is the process communicated to all affected areas of the project?
3. Are changes to the scope of this project logged, co-ordinated, scheduled, approved and tracked?
4. Is there a procedure for formal technical and business risk assessment of proposed changes?
5. Is there a procedure of prioritising and scheduling the implementation of approved changes?
6. Are planned changes communicated to all affected areas (this communication should allow sufficient time for concerns to be expressed)?
7. Is there a published change implementation schedule?
8. Are change status' reviewed periodically?
9. Are operational reports prepared for use by appropriate levels of personnel in their day-to-day operations?
10. Are summary reports prepared as defined by management?

Project Issues and Risks

Defects / Problems

A defect or problem is a failure of a particular deliverable to perform as designed. A project may have none technical type problems such as failures to properly document situations/requirements. A defect/problem may well become an issue depending on how or how long resolution takes.

1. Is there a documented process/procedure for handling defects or problems in the deliverables of this project?
2. Is the defect/problem process communicated to all affected areas of the project?
3. Are defects/problems logged, assessed, resolved and tracked to resolution?

Issues

An issue is something that cannot be resolved easily within the immediate resourcing of the project. It may require escalation and focus from the wider management of the University.

1. Is there a documented issues process/procedure for handling issues effecting this project?
2. Is the process communicated to all affected areas of the project?
3. Are issues with this project logged, assigned and acted upon, and tracked to resolution?

Risks

A risk is an event that if it should eventuate will have a negative impact upon the project achieving its deliverables within the parameters of the project. (A risk can be represented in a positive fashion by restating a risk to create a critical success factor). Without resolution an issue may well become a risk.

1. Is there a documented risk management procedure
2. Is this procedure communicated to all affected areas of the project?
3. Are risks to this project properly identified, logged, accepted, tracked or managed for mitigation.?

QA Controls

Deliverable Release

Reporting

Project Control Group

Project Steering Group

1.26 Risk Form Example

Risk Form – Contract Management

Date Raised Today	Raised By A Big Person	Number 1		
Summary Concerns about accuracy of contracts				
Description That the reporting accuracy and ability to retrieve information may be compromised if all existing data is not included, have incorrect or incomplete data within the current System.				
Risk Impact Analysis				
Impact on Project: This will make the new system seem unnecessary as it will impact on the possible benefits of the new system.				
Possible Migration Strategy / Contingency Plan: Internal audit of current system. Verification from Contract Managers				
Recommendation: Right First Time. Extra care taken to ensure contracts are entered correctly. Ensure staff are aware of system so that all contracts are capture. This will require support from HOD's				
Risk Action Log				
Status Date	Action and Status	Responsible	Target Date	Actual Date
Soon	New System introduced to staff (not yet implemented)	Tom Cruise	Later	

1.27 Issue Form Example

Issue Form – Contract Management Project

Date Raised Today	Raised By Someone	Number 01
Summary That the new process of working with Research Master and the DMS has a workaround that makes the task of adding a new contract take longer.		

Action Owner. Project Manager	Priority High	Target Date Soon
---	-------------------------	----------------------------

Description and Possible Action A step by step walk-through of the process needs to be carried out with the vendor and automated where work-arounds are evident.
--

Issue Action Log				
Status Date	Action and Status	Resp	Target Date	Actual Date
Today	Open – under investigation	PM	Soon	

1.29 Communication Register Example

Month	Event	Audience	Status
May	Discussion on systems criteria	Project Control Group	Complete
June	Discussion on business and system requirements feedback and systems for demonstration day	Risk Manager	Complete
June	Final business and system requirements emailed	Project Control Group, Risk Manager, Director ITS and Organisational Development	Complete
June	Discussion on Selection Criteria for demonstrations of systems	Project Control Group	Complete
June	Demonstration of Research Master and Contract Assistant – Enterprise Version with Blueridge	Project Control Group	Complete
June	Discussion on business and system requirements feedback and systems for demonstration day	Risk Manager	Complete
June	Final business and system requirements emailed	Project Control Group, Risk Manager, Director ITS and Organisational Development	Complete
June	Discussion on Selection Criteria for demonstrations of systems	Project Control Group	Complete
June	Demonstration of Research Master and Contract Assistant – Enterprise Version with Blueridge	Project Control Group	Complete
July	Discussion of demonstration outcome	Project Control Group	Complete
July	Email to Research Master requesting estimate of modifications	Research Master	Complete
July	Meeting to discuss Massey University requirements for Research Master from an IT perspective	Systems Specialist (Administration)	Complete
July	Discussion on outcome of demonstrations and commencement of processes	Risk Manager	Complete
July	Meeting to discuss process documents	User community	Complete
July	Discussion on draft processes and screen shots of system	Project Control Group	Complete
July	Discussion on draft processes and screen shots of system	Risk Manager	Complete

1.30 Deliverable Sign-off Example

Deliverable Release Acceptance Form

Project: Contract Management System

Milestone No	Milestone Details	
1	Existing contracts included in system	
Deliverable	Deliverable Details	
1	Load legacy data from DMS	
References	xxxxx	
Deliverables Summary		
Complete the loading of information from the old DMS into the new system. Test for completeness and correctness		
Acceptance Criteria		
All data loaded		
All data correct		
Deliverable Release	Deliverable Acceptance	
Project manager		
Date XX/XX/XXXX	Date: XX/XX/XXX	
Signatory: XXXXXXXX	Signatory: XXXXXXXX	
NOTE: By signing, the designated signatory is indicating that he or she is satisfied that the specified checks and verification have been carried out to the prescribed standard		

1.31 Individual Test Plan Example

Introduction

Purpose

The procedure is to be used by Testers for testing the Contract Management System, and recording the test results.

Test Objective: To test the functionality delivered against the user requirements specified in the Contract Management System.

Pre-Requisites: Test database loaded with configured fields. Example contracts to use.

Audience

Project Manager, Business Analysts, Business Owners, ITS

Assumptions

Please refer to the Test Plan for May Release.

Associated Documents

Test Plan for May Release

Definitions

The following definitions apply to this document:

None

Business Requirements

List of Business Requirements this test covers:

Functional Data Requirements

The system must have:

1. The ability to include customised fields for reporting and information retrieval purposes
2. The ability to track the status of all contracts

Look and Feel Requirements

1. Data entry must be easy and quick
2. Reports must be easily available and intuitively named
3. A web interface is preferred, using Windows standard terminology eg File, Edit, View etc

Usability Requirements

In general users require:

1. High quality reporting capability
2. Cross referencing to other documents
3. Storage of templates for different types of contracts used within the University

Performance Requirements

1. The system shall be available at least during normal University working hours, and preferably 24/7
2. The system shall be able to handle multiple access points operating simultaneously without adverse effects

Security & Access Requirements

1. The system shall be available to authorised personnel only
2. The process for access requests shall be transparent and timely
3. Delegated security levels for users

Instructions

Please refer to the generic instruction sheet for the <insert date> Release for details of what to record and the Incident Tracking process.

Suspension criteria: Failure to logon, failure to load, or repeated failures to load this screen will result in suspension of this test. Testing to be resumed once issues have been resolved. Please inform the Testing Co-ordinator to confirm suspension of testing.

Product/Version: _____

Testers Name: _____

Security/Access Level: _____

Reviewers Name: _____

MS Windows: Win95/Win98/Win2000/WinNT (Please circle one)

Computer No: IT _____

Other Info: _____

Test Type: _____

Name of Tester: _____ User Code: _____ Access Class/Level: _____ Date of Testing: ____/____/____

TEST PROCEDURE				TEST LOG			
Test Case	Step	Description	Expected Results	Pass	Fail	Comments	Incident Report Completed
	1	Record test start time				Time Start:	
	2	Log into system	System appears				
	3	Scan contract	Scan successful				
	4	Record details	Validation of field types				
	5	Save details	Details saved				
	6	Go to view menu	View menu appears				
	7	Search for contract	Find contract				
	8	Print contract	Contract prints				
	9	Run contract report	Report is complete				
	10	Record test end time				Time test ended:	
						Please record Test Duration:	

TEST COMPLETION AND VERIFICATION

I certify that I have undertaken the testing as specified above, followed the detailed procedures and completed any Incident Report forms required.

SIGNED: _____ Tester ___/___/___

SIGNED: _____ Reviewer ___/___/___

OFFICE USE ONLY

Test Plan updated to "Test Procedure Complete" Yes/No

All Incident Reports collated and sent to Business Analyst Yes/No

SIGNED: _____ Administrator ___/___/___

1.33 Training Material & User Guides Style Guide

These documents will be different for each project, but will follow the Style Guide.

Introduction

Purpose

This style guide has been created to assist in the uniformity and professionalism of all documents created by Projects Office staff.

Audience

This document is intended to act as a guide for Projects Office staff. It has not been created as a guide for the wider University.

Assumptions

This document assumes that the reader is familiar with common terms in Microsoft Word and word processing in general.

Associated Documents

There are no documents to be read in conjunction with this document.

Definitions

The following definitions apply to this document:

<Enter text>

Style Guide

Headings

There can be more than one Heading 1 on a page; however major sections should be separated by a page break.

Document presentation

Where a document is greater than 10 pages, it should be presented double sided. If double siding is used Heading 1s may appear on the top of both even and odd pages.

Title Page

The title page shall hold the name of the project and the name of the document. A date will only be included in the title where separate instances of the document are created on a regular basis – eg status reports.

Introduction

Each document will have an introductory page, with the following headings: Purpose, Audience, Assumptions, Associated documents, Definitions followed by the version control table as shown in Section **Error! Reference source not found. Error! Reference source not found.** above.

Page numbering

Pages will start numbering from the content, leaving the title page and contents page blank.

Headers and Footers

Each Header shall contain the status of the document, the name of the project and the title of the document, separated by a line from the main document. The heading shall be right-aligned.

Each Footer shall have the version number(if relevant), the date (if relevant) and the page number centred with a line above separating it from the main document.

Styles and Fonts used in Projects Office Documents

Heading 1

The font used is Arial 16 Bold outline numbered with 12 point spacing before and 12 point after.

Heading 2

The font used is Arial 14 Bold Italic outline numbered with 12 point spacing before and 6 point after.

Heading 3

The font used is Arial 12 Bold outline numbered with 12 point spacing before and 3 point after.

Heading 4

The font used is Arial 11 Bold outline numbered with 12 point spacing before and 3 point after.

Normal

The font used is Arial 11 Justified with 12 point spacing after.

List Bullet

The font used is Arial 11 with 12 point spacing after suppressed between paragraphs of the same style, and a bullet indented at 0.95cm and a hanging indent at 0.95cm

Normal Small

The font used is Arial 9 Justified with 12 point spacing after.

List Bullet Small

The font used is Arial 9 with 12 point spacing after suppressed between paragraphs of the same style, and a bullet indented at 0.95cm and a hanging indent at 0.95cm

Table Heading	Arial 11 Bold with 3 point spacing before and 3 point after, shaded with 15% grey
Table Text	Arial 11 with 3 point spacing before and 3 point after
• Table Bullet	Arial 11 with 3 point spacing before and 3 point after, a bullet indented at 0.0cm and a hanging indent at 0.5cm

Table Heading Small	Arial 9 Bold with 3 point spacing before and 3 point after, shaded with 15% grey
Table Text Small	Arial 9 with 3 point spacing before and 3 point after
• Table Bullet Small	Arial 9 with 3 point spacing before and 3 point after, a bullet indented at 0.0cm and a hanging indent at 0.5cm

1.34 Post Implementation Review Example

Introduction

Purpose

The purpose of this document is to provide a review of the implementation of the Contract Management System Project, with a view to determining the success of the project, and lessons learned for the future.

Audience

The intended audience is the project team and the Sponsor Group

Definitions

For the purposes of this document, the following acronyms are defined:

CMS – Contract Management System

Executive Summary

Contract Management continues to be an important activity at Massey University. There is evidence that the new contract management system has started to have a positive effect on reducing the risk to the University of contracts not being managed effectively.

The costs of not having an efficient and effective system to manage contracts is significant, with the following key costs:

- Potential of litigation from poorly managed contracts;
- Cost of administering contracts in the Regions and NSS;
- Cost of poorly constructed contracts.
- Potential to miss renewal of existing contracts, particularly when key staff leave;
- Risk of loss of income or payment of damages;
- Inefficiencies in the management of contracts and administration of contracts;
- Potential high cost of manual work/processes for the University to meet regulatory requirements.

Surveys to the Contract Managers and an interview with the Risk Manager confirmed that the new system, while still having a few process issues with the link to the finance system in regards to charging for milestones in contracts, had improved greatly the following areas:

Consolidation of contracts in a single place made it easier to reference them.

The University's research reporting capability is now very good; and

The workflow functionality resulted in more timely, efficient administration and an increasingly acceptable contract risk.

It is also the opinion of the staff surveyed that the new system has made it easier for them to be more professional in relation to contracts. Overall the project has been a success from a user perspective.

The project was under budget, although later than originally planned. This delay in time was negotiated with the Sponsor Group, and was deemed to be acceptable at the time.

Description of Project

Vision

To implement a new Contract Management System for the University

Goal Statement

To provide consistency and improved storage and retrieval of all University contracts through:

- The accumulation of all University contracts in a single repository
- Staff Obtaining access to the system with delegated levels of security
- Improved regular and reliable reporting across the University

Objectives

To provide consistency, accuracy and timeliness to the management of contracts while reducing the risk to the University by providing:

- A single repository for the storage of contracts across the University
- Improved access to the contract management system for identified users
- Increased control through tracking and monitoring of all contracts
- Improved reporting on contracts
- Improved management of risk within contracts

Measures of Success

- The Contract Management process defined and developed for contract management across the University.
- Current and future needs for an integrated system defined that will support contract management across the University.
- To implement a new contract management system within the University that will:
 - Reduce duplication of reporting for contract management across the University.
 - Ensure a consistent set of contract management reports is developed and maintained.
- The existing Contract Document Management System data integrated into the new system.

Non-Financial Analysis – Business Case

<p>Time to sign contracts Milestones available for each step, ability to monitor and respond to delays</p>	<p>Measured by: Survey to Contract Managers Interview with Risk Manager</p>	<p>Result All but two of the CMs had used the system to workflow a contract. There was a 90% extremely satisfied rating when surveyed. The Risk Manager had noticed a decline in the waiting time between initiating a contract and final sign-off and cited specific examples.</p>
<p>Contract milestones (milestone billing etc) Milestones available for each step, ability to monitor and respond to delays</p>	<p>Survey to Contract Managers Interview with Risk Manager</p>	<p>This is improving. The first time through the process there were still some hiccups between the CMS and Finance 1, but this is expected to improve. The general opinion of those surveyed was that it is too early to tell at this stage. Contract Managers that had the most difficulty with the process were not convinced that we had improved significantly. 75% of CMs believed that they had more information available to them to assist in the balancing of charges. The Risk Manager had not noticed any significant changes in billing.</p>
<p>Reporting Information immediately available</p>	<p>Survey to Contract Managers Interview with Risk Manager</p>	<p>100% of the CMs surveyed agreed that reporting had improved greatly. The Risk Manager was very satisfied with the level of reporting currently available.</p>

Financial Analysis – Business Case

Below is a summary of the costs and expected financial benefits over a three-year timeframe.

<Finances>

The anticipated savings have been calculated on the potential to:

Business Case	Actual
Numbers	Numbers

Detailed Key Results

<ul style="list-style-type: none"> • The Contract Management process defined and developed for contract management across the University. 	Completed
<ul style="list-style-type: none"> • Current and future needs for an integrated system defined that will support contract management across the University. 	Completed
<ul style="list-style-type: none"> • To implement a new contract management system within the University that will: <ul style="list-style-type: none"> ○ Reduce duplication of reporting for contract management across the University. ○ Ensure a consistent set of contract management reports is developed and maintained. 	<p>Completed</p> <p>Completed</p>
<ul style="list-style-type: none"> • The existing Contract Document Management System data integrated into the new system. 	Completed

Project Timeline

Timeframe: Milestone dates for completion of key elements of the implementation are:

Milestone	Date Due	Actual Date
Terms of Reference	February	February
Investigate Market and Possible Suppliers	March	March
Business and User Requirements	April	April
Business case	June	July
Project Management Plan	July	July
Process developed	August	October
Purchase and Implementation of System	November	January
Handover- functional handover to Risk Manager - operational handover to ITS	December	February

Risk Management

The following is an extract from the University's Risk manager Handbook relating to the classification of risks.

Raw Risk level

Likelihood	Consequences				
	Insignificant 1	Minor 2	Moderate 3	Major 4	Catastrophic 5
A (certain)	H	H	E	E	E
B (likely)	M	H	H	E	E
C (possible)	L	M	H	E	E
D (unlikely)	L	L	M	H	E
E (rare)	L	L	M	H	H
Extreme risk – immediate executive action required					
High risk – senior management attention needed					
Moderate risk – management responsibility specified.					
Low risk – manage through routine procedures					

Effect of Controls on Risks

If the resultant risk is considered Low, no further action is required, and can be noted as Accepted.

Control	Level of Raw Risk			
	Extreme Risk	High Risk	Moderate Risk	Low Risk
Excellent	L	L	L	L
Good	L	L	L	L
Adequate	M	M	L	L
Inadequate	E	H	M	L
Non-existent	E	H	M	L

If the resultant risk is consider Low, no further action is required, and can be noted as Accepted.

Risks identified and dealt with during the project or handed over at the closure were:

Risk Register								
No	Risk Name	Owner	Consequence	Likelihood	Raw Rating	Control mechanisms and weighting.	Effect of control on risk weighting	Treatment and Activity log
1	That the reporting accuracy and ability to retrieve information may be compromised if all existing contracts are not included, have incorrect or incomplete data within the current Contract Management System. It is estimated that 95% of existing contracts are in the new system. Work continues on the remaining 5%	PM	Moderate	Likely	High	Internal audit of current system. Verification from Contract Managers	Medium	Added audit task to Project
2	Future contracts may be managed outside of the reporting system due to the fact that staff could be unaware that the new Contract Document Management System has been implemented and continue managing their own contracts on an ad hoc basis. At this stage there is no evidence of contract managers working outside the system	PM	Moderate	Possible	High	Training and Communication Plan	Low	
3	Delivery in timeframe could be affected by scope creep.	PM	Minor	Unlikely	Low	Correct Budget Project Control function	Low	

Risk Register								
No	Risk Name	Owner	Consequence	Likelihood	Raw Rating	Control mechanisms and weighting.	Effect of control on risk weighting	Treatment and Activity log
	This did have an effect, but was managed through the Sponsor Group							
4	That the full set of requirements is not met due to software application restrictions. Only two 'preferred' features were not delivered, and these have been agreed as not essential	PM	Moderate	Possible	High	Software specifications selection process	Low	
5	Budget over run due to extra resourcing or a more expensive system. System was under budget	PM	Moderate	Possible	High	Change management	Low	
6	A complete list of user requirements may not be obtained from users. This was not evident	PM	Moderate	Unlikely	Medium	Consultation process and stakeholder identification	Low	
7	Research contracts are not compatible and a separate instance may be required After careful negotiation, this was resolved to the satisfaction of both parties	PM	Moderate	Unlikely	Medium	Work with RIMS project to determine any compromises	Low	None required at this stage

Appendices

1.35 Project Closure Statement Example

Contract Management System

Project Name	Contract Management System Project	
Responsible to	A Big Committee	
Sponsors	University Registrar	
Business Process Owner	Department Manager	
Project Team		
Project Leader:	Project Manager	
Project Administrator:	Project Administrator	
Project Members:	Lots more interesting people	
Date Closed	Today	
Project Aim (Scope)	Planned <ul style="list-style-type: none"> • To document the business, user and system requirements of a new Contract Management System at the University • To identify and document options for the purchasing/developing of a Contract Management System that recognises the needs of the University • To purchase a new Contract Management System • To implement the new Contract Management System within the University environment • To document the process for the University. 	Achieved Yes Yes Yes Yes Yes
Project Objectives	Planned <ul style="list-style-type: none"> • To enable the effective monitoring of contracts, including status and expiry date for renegotiation • To enable management reporting of contracts to reduce the risk to the University of potential 	Achieved Yes Yes

	<p>damage</p> <ul style="list-style-type: none"> To have a central repository of contracts in the University for easy access and maintenance. 	Yes
Key Results	<p>Planned</p> <ul style="list-style-type: none"> The process defined and developed for contract management across the University Current and future needs for an integrated system defined that will support contract management across the University The implementation of a new system within the University that will: <ul style="list-style-type: none"> Reduce duplication of reporting for contract management across the University. Ensure a consistent set of contract management reports is developed and maintained The existing data integrated in the new system 	<p>Achieved</p> <p>Yes, although there are still some minor contracts that are not part of the system yet.</p> <p>Yes</p> <p>Yes</p> <p>Yes</p> <p>Yes, although some staff are still using spreadsheets in addition to the reports</p> <p>Yes, where it was in the old system</p>
Deliverables achieved:	<p>Planned Achieved</p> <ul style="list-style-type: none"> To document the business, user and system requirements of a new Contract Management System at the University To identify and document options for the purchasing/developing of a Contract Management System that recognises the needs of the University To purchase a new Contract Management System To implement the new Contract Management System within the University environment To document the process for the University. 	
Deliverables not achieved	<p>Deliverable</p> <p>All contracts in system</p>	<p>Outcome</p> <p>Handover to Risk Manager to continue moving people to new system</p>
Handover details	<p>Activity</p> <ul style="list-style-type: none"> Training – ongoing Operations Support – including monitoring of impact of business process change 	<p>Responsible</p> <p>Risk Manager Risk Manager</p>

1.36 Project Handover Signoff Example

Project Overview

Scope

- To document the business, user and system requirements of a new Contract Management System at the University
- To identify and document options for the purchasing/developing of a contract management system that recognises the needs of the University
- To purchase a new Contract Management System
- To implement the new Contract Management System within the University environment
- To document the process for the University.

Measures of Success

- The Contract Management process defined and developed for contract management across the University.
- Current and future needs for an integrated system defined that will support contract management across the University.
- To implement a new contract management system within the University that will:
 - Reduce duplication of reporting for contract management across the University.
 - Ensure a consistent set of contract management reports is developed and maintained.
- The existing Contract Document Management System data integrated into the new system.

Handover of Deliverables

Contract Management System

Description: CMS and DMS with Web Interface
Handover to: Risk Manager
Date of Handover: Today
Related Documentation: User Guide
Support issues: Supported by Research Office & ITS

Processes

Description: All related processes
Handover to: Risk Manager
Date of Handover: Today
Related Documentation: Process documentation
Support issues: Supported by Risk Office

Project - Handover Tasks

ID	Name	Priority	Due Date	Assign To	Log #	Status/Details
	Training	Medium	August	Risk Manager		
	Operations Support – including monitoring of impact of business process change	High	Ongoing	Risk Manager		
	Systems Support	Medium	Ongoing	ITS		
	All contracts in system	Medium	December	Risk Manager		