VERSION CONTROL

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Sign Off, Review & Information

The following stakeholders are required to either sign off (or formally delegate sign off), review, or have been provided with a copy for information purposes. It is understood that Reviewers required to sign off do so primarily from the perspective of their relevant business area / project role.

<table>
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<td>Máire Ganly</td>
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Project Summary Information

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<tr>
<th>Sponsor</th>
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<tr>
<td>Project Manager/Interim Head PMO</td>
<td>Máire Ganly</td>
</tr>
<tr>
<td>SME PMO</td>
<td>Jim Cumiskey</td>
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<td>Tony Boylan</td>
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1 Introduction

1.1 Purpose of the College PMO Handbook
The purpose of the PMO Handbook is to record in one location the standards, processes and controls relating to management of Capital Projects.

The Handbook introduces the College-wide PMO and presents the standard governance process, a project lifecycle and related processes for Capital Project management, and clarifies how the standards, processes and controls align the PMO with business roles, responsibilities and functions.

The PMO is currently implementing a College-wide project governance structure, a standard set of project management processes (including approval and prioritisation and performance reporting) and a common lifecycle for projects. It is coordinating the introduction of the Capital Project Governance lifecycle and is planning provision of training in lifecycle and processes for Sponsors, Governance groups and Project Managers.

1.2 Executive Summary
Following a review in 2011, Board approved the introduction of a College-wide Programme Management Office (PMO) to improve formality and discipline around processes for projects. The PMO is a centralised, coordinating unit that provides a focal point for project management within College. A key function of this office is to develop and implement a more structured and strategic approach to selecting and prioritising College Capital programmes and projects. This will support greater efficiency within College and ensure that increased transparency is achieved around Capital Projects.

A project is defined as a temporary activity designed to produce a unique product, service or result with a defined beginning and end (usually time-constrained, and often constrained by funding or deliverables), undertaken to meet unique goals and objectives, typically to bring about beneficial change or added value. The temporary nature of projects stands in contrast with business as usual (or operations), which are repetitive, permanent, or semi-permanent functional activities to produce products or services.

A capital project is defined as being any undertaking which requires the use of notable amounts of capital, both financial and labour, to undertake and complete.

Within TCD, a project is classified as capital if total expenditure on the project exceeds €50,000 including VAT.

A capital project helps maintain or improve a College asset, often called infrastructure. It can be a new build, acquisition of land or property, lease of property, the refurbishment of an existing building or the purchase of a new piece of equipment. It can be new Information Technology software / equipment purchase, development, enhancement or replacement, or an Organisational Change Management program.

Project costs can include the cost of Information Technology, Professional Services, Software purchase/Development/Licensing, Internal & External Resource costs, Architectural planning, Engineering, and contract services needed to complete the project.
The purpose of the PMO is to support College/senior management in a variety of ways which include:

1. Provision of a consistent approach to project approval, prioritisation and delivery;
2. Developing and managing Capital Project processes and standards, including project management templates and processes;
3. Establishing an organisational focus on improvements
4. Consolidating and co-ordinating regular standardised reporting of the project portfolio to the Board, EOG and the CRG (Capital Review Group described in detail below);
5. Establishing and managing the College Project Portfolio;
6. Provision of portfolio level status and performance reporting;
7. Establishing an organisational focus on improvements in project management competency.

In June 2013, Board approved that Capital Projects meeting certain criteria would report through the College-wide PMO. Business Cases for proposed projects will be assessed on the basis of:

- Severity of the problem and the impact of the project over the next 5-15 years;
- Quality of project planning (including risk analysis);
- Level of innovation and synergies in proposed solution;
- Benefit of the proposed solution compared to alternatives;
- Fit with current College strategic plans and initiatives;
- Cost Benefit Analysis.

1.3 Scope of the PMO
The scope of the PMO is for Capital Projects with a minimum value of €500k. The remainder of Capital Projects (€50k – €500k) will be supported by local Project Offices and their operational areas following the standards set by the PMO. Where local POs do not exist, the College PMO will provide support as required.

Two principle information flows operate within the PMO – Approval & Prioritisation and Reporting as shown below. Detailed process descriptions are provided later in the Handbook.
There are a number of significant benefits anticipated from the PMO and the processes being implemented:

- Improved definition of project Business Cases so that College resources and funds are committed to the areas of highest priority and return for the College and better alignment of the Business Case with deliverables;
- Assistance with identification of resource requirements, particularly in critical front end project stages;
- Clearer decision making processes and, consequently, timely decision making during the lifecycle of each project leading to better control of timescale and budget;
- Better identification of the necessary organisational change activities needed so that projects provide the required return on effort and investment;
- Improved management of risks associated with programmes and projects;
- Improved verification of timelines and budget for planned projects through standard reporting processes;
- Development of an improved project management culture, formal change controls and risk management strategies;
- Standardised reporting and monitoring leading to improved management information and support of College strategy;
- Better coordination between projects;
- Improved visibility of project performance, capital spend, project costs, benefits and key resource impacts; greater control of costs and risks;
- Improved project approval and prioritisation process;
- Improved College project delivery, higher levels of skill among project managers from use of a common approach and ongoing competency training;
- Standardisation of the College Capital Project Governance.

Sponsors may request advisory support from the PMO in completing the documentation outlined within the governance process, or to provide advice on how best to progress through the Capital Project Governance Process.

In summary, the PMO has responsibility for establishing the management processes for projects reporting through it and will incorporate a set of defined policies, procedures, templates, management processes, tools, and services.
### 1.4 Project Risk Indicator (PRI)

The College has a large number of Capital projects running at any time. These vary in size, cost, resource usage and timelines. The Project Risk Indicator provides a high level overview of the level and type of risk with each project. A standard approach has been defined which scores projects based on their key risk indicators.

Projects are assigned a Project Risk Indicator (PRI) of **Low, Medium or High**. The PRI matrix is completed initially during the Approval and Prioritisation Stage during the development of the Business Case, and is subsequently recalculated at Stage Gate Reviews and during the Change Request process. The use of the PRI will be further developed as the Capital Projects Governance Process is embedded.

The table below outlines the criteria considered and their relative grading providing the project risk indicator. The higher the PRI score, the higher the perceived risk for the project.

<table>
<thead>
<tr>
<th>Project Risk Indicator</th>
<th><strong>Very Low</strong>&lt;br&gt;(1)</th>
<th><strong>Low</strong>&lt;br&gt;(2)</th>
<th><strong>Medium</strong>&lt;br&gt;(3)</th>
<th><strong>High</strong>&lt;br&gt;(4)</th>
<th><strong>Very High</strong>&lt;br&gt;(5)</th>
<th>Score</th>
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<tbody>
<tr>
<td>Team size</td>
<td>&lt;3</td>
<td>3-7</td>
<td>8-12</td>
<td>12-17</td>
<td>&gt;17</td>
<td></td>
</tr>
<tr>
<td># of cross functional areas involved</td>
<td>1</td>
<td>2-5</td>
<td>6-9</td>
<td>10-12</td>
<td>&gt;13</td>
<td></td>
</tr>
<tr>
<td>Estimated Duration (Elapsed Months)</td>
<td>&lt; 4</td>
<td>4-11</td>
<td>12-18</td>
<td>19-24</td>
<td>&gt;24</td>
<td></td>
</tr>
<tr>
<td>Technology and / or Business Process – Known or New</td>
<td>In house expertise available</td>
<td>Very Familiar</td>
<td>Somewhat Familiar</td>
<td>New to TCD</td>
<td>New to industry/ Leading edge</td>
<td></td>
</tr>
<tr>
<td>Complexity of solution</td>
<td>Well defined. No problems expected</td>
<td>Known and some minor problems expected</td>
<td>Known but some medium / major problems expected</td>
<td>More than one approach available</td>
<td>Solution unknown or vaguely defined</td>
<td></td>
</tr>
<tr>
<td>Dependency on external suppliers / organisations</td>
<td>Long standing relationship</td>
<td>Reasonable relationship</td>
<td>Used before, but not regularly</td>
<td>Used before, but not recently</td>
<td>No previous relationship</td>
<td></td>
</tr>
<tr>
<td>Risk to Reputation</td>
<td>Reputational risk unlikely to happen, with negligible impact</td>
<td>Reputational risks occasionally occur, with minor impact to reputation</td>
<td>Reputational risks are likely as not to occur, with notable impact to reputation</td>
<td>Reputational risks are likely to occur, with substantial impact to reputation if they do</td>
<td>Reputational risks certain to occur, which threatens reputation of project or TCD</td>
<td></td>
</tr>
<tr>
<td>TCD Resource Impact</td>
<td>In house skills present and project is easily absorbed within current workload</td>
<td>In house skills present with some occasional impact on current workloads</td>
<td>In house skills present but the project will impact current workloads and require backfill</td>
<td>Up skilling required, resources will have to be dedicated to the project</td>
<td>In house and external resources dedicated to project and from more than one department</td>
<td></td>
</tr>
<tr>
<td>Funding/Finance</td>
<td>Funding exists with current budgets</td>
<td>Most funding in place or requires minor budgetary allocation</td>
<td>Funding not in place. Project will impact departmental budgets</td>
<td>Funding sources not clear, will impact TCD budgets</td>
<td>Funding will be difficult, funding complexity mix high and possibly not attainable</td>
<td></td>
</tr>
<tr>
<td>Project Scoring:</td>
<td><strong>Low</strong> &lt; 19</td>
<td>Medium 19 – 31</td>
<td>High &gt; 32</td>
<td></td>
<td></td>
<td><strong>Total:</strong></td>
</tr>
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Fig 3. **PROJECT RISK INDICATOR**
2 Capital Project Governance

The following sections provide a high level overview of the governance approach to be followed by all College Capital Projects. The approach breaks the overall project life-cycle into different stages and provides details of the processes and documentation that will be required during each stage. The approach will be further enhanced as its rollout progresses throughout the College.

The Project Sponsor/Project Manager may request assistance from the College PMO to support them in completing the documentation outlined, or to provide advice on how best to progress through the project stages.

The lifecycle described here views the project as a series of sequential project stages, separated by “Gates” where formal reviews take place determining the continued funding and approval of the project.

The standard Capital Projects lifecycle is designed to be scalable for different project types and levels of complexity. It is intended to be used for all Capital Project types including construction, information systems and business change. All project types will follow the generic stages but may have specific sub-stages relevant to their own domain.

Gates are decision points in a programme’s or project’s lifecycle where Governance (Steering, CRG, EOG, Board) asks key questions to help ensure that the project is still feasible. These Gates or decision points also align to the incremental investment approach of the project. On approval, Governance will approve the funding required for a project to reach the next Stage Gate.

Project stages are normally executed sequentially to ensure minimal project cost. Specific factors, however, may require accelerated delivery of a project (e.g. an external risk to College may outweigh the project cost or schedule overrun risks) and in this case the lower risk approach would be to speed up the project by overlapping some stages. In the case of expedited project plans a full risk assessment and cost benefit analysis case for non-sequential stages will be made and approved by the Project’s Steering Committee.

The standard Stages within the Capital Project lifecycle are:

<table>
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<th>Stages</th>
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<tbody>
<tr>
<td>Approval and Prioritisation</td>
</tr>
<tr>
<td>Initiation and Strategic Planning</td>
</tr>
<tr>
<td>Detailed Planning and High Level Design</td>
</tr>
<tr>
<td>Detailed Design</td>
</tr>
<tr>
<td>Execution and Handover</td>
</tr>
<tr>
<td>Closeout</td>
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<tr>
<td>Post-Project</td>
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</table>

Fig 4. CAPITAL PROJECT STAGES

Each of the major Stages listed concludes with a Gate Review at which the project’s performance is assessed against its Business Case. To be considered ready to move to the next lifecycle stage, specific criteria within the Stage Gate Approval Pack and other key supporting documents must be met. These provide control of milestone completion and confirm that required tasks and steps have been satisfactorily completed, and that required deliverables have been completed, reviewed, and have received signoff.

Throughout the lifecycle, if any changes are identified that will alter the Business Case (project scope, timeline, resource effort or costs/benefits) previously approved, the Sponsor and Project Manager will initiate a Change Request for submission into the Change Request process, for review
by the appropriate governance level before being confirmed as accepted by the project for delivery (see relevant section later in document for process details).

The rationale for the Capital Project Governance lifecycle and its context are summarised in the Appendices.
2.1 Project Approval & Prioritisation

The primary owner for the process is the Project Sponsor.

This process is used when initial project approval and prioritisation is sought from the CRG.

All projects with a capital spend greater in value than €50k must be submitted to CRG for approval whether funding is being sought or not. Capital projects with a smaller spend may be requested to go for approval to CRG if there risk profile warrants it.

All projects must be submitted for approval and prioritisation by CRG before being confirmed as a project for delivery.

- CRG may approve projects with capital spend up to €150k.
- EOG may approve projects with a capital spend up to €3m.
- Board may approve projects with a capital spend greater than €3m.
- Approval for projects with a capital spend of €500k or greater will be managed via the PMO.

The Sponsor provides a standard set of project information to the PMO in order to support the submission of their new project into this process. This set of information is considered to be the minimum required by the CRG to support their project approval and prioritisation decision making process. The information is provided to the PMO using standard, pre-defined templates.

The templates / documents to be used by the Sponsor are:

- Business Case pack (PASS 2)
  - Business Case
  - Financial Plan
  - Business Case Summary
  - Change Request PRI Log

Additional templates / documents used by PMO during the process are:

- Project Portfolio Approval & Prioritisation pack
  - Project Portfolio Roadmap
  - Project Portfolio Impact Assessment

At the end of this stage, the proposed project is submitted to CRG for review and recommendation (see later section for Approval & Prioritisation process details.)

Principle deliverables

- Business Case pack
  - Business Case
  - Financial Plan
  - Change Request PRI Log
  - Business Case Summary

Processes used include

- Approval & Prioritisation
2.2 Initiation and Strategic Planning

This Stage initiates or kicks off the project following approval.

The primary owner for the Stage deliverables is the Sponsor until the Project Manager is identified and assigned. Once assigned, the Sponsor transfers day to day responsibility for project deliverables to the Project Manager. The Sponsor and Project Manager work together to select the project team members and agreement is reached to release team members to work on project activities. The Project Manager and Sponsor also define project controls, governance, and the communications approach. The complete internal governance structure for the project will be put in place during this Stage.

Communications take place with the key stakeholders and team members about project objectives, goals, timelines, deliverables, standards, controls, etc. The individual/specific roles and responsibilities for the duration of the project are agreed.

Regular project status reporting to the PMO begins following the standard Project Performance Reporting process (see relevant section later in document for process details).

**Principle inputs for this Stage**

- All previously approved project management and project deliverables.
- Decision from Approval and Prioritisation process including approved project timeline, budget, resources

**Principle deliverables for this Stage**

At the end of this Stage, the following key deliverables are submitted for approval by Steering and other appropriate authorities and approval is sought to progress.

- Project Initiation Document (PID)
- Delivery Plan (High Level) (TBC)
- Updated Financial Plan
- RAID Log
- Change Request PRI Log
- Mobilised team

**Additional Construction Specific (CWMF) deliverables (confirm approval for design expenditure)**

- Final output specification
- Definitive project brief
- Risk management plan

**Processes used**

- Project Portfolio Performance Reporting process
- RAID review management process
- Recruitment, if required
- Procurement, if required
- Change Request management process, if required
- Project Stage Gate approval process
### 2.3 Detailed Planning and High Level Design

The primary owner for the deliverables in this Stage is the **Project Manager**.

During this Stage the Project Manager, Sponsor and team develop detailed project plans and schedules to support the delivery of the project. The Detailed Project Delivery Plan, Financial Plan are developed to which the team’s and key stakeholders’ buy-in is gained.

A design team is appointed and business user requirements are documented. Design of the business solution is developed and approved based on the approved Business Case.

The project schedule, cost plan and risk log (RAID) are updated and a procurement strategy developed if required.

This is the earliest point at which EOG/Board may approve full funding for the project.

**Principle inputs for this Stage**

- All previously approved project management and project deliverables.

**Principle deliverables for this Stage**

At the end of this Stage, the following key deliverables are submitted for approval by Steering and other appropriate authorities and approval is sought to progress.

- Delivery Plan (Detailed) with updated Financial Plan
- Business Requirements
- High Level Design

**Construction Specific (CWMF) deliverables (confirm requirements, review procurement strategy, assess project design and Outline Cost Plan)**

- Outline sketch scheme (Building)
- Preliminary planning drawings (Civil Engineering)

**Processes used**

- Project portfolio performance reporting process
- RAID review management process
- Recruitment, if required
- Procurement, if required
- Change Request management process, if required
- Project Stage Gate approval process
2.4 Detailed Design

The primary owner for the Stage deliverables is the Project Manager. During this Stage the Project Manager, Sponsor and team develop detailed designs to support the delivery of the project.

Principle inputs for this Stage
- All previously approved project management and project deliverables.

Principle deliverables for this Stage
At the end of this Stage, the following key deliverables are submitted for approval by Steering and other appropriate authorities and approval is sought to progress.
- Updated Delivery Plan (Detailed) with updated Financial Plan
- Functional Specification (if required for the project)

Construction Specific (CWMF) deliverables (assess project prior to and assess outcome from statutory approval)
- Developed Sketch Scheme
- Statutory Approval Submission

Processes used include
- Project portfolio performance reporting process
- RAID review management process
- Recruitment, if required
- Procurement, if required
- Change Request management process, if required
- Project Stage Gate approval process
2.5 Execution and Handover

The project now enters its Execution and Handover Stage where the technical deliverables of the project will be produced and handed over for operational use. The primary owner for the project deliverables is the **Project Manager**. This Stage may be carried out in-house or via contractors and recruitment and/or contracts may be required (College Resourcing and Procurement processes).

This Stage, depending on the category of project being carried out, will include such sub-stages as Tendering, Development, Training, Testing and Handover. The Delivery Plan will be updated with any new details and a testing and handover schedule agreed. The project management team plan and deliver required training as necessary. The Delivery Plan and all component parts are updated accordingly.

**Principle inputs for this Stage**

- All previously approved project management and project deliverables.

**Principle deliverables for this Stage**

At the end of this Stage, the following key deliverables are submitted for approval by Steering and other appropriate authorities and approval is sought to progress.

- Updated Delivery Plan (Detailed) with updated Financial Plan
- All planned project deliverables (tender, execution, testing, handover/implementation) including
  - Test plans, tested, signed off delivered project products, training plans
  - Handover and implementation schedule (in Delivery Plan)

**Construction Specific (CWMF) deliverables (approve detailed design solution, review pre-tender cost check, review risk, all tender related documents, review tender returns in advance of awarding the contract).**

- Detailed pre-tender cost check
  - Whole life cost update
  - Contractor list selection
  - Tender assessment criteria
  - Tender analysis and report
  - Contractor recommendation

**Processes used include**

- Project portfolio performance reporting process
- RAID review management process
- Recruitment, if required
- Procurement, if required
- Change Request management process
- Project Stage Gate approval process

A Stage Gate review will be held at the end of the tendering sub-stage.

Reviews will be carried out by Steering at the end of the Execution and Testing sub-stages and a Stage Gate review will be held at the end of the complete Stage (Gate Review 5).
2.6 Closeout

The primary owner for the Stage deliverables is the **Project Manager**. In this Stage, a lessons learned exercise is performed where all stakeholders are encouraged to provide constructive feedback on how the project operated throughout its lifecycle – what worked well, and what might be done differently if the project were to be executed again.

The project logistics initiated in the earlier stages of the project are shut down. The project team ensures that all key project documents are available in the project folders, with unwanted versions of deliverables removed or archived.

A **Project Closure Report (TBC)** is prepared by the Sponsor and Project Manager based on the approved Business Case and any subsequent approved change requests. This summarises the state of project delivery – what the project has delivered and what it has not. It highlights any key deliverables not delivered and any key critical success factors not achieved. It details the project performance against the approved baselines in the areas of scope, timeline, effort, financial, and quality. Lessons learned are included in this document.

Project management documents are finalised including the Decision and RAID Logs. Team resources are officially released from the project.

If a Post-implementation benefits review was agreed during earlier phases of the project, specific requirements and the scope of this review are reconfirmed and a provisional timeline to execute it is agreed. This will include details on when the review will be performed, who will own, deliver and drive the review, and who the key resources will be to perform the review.

** Principle inputs for this Stage **

- All previously approved project management and project deliverables.

** Principle deliverables for this Stage **

At the end of this Stage, the following key deliverables are submitted for approval by Steering and other appropriate authorities and approval is sought to progress.

- Updated Delivery Plan with updated Financial Plan
- Project finances closed off
- Handover and implementation schedule
- Project Closure Report (TBC)
- Delivered, tested products, signoffs

** Processes used include **

- Project portfolio performance reporting process
- RAID review management process
- Project Stage Gate approval process
2.7 Post Project

During Closeout, the specific requirements and scope of the Post Implementation Benefits Review (*CWMF: Project Outturn Review*) is confirmed and a provisional timeline to execute it is agreed.

The Sponsor plans for the required review by confirming:

- Scope of the review – what is in and out of scope
- Key deliverables from Review
- Resources required to perform the Review
- Timeline for performing the Review

The Sponsor may find it useful and/or necessary to use the standard project management planning tools and templates to plan the review, but this is not mandatory and is dependent on the scale of the review.

The Sponsor will manage the post-project review, and is responsible for the production of the *Post Implementation Benefits Review* (TBC).

The document, or a summary of the key findings, will be provided to PMO to be included in regular project portfolio reporting to appropriate levels of governance.
3 Key Capital Project Governance Processes

All PM Framework templates can be found on TCD Projects shared drive at the following location: https://www.tcd.ie/local/pmo/

3.1 Project ID Request process
The primary owner for the process is the Project Sponsor.

Step 1. The Project Sponsor requests a unique project ID from the PMO by sending an email to PMO. The email should contain basic information on the project such as:

- Project Short Name
- Brief description of project
- Project Objectives
- EOG Champion
- Project Sponsor
- Proposed start / end dates, if available

Step 2. PMO confirms that all information required to support the allocation of a new project ID to the request is available on the email.

Step 3. PMO then updates the Project ID Request Register with the details provided, and allocates the next sequential ID from the register to the project.

The template / document to be used by the Project Sponsor is:

- An email to PMO to request a Project ID

Additional templates / documents used by PMO during the process are:

- Project Portfolio Summary Register Log
3.2 Project Approval and Prioritisation process

In the longer term this is planned as an annual process which will be managed in two pass phases with exceptions being handled as appropriate throughout the year. The primary owner for the process is the Sponsor. This process is used when project approval and prioritisation is sought.

Approval and prioritisation is executed in two passes:

- **PASS 1** is designed to filter proposals thus creating a shortlist of potential projects for further focus on potential approval and prioritisation. Shortlisted projects will each be required to develop a detailed Business Case in order to be considered in Pass 2.
- **PASS 2** is designed to assess full Business Cases and their detailed Financial Plans, to challenge the purpose and objectives of shortlisted projects, validate them against the existing College project portfolio and approve or reject projects.

All projects with a capital spend greater in value than €50k must be submitted to CRG via PMO for approval whether funding is being sought or not.

All projects must be submitted for approval and prioritisation by CRG before being confirmed as a project for delivery.

- CRG may approve projects with capital spend up to €150k.
- EOG may approve projects with a capital spend up to €3m.
- Board may approve projects with a capital spend greater than €3m.

The Sponsor provides a standard set of project information to the PMO in order to support the submission of their new project into this process. This set of information is considered to be the minimum required by the CRG to support their project approval and prioritisation decision making process. The information is provided to the PMO using standard, pre-defined templates.

The templates / documents to be used by the Sponsor are:

- Business Case pack (PASS 2)
  - Business Case
  - Financial Plan
  - Approval Prioritisation Proposal pack
  - Change Request PRI Log

Additional templates / documents used by PMO during the process are:

- Project Portfolio Approval & Prioritisation pack
- Project Portfolio Roadmap

At the end of this stage, the proposed project is submitted to CRG for review and recommendation (see later section for Approval & Prioritisation process details.)

Principle deliverables

- Approval & Prioritisation Proposal pack
- Business Case pack
  - Business Case
  - Financial Plan
  - Change Request PRI Log

Processes used include

- Approval & Prioritisation
3.2.1 Business Case pack preparation

The development of these documents is mandatory.

The Project Sponsor prepares the required documents (listed below) for submission for Approval & Prioritisation to the CRG.

The Project Sponsor should obtain approval from the responsible EOG Champion and Dean/Chief Officer before submitting into the CRG. The Project Sponsor must ensure that the proposed project is aligned with TCD Strategy.

The Project Sponsor requests a unique project number from the PMO at this point by requesting one via email basic information on the project i.e.

- short name
- project short description
- project objectives
- names of the Project Sponsor and the EOG Champion
- Proposed start / end date if available

PMO follows the Project ID Request process and provides a unique project number to the Project Sponsor. This unique ID will be included in the appropriate location in all project documents. Please refer to the Project ID Request process in this document for further detail on the process.

The Project Sponsor submits the required documents (listed below) to PMO for inclusion in CRG submissions via the Project Approval & Prioritisation process.

The Financial Plan template allows contingency for all budgeted project costs and resource man-days. The % contingency allocated is variable and can be set to any % based on the perceived risk of project estimates. This is agreed during the Pre-Project Approval stage, and monitored throughout the project lifecycle.

PMO will collate the information provided with any other requests received, and submit to the CRG for their review, consideration and decision.

The templates / documents to be used by the Project Sponsor for submission to the CRG are:-

- Business Case Summary
- Business Case
- Financial Plan
- Change Request PRI Log

3.2.2 PASS 1 – Filter and Create Potential Project Shortlist

3.2.2.1 Preparation of project Business Case for approval & prioritisation

Step 1. Annually, a communication will be issued by CRG indicating the timeline for submissions.

Step 2. The Sponsor completes the required templates. In summary, the required process information will include:

- Background (problem to be resolved) and objectives
- Scope (both in and out)
- Constraints, assumptions, risks and dependencies, interfaces
- Options (with pros and cons) and recommended programme/project option.
- High level schedule
- Estimated costs (project and ongoing operational)
- Estimated benefits (both quantifiable and non-quantifiable)
Key resources required, milestones
- A project risk indicator is decided and financial and time estimates are provided
- If funding is required for Business Case preparation, this should be requested as part of this process and included in the pack.

Step 3. If space allocation is a requirement of the project, the Sponsor will get approval on space from the Space Allocation Sub-Committee (SASC) in advance of submission.

Step 4. Dean/Chief Officer signs off on Business Case Summary (the Proposal) before submission to CRG via PMO.

Step 5. PMO receives a request from the Sponsor to include the Proposal in the schedule of CRG Project Portfolio Approval and Prioritisation meeting and provides all required documents.

Step 6. PMO confirms that the Proposal provided is complete. If further details are required, these are requested and received from the Sponsor.

Step 7. PMO updates the Project Portfolio Summary Register Log with any previously unavailable project information.

3.2.2.2 CRG Project Portfolio Approval & Prioritisation Meeting(s) – Preparation

NOTE: A number of meetings may be held to facilitate volume of submissions.

Step 8. PMO collates all individual new Proposals into the Project Portfolio Approval & Prioritisation pack to be provided to CRG.

Step 9. PMO creates a high level Project Portfolio Impact Assessment and includes this in pack.

Step 10. PMO issues the Project Portfolio Approval & Prioritisation pack to CRG members three days in advance of the meeting for their review and consideration.

Step 11. CRG members review and consider the details of project proposals and raise any queries or requests for additional information either directly to the Sponsor or via PMO in advance of the meeting.

3.2.2.3 CRG Project Portfolio Approval & Prioritisation Meeting(s)

NOTE: A number of meetings may be held to facilitate volume of submissions.

Step 12. The CRG Project Portfolio Approval & Prioritisation meeting is held following the published schedule.

Step 13. Sponsor presents their proposed project(s) at CRG. A decision on recommendation to proceed to the next stage is made. Possible CRG decisions are:
- Progress to next stage of approval & prioritisation (PASS 2 – see below)
- Rejected (with reason)
- Further Information requested (with specifics)
- Project put on Hold or Deferred (with reason)

Step 14. CRG decisions are communicated:
- Sponsor communicates decisions to Dean/Chief Officer, and key stakeholders, departments as appropriate.
- Sponsor communicates to EOG/Board/Committees on actions and recommendations for individual project proposal
- Detailed actions and recommendations of CRG are communicated via minutes of CRG to EOG and committees.

### 3.2.2.4 PMO processing of CRG decisions

**Step 15.** PMO updates
- *Project Portfolio Summary Register log* as appropriate.
- *Project Portfolio Roadmap* as appropriate in advance of the next meeting.

**Step 16.** PMO provides the updated *Project Portfolio Roadmap* and impacts of CRG decisions to CRG.

### 3.2.3 PASS 2 – Assess Business Case and Supporting Documents

#### 3.2.3.1 Preparation of Business Case for approval & prioritisation

**Step 1.** Sponsor prepares *Business Case pack* using the standard templates.

**Step 2.** PMO receives request from the Sponsor to include the proposed project in the schedule of CRG Project Portfolio Approval & Prioritisation meetings and provides all required documents.

**Step 3.** PMO confirms that the *Business Case pack* is complete. If further details are required, these are requested and received from the Sponsor.

**Step 4.** PMO updates the *Project Portfolio Summary Register Log* with any previously unavailable project information.

#### 3.2.3.2 CRG Project Portfolio Approval & Prioritisation Meeting - preparation

**NOTE:** A number of meetings may be held to facilitate volume of submissions.

**Step 5.** PMO collates all individual Proposals/Business Cases into the *Project Portfolio Approval & Prioritisation pack* to be provided to CRG.

**Step 6.** PMO prepares a *Project Portfolio Impact Assessment* and includes in the pack for submission to CRG at their scheduled meeting.

**Step 7.** PMO issues the *Project Portfolio Approval & Prioritisation pack* to CRG members three days in advance of the meeting for their review and consideration.

**Step 8.** CRG members review and consider the projects submitted and raise any queries or requests for additional information directly to the Sponsor or via PMO.

**Step 9.** All projects go to FSD to vet finances.

#### 3.2.3.3 CRG Project Portfolio Approval & Prioritisation Meeting(s)

**NOTE:** A number of meetings may be held to facilitate volume of submissions.

**Step 10.** CRG Project Portfolio Approval & Prioritisation meeting is held following the published schedule.
Sponsor presents each project for approval/prioritisation and a decision is made for each submission. All potential impacts are considered in this process. Potential CRG decisions are:

- Recommendation for approval (to EOG/Board)
- Rejected (with reason)
- Further Information requested (with specifics)
- Project Put on Hold or Deferred (with reason)

### 3.2.3.4 Processing of CRG decisions/Recommendations

**Step 11.** PMO updates:

- *Project Portfolio Summary Register log* as appropriate.
- *Project Portfolio Roadmap* as appropriate in advance of the next meeting.

**Step 12.** PMO provides an updated *Project Portfolio Roadmap* and impacts of CRG decisions to CRG.

**Step 13.** CRG processes decisions/recommendations to EOG/Board as required via CRG minutes.
3.3 Project Portfolio Performance Reporting Process

The primary owner for the process is the **PMO**.

The purpose of this process is to create monthly project portfolio performance reporting for submission to the CRG.

Project Status Reports from all relevant Project Managers will be created as of the last working day of each month, and submitted to the PMO within three working days of end month.

Any change requests to be considered for review at the CRG meeting will be included with the current status reports.

The PMO will create the consolidated *Project Portfolio Performance Reporting pack* and issue to the CRG a minimum of three working days in advance of scheduled CRG meeting.

**The templates / documents to be used by the Project Manager are:**

- Project Status Report
- Change Request Presentation and Forms

**Additional templates / documents / processes used by PMO during this process are:**

- Project Portfolio Performance Reporting pack
- Project Portfolio Summary Register Log

3.3.1 Preparation of Status Report by Project Manager

**Step 1.** PMO provides a reminder of the upcoming reporting due date at each calendar month end.

**Step 2.** Project Manager completes the required *Project Status Report pack* and reviews with Sponsor in advance of submitting to PMO.

**Step 3.** *Project Status Report* received by PMO from all Project Managers by due date.

**Step 4.** PMO crosschecks the *Project Portfolio Summary Register Log*, and confirm which, if any, projects have not provided submissions.

**Step 5.** PMO contacts relevant Project Managers who have not delivered the pack, requesting reason for delay and expected delivery date.

3.3.2 Collation of status information and issuance to CRG by PMO

**Step 6.** CRG Project Portfolio Performance Reporting pack created by PMO by

- collating *Project Status Report packs* received from the Project Managers
- collating *Change Requests* raised to be included in the Project Portfolio Performance Reporting pack
- developing and including the *Project Portfolio Performance Reporting* report

**Step 7.** Full *Project Portfolio Performance Reporting pack* issued by PMO to all CRG members three working days in advance of the CRG meeting for review and consideration.
Step 8. CRG member reviews and considers / prepares for the Project Portfolio Performance meeting. The CRG member raises any queries or requests for additional information directly to the Sponsor or via PMO in advance of the meeting.

Step 9. *Project Portfolio Summary Register Log* is updated by PMO with the following information received from the Project Manager:

- Overall project status
- Schedule current status
- Financial current status
- Effort current status

3.3.3 CRG Project Portfolio Performance meeting

Step 10. CRG Project Portfolio Performance meeting is held. Status of each project is reviewed, performance deviations highlighted, and required corrective actions challenged if appropriate and/or required.

Step 11. Key project portfolio *Risks, Assumptions, Issues and Dependencies* and current impacts are reviewed.

Step 12. Decisions on submitted *Change Requests* are sought and received from the CRG at this meeting.

Step 13. CRG recommendations are communicated to EOG/Board and the wider community (as appropriate) by the CRG Chair (supported by PMO).
### 3.4 Project Stage Gate Approval Process

The primary owner of the process is the **Sponsor**.

The purpose of this process is to seek approval or request for the continuation of the project through the Capital Project Governance process.

The decision on Stage Gate Approval is provided by the required Governance authority (Steering/CRG/EOG/Board) depending on € value of project.

The **Project Manager** is responsible for collating all required documentation for preparation of the Stage Gate Approval presentation Pack which serves as a basis for Governance authority’s decision.

The **Project Stage Gate Approval Process** provides an opportunity for a formal review and decision to point to:

1. review actual project performance against plan
2. consider any changes to the environment in which the project is operating which may impact the project delivery (positively or negatively)
3. review estimated benefits to confirm they are still on target to be delivered
4. review / challenge the project approach taken so far in the project
5. identify / agree any corrective action required to keep the project on track
6. review any changes (if any) to the approved project scope, timeline, financials and resourcing

...before making a decision if College will commit to closing the current stage and commencing the next stage.

It ensures the agreed level of approval for the project, and is a checkpoint for the control of College resources (€, resources, technology).

**The templates / supporting documents to be used by the Project Manager are:**

- Stage Gate Approval Presentation pack
- Financial Plan
- Project Roadmap
- Delivery Plan
- Specific deliverables for current stage
- Project Status Report (latest)
- Risks, Assumptions, Issues, Dependencies log
- Project Risk Indicator Log
- Change Requests, if appropriate

#### 3.4.1 Stage Gate Approval steps

**Step 1.** Sponsor signs off project to request Stage Gate Approval and requests Project Manager to collate all required documentation.

**Step 2.** Project Manager collates all required documentation for the Stage Gate Approval Pack.

**Step 3.** Steering is presented with the Stage Gate Approval pack and a decision whether to proceed to Stage Gate Approval is made.

**Step 4.** If Steering decides to proceed to Stage Gate Approval, the Sponsor submits the Stage Gate Approval request to CRG.
Step 5. If Steering decides not to proceed to Stage Gate Approval,
   a. Reasons for the decision and / or required corrective actions are agreed with the Sponsor.
   b. Sponsor, supported by the Project Manager, completes the agreed corrective actions
   c. Sponsor reinitiates the process.

   Governance authority to progress

Step 6. CRG reviews the Stage Gate Approval request as presented by Sponsor.

Step 7. If the request is approved by CRG,
   a. The Stage Gate Approval progresses through the governance process until the appropriate level of approval for the project is received from the required Governance authority (CRG/EOG/Board).
   b. When the final approval is provided, the decision is communicated to Sponsor by the CRG (via PMO).
   c. The project proceeds as per Stage Gate Approval request.

Step 8. If the request is not approved by CRG,
   a. Reasons for the decision and / or required corrective actions will be communicated to Sponsor.
   b. Sponsor, supported by the Project Manager and Steering Committee members, complete the agreed corrective actions
   c. Sponsor reinitiates the process.
3.5 Change Request (CR) management process

3.5.1 Background

The primary owner for the process is the Project Manager/Project Sponsor. Changes during the course of a project are inevitable and can affect the project scope, cost, deliverables, delivery timeline, and benefits. The Change Request (CR) management process is a systematic approach that allows for change while minimising the negative consequences of those changes. The CR management process is used when a change has been identified that requires approval to vary the approved project baseline.

This is the only process for varying the project baseline and a CR Approval form is used to record the change description, benefits, request options, costs and details of impact.

A CR may be initiated by anyone involved in the project. For example:

- College may originate a CR because the environment, needs, or goals have changed since the project started
- The project team may identify issues during design/implementation. As knowledge of the solution increases, aspects of the original design may no longer be suitable or optimal
- A non-compliance issue may need corrective action.

After completion of the CR Approval form, the Project Sponsor must approve the request to proceed for evaluation. If the impact of the change falls within the approved project baseline, accountability for approving the CR will remain with the Sponsor. If the impact of the change falls outside of the approved project baseline, then the CR and its impacts will be submitted by the Sponsor to the Steering Committee for approval and then on to the Appropriate Authority based on the current project approval levels (e.g. CRG/EOG/Board) using the Change Request presentation template.

3.5.2 Recording information about the requested change

Raised CRs will be recorded and their status maintained by the Project Manager in the Change Request PRI Log. CRs which fall outside of the project baseline are reported to the PMO in the monthly Project Status Report template.

The information provided by the Project Manager to the project's Sponsor, Steering Committee and, in turn via PMO, to the Appropriate Authority, includes:

- CR Approval form (see tab in Change Request PRI Log)
- Change Request Presentation template
- Additional documents to support the CR as required.

Additional documents used by the Project Manager and Sponsor during the process include:

- Change Request Log (see tab in Change Request PRI Log template)
- Project Risk Indicator (PRI) Log (see tab in Change Request PRI Log template)
- Business Case Pack (Business Case, Financial Plan, Project Delivery Plan and related trackers)

Additional templates / documents used by PMO during the process are:

- Project Portfolio Summary Register Log
- The following diagram illustrates the CR management process.
Fig 5. CHANGE REQUEST MANAGEMENT PROCESS FLOW
3.5.3 Authority to Initiate Change Request

A change request can be initiated by any member of the project team, sponsor or key stakeholder, but can only be approved for action by CRG/EOG or Board depending on the cost.

**Step 1. Raise CR and submit to Project Manager**
Requestor formally documents the change request using the *Change Request Approval form* and submits to the Project Manager for review and management.

**Step 2. Requestor may submit any additional information / documentation that support the CR and the understanding of the requirement.**

**Step 3. Review Change Request**
Project Manager receives the change request and logs the details in the *Change Request PRI Log.*

**Step 4. Project Manager reviews the change request, analyses the scope of the request, and agrees with the Project Sponsor on the impact of evaluating the change request (if any).** The Project Manager may at this stage re-calculate the project’s Project Risk Indicator (PRI) score based on the impact on the project of the change request being approved. The PRI is a standardised approach to identifying the likely level of risk attached to a project. The PRI matrix can be completed in *Change Request PRI Log.*

If the Project Sponsor does not accept the impact of evaluating the change request, the change request will not be evaluated.

If the Project Sponsor accepts the impact of evaluating the change request (potential cost, resource, time slippage or change in quality of deliverables), they will do one of two things:

1. **If** the impact of the change falls within that approved project baseline for resource effort, cost, benefit, and delivery schedule which was approved by the CRG when the project was approved and prioritised, the accountability for approving the change request evaluation will remain with the Project Sponsor.

   The Project Sponsor works with the Project Manager to ensure that appropriate resources are assigned to evaluate the change request.

   The Project Manager / Project Sponsor inform the Project Steering Committee of the change request in the next status report / at the next Steering Committee meeting.

2. **If** it falls outside the approved baseline, then the Project Sponsor escalates the change request to the project Steering Committee for review and decision at the next Steering Committee meeting.

   The Steering Committee can make one of the following decisions:

   - **Reject the Change Request** – the Steering Committee does not accept the impact of evaluating the CR. The CR will not be evaluated.

   - **Approve the Change Request** - the Steering Committee accepts the impact of evaluating the CR and approves its escalation to the CRG for a decision (as it is outside of their approval authority).

If approved for escalation by the Steering Committee to the CRG, the Project Sponsor prepares the required documentation and submits a request for approval by the CRG via...
the Approval & Prioritisation process. Please refer to the relevant section in this document for full details on this process.

If the CRG does not accept the impact of evaluating the change request, the change request will not be evaluated.

If the outcome of the CRG is the approval of the evaluation, the Project Sponsor works with the Project Manager to ensure that appropriate resources are assigned to evaluate the change request, and continue to progresses through the Change Request process.

If the request has been escalated to the CRG, the Project Manager provides details of the change request and its status to the PMO. PMO update the Project Portfolio Change Request Log.

At each stage of the process, the Project Manager updates the Requestor of the status of the change request, and updates the Change Request PRI Log.

Step 5. Evaluate Proposed Change

Assigned resources evaluate the change request to determine the potential impact (cost, resource effort, schedule & quality), risk, and complexity of the request.

Evaluation of the proposed change may involve the following actions:

- Evaluating the scope of the potential change to determine the project & business impact
- Determining the effects the change may have on completed and planned deliverables
- Identifying any modifications required to the project baseline and/or documents
- Estimating the resource effort and costs associated with completing the change and determine the costs of not addressing the change
- Providing a recommendation on the priority of the change

Proposed change request may need to be communicated to the project team to determine the full impact of the event. Depending on the urgency of the request, the changes may be discussed during the regular weekly project team status meetings or at a special meeting.

Assigned resources complete the project change request impact details with their evaluation findings and provide the completed information to the Project Manager.

If the request has been escalated to the CRG, the Project Manager provides details of the change request and its status to the PMO. PMO update the Project Portfolio Change Request Log.

At each stage of the process, the Project Manager updates the Requestor of the status of the change request, and updates the Change Request PRI Log.

Step 6. Request Approval for Change

The Project Manager reviews findings and presents recommendations for dealing with the CR to the Project Sponsor.

The Project Sponsor makes a decision on the change request, which could be:

- Approved
- Rejected
- Further Information Requested
- On Hold / Deferred
If the Project Sponsor does not accept the impact of implementing the change request, the change request will not be implemented.

If the Project Sponsor accepts the impact of implementing the change request (potential cost, resource, time slippage or change in quality of deliverables), they will do one of two things:

1. If the impact of the change falls within that approved project baseline for resource effort, cost, benefit, and delivery schedule which was approved by the CRG when the project was approved and prioritised, the accountability for approving the change request implementation will remain with the Project Sponsor.

   The Project Sponsor works with the Project Manager to ensure that appropriate resources are assigned to deliver the change request.

2. If it falls outside the approved baseline, then the Project Sponsor escalates the change request to the Project Steering Committee for review and decision at the next Project Steering Committee meeting.

The Steering Committee can make one of the following decisions:

- **Reject the Change Request** – the Steering Committee does not accept the impact of implementing the CR. The CR will not be implemented.

- **Approve the Change Request** – the Steering Committee accepts the impact of implementing the CR and approves its escalation to the CRG for a decision (as it is outside of their approval authority).

If approved for escalation by the Steering Committee to the CRG, the Project Sponsor / Project Manager prepares the required documentation and submits a request for approval by the CRG via the **Approval & Prioritisation process**. Please refer to the relevant section in this document for full details on this process.

If the request has been escalated to the CRG, the Project Manager provides details of the change request and its status to the PMO. PMO update the **Project Portfolio Change Request Log**.

If the CRG does not approve the impact of implementing the change request, the change request will not be implemented.

If the CRG approves the impact of implementing the change request, the Project Sponsor works with the Project Manager to ensure that appropriate resources are assigned to deliver the change request.

At each stage of the process, the Project Manager updates the Requestor of the status of the change request, and updates the **Change Request PRI Log**.

**Step 7.** Incorporate Change, Update Project Plans and documentation

If approval obtained, the Project Manager updates all impacted project management documentation, including –

- Business Case Pack
- Business Case
- Financial Plan
- Change Request PRI Log

**Step 8.** Project Manager ensures updated documents are stored in the project directory.

**Step 9.** Project Manager schedules the change request requirements for delivery.
Step 10. Project Manager updates the *Change Request PRI Log* with status as the change request progresses to completion. This is to provide a permanent record of the change request history.
3.6 Project Financial and Resource Management Processes
The primary owner for the process is the Project Manager.

This section provides details of the project financial and resource management processes that will be adhered to by the project. All project financials and resources will be managed and controlled by the Project Manager through on-going tracking of approved actual and committed financials, and resource effort utilised internal and external.

The Trinity system used is the Oracle Financials and Reporting.

The templates / documents to be used by the Project Manager include the following:-
- Project Status Report
- Financial Plan
- Oracle Financial reports, e.g., Capital Summary Report

3.6.1 Project Financial Management process

On a monthly basis at a minimum, the following activities are performed:-

- Project Manager reconciles the actual and committed Financials against the Approved Baseline for the project and highlights any differences or anomalies that are identified.

- Project Manager resolves, where possible, any differences or anomalies that are identified. Project Manager reports any unresolved differences or anomalies to the Project Sponsor.

- Project Manager and Project Sponsor agree corrective action to be executed.

- Project Manager updates the monthly Project Status Report with the month end actual/committed financials for Current Stage and Overall to Date highlighting deviations from the approved budget and any corrective actions agreed. This is submitted per governance to the PMO (or local PO for projects less than €500K) via the Project Portfolio Performance Reporting process.

- If deviation from baseline continues, or corrective action is not sufficient, Project Manager and Project Sponsor agree if a Change Request to alter the approved project budget is to be submitted for consideration and approval by the Project Steering Committee (if appropriate) and Trinity Governance (CRG/EOG/Board).

- If a Change Request is required, Project Manager and Project Sponsor create a Change Request Pack and submit for approval via the Change Request process.

3.6.2 Project Resource Management process

On a monthly basis at a minimum, the following activities are performed:-

- Project Manager reconciles monthly man days expended for internal and external project resources against Approved Baseline for the project and resolves any differences or anomalies that are identified.
• Project Manager resolves, where possible, any differences or anomalies that are identified. Project Manager reports any unresolved differences or anomalies to the Project Sponsor.

• Project Manager and Project Sponsor agree corrective action to be executed.

• Project Manager updates the monthly *Project Status Report* with the month end actual/committed resource effort (Man-days) for Current Stage and Overall to Date highlighting deviations from the approved budget and any corrective actions agreed. This is submitted per governance to the PMO (or local PO for projects less than €500K) via the *Project Portfolio Performance Reporting process*.

• If deviation from baseline continues, or corrective action is not sufficient, Project Manager and Project Sponsor agree if a Change Request to alter the approved project budget is to be submitted for consideration and approval by the Project Steering Committee (if appropriate) and Trinity Governance (CRG/EOG(Board)).

• If a change request is required, Project Manager and Project Sponsor create a Change Request pack and submit for approval via the *Change Request process*. 
3.7 Risk, Assumption, Issue & Dependency (RAID) Review Management Process

The primary owner for the process is the **Project Manager**.

Anybody (or another project) directly or indirectly related with the delivery of the project may identify / raise a risk, assumption, issue or dependency (RAID) item.

The Project Manager can either create the RAID item in the **RAID Log**, or delegate the creation of the RAID item in the **RAID Log** to the individual who identified it or to one of the project team members.

Resolution of all items should be attempted by the individual / project that identified the item before discussing with the relevant Project Manager.

The ownership of the RAID item remains with the person / project that identified it until that item has been closed. The ownership is held, regardless of which individual or actions are involved in the resolution or closure of the item.

The following section describes how the management of project RAID items will be implemented on all TCD projects.

The management of RAID items is a key element of the project governance. Any deviations from these governance requirements should be clearly documented and justified in the individual **Project Initiation Document**.

The purpose of the **RAID review management process** is to identify, quantify and manage effectively the risks, assumptions, issues & dependencies that could potentially have an adverse effect on the project scope, timeline, cost, resourcing, quality or deliverables. The process entails completing a number of actions to reduce the probability of occurrence and the potential impact on the project of the item.

RAID review management takes into account all potential sources such as:

- Scope
- Timeline
- Cost
- Resource
- Quality
- Operational
- Business
- Technical

The process will ensure:

- Risks, Assumptions, Issues & Dependencies are identified, analysed, quantified, documented, monitored and acted upon
- Effective team & wider stakeholder communication
- Consistent decision making regarding the management of RAID
- Clear roles and responsibilities with regard to managing RAID
- Efficient interface with Change Request and other processes

The objectives of the process are:-

- To minimise the chance of a risk eventuating or a dependency failing and, if it does, minimise the impact on the project
- To find a resolution to an issue or to take action to minimise the impact of that issue on the project.
To confirm if project assumptions made are true or false. If false, to minimise the risk to the project by initiating appropriate mitigating actions to minimise the impact on the project delivery.

The templates / documents to be used by the Project Manager include the following:

- RAID Log
- Change Request PRI log, if appropriate
- Change Request Approval, if appropriate

Additional templates / documents / processes used by PMO during this process are:

- Project Portfolio RAID Log

3.7.1 RAID Item Ranking (Heat Map)
Ranking RAID items helps the project team prioritise limited resources and focus on the items with a higher impact and probability (more risky items).

The overall ranking for each RAID item is determined using a Probability-Impact Matrix (or PIM, shown in the diagram below), as extracted from the RAID log artefact. This assigns overall rankings based on a combination of probability and impact scales.

RAID items with a very high probability and very high impact will receive more attention than those with a lower probability of occurring or lower impact. This approach to ranking RAID items is similar to that used for the ranking of business risks.

![Probability-Impact Matrix](image-url)
### RAG Status Definitions

<table>
<thead>
<tr>
<th>Status</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Red</strong></td>
<td>Red status indicates there is a live risk or issue on the project where remedial action is required to bring the project back on track within the parameters set as the baseline. The remedial action has not yet been identified and/or is not yet in progress. The risk or issue is not being addressed.</td>
</tr>
<tr>
<td><strong>Amber</strong></td>
<td>Amber status indicates there is a live risk or issue on the project; however remedial action(s) have been identified and/or are in progress to bring the project back on track within the parameters set as the baseline. The risk or issue is being addressed.</td>
</tr>
<tr>
<td><strong>Green</strong></td>
<td>Green status indicates there is no risk or issue and no action is required at this time. The project is on track to deliver within the parameters set as the baseline.</td>
</tr>
</tbody>
</table>

Fig 7. RAG STATUS DEFINITIONS

### 3.8 RAID Definitions
A brief definition of a risk, assumption, issue and dependency is outlined below.

#### 3.8.1 Risk
A Risk is a prediction of a significant negative event that might occur in the future, and which is likely to adversely affect the ability of the project to achieve the defined objectives.

#### 3.8.2 Assumption
An Assumption is a statement that is assumed to be true and from which a conclusion can be drawn. Assumptions are made about the project variables e.g. timeline, scope, cost, resourcing, quality, business / 3rd party support and interfaces, organisational delivery capability, etc., and form part of the basis for the project delivery. Where an assumption turns out to be false, a CR may need to be raised to control the impact to the project delivery.

#### 3.8.3 Issue
An Issue is a matter that is currently impeding (or will impede) the progress of the project and about which no agreement has yet been reached. The impact of an issue may cause delay, change the direction, impair the solution, hinder the quality, alter the deliverable content or increase the cost.

#### 3.8.4 Dependency
A Dependency is any event or deliverable that is required before a project activity can commence or complete. There can be internal dependencies i.e. dependencies that are being managed / controlled within the project, and external dependencies i.e. dependencies that require interaction between other projects / business areas / organisations that do not form part of the project e.g. External Architects’ availability.
3.9 RAID Review Management process

Anybody (or another project) directly or indirectly related with the delivery of the project may identify / raise a RAID item.

The Project Manager can either create the RAID item in the RAID Log, or delegate the creation of the RAID item in the RAID Log to the individual who identified it or to one of the project team members.

Resolution of all items should be attempted by the individual / project that identified the item before discussing with the relevant Project Manager.

The ownership of the RAID item remains with the person / project that identified it until that item has been closed. The ownership is held, regardless of which individual or actions are involved in the resolution or closure of the item.

Although the **RAID Review Management process** is primarily undertaken during the project execution phases (i.e. during the Business Requirements, Design, Development, Testing, Training and Implementation & Migration phases), RAID items may be identified at any stage of the project lifecycle.

The RAID Log will be incorporated as an agenda item in the regular Project / Steering Committee Meetings to support regular reviews by the relevant managers.

On a continuous basis the project team will review and discuss RAID items (both internal to the project & with external projects / business areas / organisations) to avoid surprises, delays and cost implications. In addition, this process alerts all parties involved to risk areas that may require alternative solutions / actions.
3.9.1 Risk Review Management process

The process is used to formally manage risks that may impact the ability of the project to deliver in the future.

The process is undertaken to ensure that each risk identified within the project environment is documented, monitored, reviewed, escalated, mitigated and communicated as appropriate.

The process involves performing a variety of reviews and activities which focus on confirming the probability of the risk occurring, the impact on the project if it does occur, and developing mitigation plans to minimise the potential risk to the project delivery. If the risk occurs, the mitigation plans (which may involve the development of a change request for submission into the Change Request process) will be invoked.

The Risk Review Management process is an iterative process and includes the following steps:

**Step 1. Identification of project risks and logging to the project RAID Log**
- Risk Originator (Project Manager / project team member / other project or organisation resource) identifies a risk applicable to the project.
- Risk Originator attempts to resolve the risk. If this is successful, the risk is not logged and the process completes.
- If the risk cannot be resolved, Risk Originator discusses the risk with the relevant Project Manager.
- Risk Originator and Project Manager consider the risk and determine whether the risk is applicable to the project.
- Project Manager may need to seek additional information from Risk Originator / project team / others to verify the validity of the risk.
- If the risk is considered by the Project Manager to be relevant to the project, then a formal risk is created in the project RAID Log. This may be created by the Project Manager / Risk Originator / project team member as directed by the Project Manager.
- Project Manager assigns an initial priority to the item.

Based on the initial priority assigned, the following steps will be scheduled and executed.

**Step 2. Assessment of the probability of occurrence and potential impact on the project timeline, scope, cost, resourcing, quality, etc.**
- Project Manager assigns a project team member to analyse the risk, and consider the level of probability and impact to the project.
- Project team member performs analysis and discusses findings with the Project Manager.
- Project Manager decides on the level of probability and impact based upon the risk’s severity. The decision may be facilitated through discussions with the Risk Originator / project team members / others, as appropriate to the specific risk.
- Project Manager updates / confirms the priority of the item on the project RAID Log.

**Step 3. Development of risk mitigation strategies to minimise impact on the project if the risk occurs**
- Project Manager / project team member develop risk mitigation strategies to minimise the impact on the project in the case of the risk occurring.

**Step 4. Logging and tracking the risk details in the project RAID Log**
- Project Manager, project team member, or delegated resource updates the project RAID Log with details of the risk. Any updates to the details of the risk will be captured in the
log, with actions being tracked on a regular basis. This is to ensure that the latest status of the item is always maintained in the log.

**Step 5. Monitoring of risks and invoking risk mitigation action as required**
- Project Manager and Risk Owner monitor the risk to see if the probability or impact has changed since last reviewed. Mitigation strategies are invoked as required.

**Step 6. Reporting to appropriate level project governance model**
- Project Manager formally reports risks on an exception basis to the appropriate project governance level, i.e. reporting risks that require escalation / resolution by the level being reported to, with recommendations for decisions / next steps wherever possible.

**Step 7. Notification of outcome to Risk Originator**
- Project Manager ensures that the current status of the risk is communicated to the Risk Originator, as required.
3.9.2 Assumption Review Management process

This process is used to formally manage assumptions made about the project delivery – scope, timelines, costs, quality, resourcing, etc. that may impact the ability of the project to deliver if the assumptions are proven to be false.

The process is undertaken to ensure that each assumption identified within the project environment is documented, monitored, reviewed, confirmed as being true and closed (no project change required) or false (project change potentially required), escalated and communicated as appropriate.

The process involves performing a variety of reviews and activities which focus on confirming if the assumption is true or false, and developing action plans to minimise the potential risk to the project delivery. If an assumption is proven to be false, the action plan (which may involve the development of a change request for submission into the Change Request process) will be invoked.

The Assumption Review Management process is iterative and includes the following steps:

**Step 1. Identification of project assumptions and logging to project RAID Log**
- Assumption Originator (Project Manager / project team member / other project or organisation resource) identifies an assumption applicable to a project.
- Assumption Originator discusses the assumption with the relevant Project Manager.
- Assumption Originator and Project Manager consider the assumption and determine whether the assumption is applicable to the project.
- Project Manager may need to seek additional information from the Assumption Originator / project team / other, to verify the validity of the assumption.
- If the assumption is considered by the Project Manager to be relevant to the project, then a formal assessment is created in the project RAID Log. This may be created by the Project Manager / Assessment Originator / project team member as directed by the Project Manager.
- Project Manager assigns an initial priority to the item.

Based on the initial priority assigned, the following steps will be scheduled and executed.

**Step 2. Assessment of the probability that the assumption is true or false and potential impact on the project (timeline, scope, cost, resourcing, quality, etc.) if proven to be false**
- Project Manager assigns a project team member to analyse the assumption, and consider the level of probability and impact to the project if the assumption is proven to be false.
- Project team member performs analysis and discusses findings with the Project Manager.
- Project Manager decides on the level of probability and impact based upon the assumption’s severity. The decision may be facilitated through discussions with the Assumption Originator / project team members / other, as appropriate to the specific assumption.
- Project Manager updates / confirms the priority of the item on the project RAID Log.

**Step 3. Development of action plans to minimise the impact of a false assumption**
- Project Manager / project team member develop assumption action plans for the assumption to minimise the impact on the project in the case of the assumption being proven false.

**Step 4. Logging and tracking the assumption details in the project RAID Log**
- Project Manager, project team member, or delegated resource updates the project RAID Log with details of the assumption. Any updates to the details of the assumption will be captured in the log, with actions being tracked on a regular basis. This is to ensure that the latest status of the assumption is always maintained in the log.

**Step 5. Monitoring of assumptions and invoking the assumption action plan for assumptions proven to be false**
- Project Manager and Assumption Owner monitor the assumption to see if the probability or impact has changed since last reviewed. Action plans are invoked as required.

**Step 6. Reporting to appropriate project governance level**
- Project Manager reports assumptions on an exception basis to the appropriate project governance level, i.e. reporting assumptions that require escalation / resolution by the level being reported to, with recommendations for decisions / next steps where possible.

**Step 7. Notification of outcome to Assumption Originator**
- Project Manager ensures that the current status of the assumption is communicated to the assumption originator, as required.
3.9.3 Issue Review Management process

The **Issue Review Management process** is used to formally manage issues that are currently affecting or which will affect the ability of the project to deliver.

The process is undertaken to ensure that each issue identified within the project environment is documented, monitored, prioritised, resolved and escalated within an appropriate timescale.

The process involves performing a variety of reviews and activities to assess the level of impact that the issue is having on the project, developing action plans to resolve and reduce the impact on the project, and undertaking those actions.

The **Issue Review Management process** is an iterative process and includes the following steps:

**Step 1. Identification of the project issues and logging to project RAID Log**

- Issue Originator (Project Manager / project team member / other project or organisation resource) identifies an issue applicable to a project.
- Issue Originator discusses the issue with the relevant Project Manager.
- Issue Originator and Project Manager consider the issue and determine whether the issue is applicable to the project.
- Project Manager may need to seek additional information from the Issue Originator / project team / other, to verify the validity of the issue.
- If the issue is considered by the Project Manager to be relevant to the project, then a formal issue is created in the project RAID Log. This may be created by the Project Manager / Issue Originator / project team member as directed by the Project Manager.
- Project Manager assigns an initial priority to the item.

Based on the initial priority assigned, the following steps will be scheduled and executed.

**Step 2. Assessment / Estimation of the impact of the issue on the project (timeline, scope, cost, resourcing, quality, etc.)**

- Project Manager assigns a project team member to assess the issue, and define / estimate the impact to the project.
- Project team member performs assessment and discusses findings with the Project Manager.
- Project Manager decides on the priority of the issue based on the severity. The decision may be facilitated through discussions with the Issue Originator / project team members / other, as appropriate to the specific issue.
- Project Manager confirms and updates the priority of the item on the project RAID Log.

**Step 3. Development of issue corrective action plan to close / minimise the impact on the project**

- Project Manager / project team member develop corrective action plans to close out the issue or, if that is not possible, to minimise its impact on the project.

**Step 4. Logging and tracking the issue details in the project RAID Log**

- Project Manager, project team member, or delegated resource updates the project RAID Log with details of the issue. Any updates to the details of the issue will be captured in the log, with actions being tracked on a regular basis. This is to ensure that the latest status of the item is always maintained in the log.

**Step 5. Monitoring of issues and corrective action plan as required**

- Project Manager and Issue Owner monitor the issue to ensure the corrective action plan is effective and to identify any changes to the action plan which would support closure of the issue.
Step 6. *Reporting to appropriate level project governance model*

- Project Manager reports / formally communicates issues on an exception basis to the appropriate project governance model level, i.e. reporting issues that require escalation / resolution by the level being reported to, with recommendations for decisions / next steps wherever possible.

Step 7. *Notification of outcome to Issue Originator*

- Project Manager ensures that the current status of the Issue is communicated to the issue originator, as required.
3.9.4 Dependency Review Management process

The **Dependency Review Management process** is used to formally manage dependencies that may impact the ability of the project to deliver if the dependency is not met.

The process is undertaken to ensure that each dependency within the project environment is documented, monitored, reviewed, confirmed as being on or not on target to be met, escalated and communicated as appropriate.

The process involves performing a variety of reviews and activities which focus on confirming that the dependency will be met (no impact on delivery). If required the Project Manager may develop action plans and mitigation strategies to minimise potential impact to project delivery if the dependency is not met. If a dependency is not met, the action plan to mitigate against any impact (which may involve the development of a change request for submission into the **Change Request process**) will be invoked.

The **Dependency Review Management process** is an iterative process and includes the following steps:

**Step 1. Identification of project dependencies & logging to project RAID Log**

- Dependency Originator (Project Manager / project team member / other project or organisation resource) identifies a dependency applicable to a project.
- Dependency Originator discusses the dependency with the relevant Project Manager.
- Dependency Originator and Project Manager consider the dependency and determine whether or not the dependency is applicable to the project.
- Project Manager may need to seek additional information from the Dependency Originator / project team / other, to verify the validity of the dependency.
- If the dependency is considered by the Project Manager to be relevant to the project, then a formal dependency is created in the project **RAID Log**. This may be created by the Project Manager / Dependency Originator / project team member as directed by the Project Manager.
- Project Manager assigns an initial priority to the item.

Based on the initial priority assigned, the following steps will be scheduled and executed.

**Step 2. Assessment of the probability that the dependency is not met and potential impact on the project (timeline, scope, cost, resourcing, quality, etc.) if not met,**

- Project Manager assigns a project team member to assess the dependency, and consider the level of probability and impact to the project if the dependency is not met.
- Project team member performs assessment and discusses findings with the Project Manager.
- Project Manager decides on the level of probability and impact based upon the dependency's severity. The decision may be facilitated through discussions with the Dependency Originator / project team members / other, as appropriate to the specific dependency.
- Project Manager updates / confirms the priority of the item on the project **RAID Log**.

**Step 3. Development of action plans / mitigation strategies to minimise impact on the project if the dependency is not met**

- Project Manager / project team member develop dependency action plans / mitigation strategies to minimise the potential impact on the project in the case of the dependency not being met.
Step 4. Logging and tracking the dependency details in the project RAID Log

- Project Manager, project team member, or delegated resource updates the project RAID Log with details of the dependency. Any updates to the details of the dependency will be captured in the log. The Project Manager must ensure that the latest status of the item is always maintained in the log.

Step 5. Monitoring of dependency & invoking action plans / mitigation strategies as required

- Project Manager and Dependency Owner monitor the dependency to see if the probability or impact has changed since last reviewed. Action plans / mitigation strategies are invoked as required.

Step 6. Reporting to appropriate level project governance model

- Project Manager formally reports dependencies on an exception basis to the appropriate project governance level, i.e. reporting dependencies that require escalation / resolution by the level being reported to, with recommendations for decisions / next steps wherever possible.

Step 7. Notification of outcome to Dependency Originator

- Project Manager ensures that the current status of the dependency is communicated to the dependency originator, as required.
3.10 Project Recruitment process
The primary owner for the process is the Sponsor.

This section provides details of the Project Recruitment process for both internal and external resources required on a project that will be adhered to by the Sponsor and Project Manager.

The processes to be used:
Standard College process at: http://www.tcd.ie/hr/procedures/recruitment/

3.11 Project Procurement process
The primary owner for the process is the Sponsor.

This section provides details of the Project Procurement process for all procurement required on Capital Projects that will adhered to by the Sponsor and Project Manager.

The processes to be used:
Standard College process at:
http://www.tcd.ie/procurement/
3.12 Programme and Project Roles and Responsibilities

3.12.1 Introduction
The following sections contain a list of known and usual project roles and their key associated responsibilities. The information is provided as a starting point for Project Sponsors and Programme and Project Managers to assist with development of their own specific project roles and responsibilities.

Please note that not all roles are required for all projects.

Further project roles for Committees and functions (and other specialist functions and roles) are listed below:

- Board makes decisions on programmes and projects based on Approval & Prioritisation recommendations from EOG/CRG
- Executive Officers Group (EOG) makes decisions and recommendations on projects based on information and recommendations provided by CRG
- Finance Committee advises Board on the financial aspects of Capital Projects the total value of which will exceed €3m (in conjunction with the Estates Committee)
- Estates Committee reviews progress and expenditure on all major development projects from their inception to the settlement of final accounts in the context of the approved briefs, budgets and programmes (in conjunction with the Finance Committee)
- Library and Information Policy (LIPC) Committee has a policy role in identifying information systems implications in relation to overall College developments and an oversight/advisory role in advising Board on significant resource issues in relation to Library and Information Systems
- Space Allocation Sub-Committee provides decisions on space for Capital Projects
- PMO and Satellite project offices
3.12.2 Sponsor

The Sponsor has overall accountability for delivering the project within the agreed scope, timeline, quality and budget and is accountable for gaining project financial approval and for demonstrating project benefits in order to make the case for approval & prioritisation of the project. The Sponsor develops the Business Case and approves/accepts key project deliverables.

Responsibilities include:

Financial Management
- Accountable for ensuring financial approval for the project (project costs, on-going operational costs and benefits realisation).
- Accountable for ensuring approval to draw down on the project budget at each Stage Gate or as agreed in the Business Case or at project approval.
- Accountable for Financials Planning of project, and initiate corrective action where necessary within the constraints laid down by the project.

Communication, Direction and Enablement
- Responsible for forming/assembling the Steering Committee.
- Chairing Steering or nominating/selecting an independent Chair.
- Acting as advocate for the project and gain commitment from other key stakeholders.
- Single point of contact for project communications external to the project team.
- Interface with Steering/CRG/EOG/Board and key Business Stakeholders pro-actively delivering key project messages.
- Liaising with College strategic planning, Finance Committee and Estates Committee to confirm that the proposed project is aligned with College Strategy (Strategic and Operational).
- Engaging with other internal and external senior resources / stakeholders, as required.
- Ensuring project priority is achieved and maintained within College, and proactively and visibly sponsoring the project within the organisation.
- Providing strategic direction and guidance to the project.
- Enabling appropriate resource commitment within College.
- Mobilising resources to effectively support the project activities.
- Facilitating problem solving.
- Communicating on behalf of the project, particularly with other stakeholder groups in senior management. The Sponsor also communicates his or her personal commitment to the project’s success and is visibly seen as its champion.

Project Management and Governance
- Overall accountability for delivering the project within the required scope, timeline, quality and to the agreed budget, as agreed in the Business Case.
- Ensuring that the project management Monitoring and Control processes (to include financial, resource, scope, timeline and quality) are planned and executed effectively.
- Accountable for the progress of the programme/project and use of resources.
- Accountable for recommending the move of the project through Stage Gates.
- Responsible for mediation and resolution of priority conflicts or other issues escalated by the Programme/Project Manager.
- Responsible for escalating Risk and Issue items that cannot be resolved to Steering.
- Supporting the Programme/Project Manager in preparing appropriate recommendations / corrective actions for any deviations from schedule/cost/quality, and in the preparation of appropriate execution plans.
- Supporting the Programme/Project Manager and providing mentoring and leadership when dealing with academic and operational matters.
- Secure availability and timely assignment of the key resources required for successful delivery.
- Attend all Steering meetings or arrange appropriate delegate.
- Communicating unforeseen issues (priority) to relevant stakeholders/committees.

**Project Deliverables**

- Responsible for development and presentation of the Business Case and related ongoing deliverables including financial model.
- Proposing/approving/accepting overall project solution and key project deliverables.
- Passing back to steering the key deliverables that have been completed and approved.
- Accountable for producing required management (including financial) reporting.
- Attending key project decision making meetings as required.
- Maintaining project alignment with business and cultural goals.
- Responsible for delivering the benefits that underpin the achievements of the programme’s Business Case.
- Building durability for the project’s outputs so that they will be sustained by the people and processes in place once the project completes its handover.
- Developing the facilities management plan (in Construction projects).
- Accountable for occupation of the building (in Construction projects).
- Review and close out of project Stage Gates
- Conduct review of project once completed
- Arrange audit by College internal auditor, external auditors, external auditors from State Departments and other agencies.
- Confirmation of project benefits on completion.
- Post-project monitoring to ensure benefits achieved in successful handover to business as usual.
3.12.3 Steering Committee and Members

Project Steering Committees are required for all projects with a budget of €500k or more. If the project budget is less than €500k, CRG may request, during the approval and prioritisation process, a programme or project to form a Steering Committee if CRG believe the project requires one due to the level of risk.

The Programme/Project Steering Committee member’s role is to ensure that project priority and resource commitment is achieved and maintained within their department/area and to approve/accept key project deliverables as presented by the programme/project team.

Responsibilities include:

- Ensuring compliance with Capital Project Governance under which the programme/project operates.
- Monitoring and controlling the project scope and containing it to what is formally defined and approved in the Business Case.
- Ensuring that all changes are formally approved via the Change Request process.
- Reviewing and accepting key programme/project deliverables as required.
- Ensuring project priority is achieved and maintained within their department / area.
- Enabling appropriate resource commitment within their department / area.
- Proactively and visibly sponsoring the project within their department / area.
- Delivering key project messages to staff within their department / area.
- Reviewing, approving or rejecting Change Requests falling within the approved project baseline. Approving or rejecting Change Requests to project scope, timeline or budget.
- Acting as the ultimate escalation point for issues that cannot be resolved by the Sponsor/Programme/Project Manager.
- Escalating Change Requests which fall outside of the project baseline through the required approvals governance.
- Making strategic decisions on items raised by the project, to support delivery of the project’s overall objectives and purpose.
- Resolving Risk, Issue and Dependency items escalated through the Risk and Issue Review Management process.
- Attending key project meetings as requested.
- Challenging or testing that project benefits continue to be valid throughout the programme/project lifecycle.
- In the event of a conflict between the Chair and Sponsor which cannot be resolved at Steering, Chair has the responsibility of escalating to EOG for resolution.

Specific roles within Steering

The Steering Chair’s role is to ensure that Steering meetings are run as effectively as possible and support the successful delivery of the project objectives, goals and vision. The Chair holds the Sponsor, Steering, Project Team and stakeholders to account for decisions and project delivery and ensures that Steering members act in the best interests of the overall project objectives, goals and vision, and not their own specific department / area.

Responsibilities include:

- Ensuring information being presented to Steering and through Governance is complete and accurate, and effectively represents the project’s delivery status.
- Supporting and advising the Sponsor throughout the delivery.
- Holding the Sponsor, Steering Committee, Project Team and key stakeholders to account for decisions and project delivery.
- Ensuring that the Steering members act in the best interests of the overall project objectives, goals and vision, and not their own specific department / area.
- Ensuring that all Steering members engage to the appropriate level in the discussions and decisions of the committee.
- Ensuring the meetings are organised, managed and executed in an effective and efficient manner to maximise the Steering Committee members’ investment of time and effort.

Steering may also include other specific roles including the following. Specific representatives – dependent on project type who may not be in every Steering Committee – may include:

- **Dean of Research:** ensuring alignment with College innovation and entrepreneurship strategy.
- **Advisory Board Representative:** manages the relationship with school or other advisory boards.
- **Representative of Trinity Foundation:** managing the relationship with the donor community.
- **Advisor to Sponsor:** for advice on specialist areas including architecture.
- **Finance representative:** holds the Sponsor, Steering, Project team and key stakeholders to account for financial decisions and project finances. Owns the financial model for the project and is responsible for monitoring and reporting performance against it.
- **Estates and Facilities representative:** ensures that building/construction fits with College facilities management systems and processes and that there is a good fit with the overall College amenities. Ensures timely and effective communications between the programme/project and College infrastructure services.
- **External consultant** such as Construction Project Manager: ensuring delivery of specific services e.g. construction project management within approved scope, timeline, budget and quality constraints.
3.12.4 Programme Manager
The Programme Manager’s role is to ensure that the full programme of works is delivered to approved scope, timeline, budget and quality. The Programme Manager reports to the Sponsor of the programme and attends Steering reporting on programme performance, but does not have voting or decision rights on the committee. This role is the Single Point of Contact from the programme delivery perspective and manages the internal and external programme team members and sub-projects to deliver overall programme objectives while managing and influencing the expectations of all the programme stakeholders.

Responsibilities include:

Project Management Deliverables
- Delivering the programme/project deliverables within the required scope, timeline, quality and to the agreed budget.
- Managing programme planning including programme milestone schedule, progress tracking, resource planning, status reporting, and programme risk, assumption, issue and dependency (RAID) management.
- Agreeing Project Delivery Plan with the Sponsor / Steering Committee.
- Passing back to the Sponsor / Steering key deliverables that have been completed and approved in line with the agreed requirements.
- Resolving priority conflicts or other internal programme related issues that may arise.
- Preparing and gaining approval of programme documentation, including Communications, Resourcing, Training and Testing Plans (as appropriate or required).
- Assisting with selection of project team members.
- Ensuring that the Project Managers act in the best interests of the overall project objectives, goals and vision, and not their own specific project area.
- Attend all Steering meetings or arrange appropriate delegate.
- Communicating all critical changes to timeline and project cost to Sponsor.

Financial Management
- Financials Planning of the programme (and all sub-projects), and initiating corrective action where necessary within the constraints as laid down by the programme.
- Monitoring and controlling all financial aspects of the programme, in compliance with the financial governance processes.
- Supporting the Sponsor in obtaining financial approval for the project (project costs, ongoing operational costs and benefits realisation).
- Supporting the Sponsor in getting approval to draw down on the project budget at the end of each Stage Gate.

Governance
- Ensuring that the programme and all related project activities comply with best practices/College policy and by those agreed to by the project.
- Supporting the Sponsor and Steering Committee in the preparation and delivery of key communication messages to internal and external resources, key stakeholders and College committees to ensure delivery within scope, schedule, budget, and quality.
- Producing required management reporting and presenting to Sponsor/Steering/other as required.
- Progressing the programme’s work and use of resources, and initiating corrective action where necessary within the constraints as lay down by the programme.
- Reporting to Sponsor on completion of Stage Gates.

Risk and Issue Management
- Raising Risk, Assumption, Issue and Dependency (RAID) items and proactively managing programme RAID Logs.
- Escalating RAID items that cannot be resolved by the team to the Sponsor.
- Advising the Sponsor of any deviations from schedule, recommending corrective action, and helping prepare any appropriate execution plans.
- Identifying and advising the Sponsor of any risks associated with a delivery / milestone.
- Ensuring information being presented to the Sponsor and Steering Committee is complete and accurate, and effectively represents the project’s delivery status.
- Supporting and advising the Sponsor and Steering on project delivery matters throughout delivery.
- Holding Project Managers and the Project Team to account for decisions and project delivery.
- Ensuring that Project Managers act in the best interests of the overall project objectives, goals and vision, and not just their own specific project area.
- Ensuring the project and programme meetings are organised, managed and executed in an effective and efficient manner to maximise project team members’ investment of time and effort.
3.12.5 Project Manager

The Project Manager is responsible for delivery of the project to approved scope, timeline, budget and quality. The Project Manager reports to the Sponsor or to the Programme Manager if a project is part of a programme. If the project does not form part of a programme, the Project Manager attends Steering reporting on project performance, but does not have voting or decision rights on the committee. This role is the Single Point of Contact from the project delivery perspective and manages the internal and external project team members to deliver overall project objectives while managing and influencing the expectations of all the project stakeholders.

Responsibilities include:

Project Management Deliverables

- Assisting the Sponsor/Programme Manager in preparation of programme documents.
- Delivering the project within the required scope, timeline, quality and to the agreed budget.
- Managing the project stakeholders with clear communication of progress and managing expectations.
- Building the project team ethos by ensuring that everyone on the team knows and executes assigned roles and by further ensuring that they are empowered and supported.
- Proactively managing and controlling the resources assigned to the project.
- Assisting with selection of project team members.
- Agreeing criteria for team selection.
- Defining detail of assignments and services.
- Agreeing terms and conditions of team engagement.
- Managing the Project Initiation Document and production of statement of requirements.
- Producing required management reporting for Programme Manager/Sponsor.
- Advising the Programme Manager/Sponsor of any deviations from schedule, recommend corrective action, and help prepare any appropriate execution plans.
- Progressing the project’s work, use of resources, and all remedial actions to address resource issues, initiating corrective action where necessary within the constraints laid down by the project.
- Ensuring appropriate level of supervision is applied to all project activities.
- Setting up and holding all project team meetings.
- Anticipating and monitoring impending change requests to the project and ensuring its effects on quality, cost, programme and compliance are adequately quantified. Assess effects before such change requests submitted for approval via the Change Control process are approved and keep Programme Manager/Sponsor informed at all times.
- Managing project detailed planning including schedule, progress tracking, resource planning, status reporting, and risk, assumption, issue and dependency (RAID) management.
- Agreeing Project Delivery Plan with Programme Manager / Sponsor.
- Passing back to the Sponsor/Programme Manager key deliverables that have been completed and approved in line with the agreed requirements.
- Producing the Status Report and Steering Pack to inform Stakeholders (timeline, costs, risks, issues, benefits tracking, change requests, resource allocation etc.).
- Identifying changes to project scope and costing of changes
- Adherence to all College policies e.g. procurement, retention of documents.

Financial Management

- Financial Planning of the project within scope, and proposing and initiating corrective action where necessary within the constraints laid down by project governance.
- Providing regular updates on project financial performance.
- Monitoring and controlling all financial and resourcing aspects of the project, in compliance with governance processes.
▪ Supporting the Sponsor/Programme Manager in obtaining financial approval for the project (project and on-going operational costs and benefits realisation).
▪ Supporting the Sponsor/Programme Manager in getting approval to draw down on the project budget at the end of each stage (gate).
▪ Resolving priority conflicts or other internal project related issues that may arise within the project.

Governance
▪ Applying PMO methodologies, processes, templates and standards.
▪ Preparing and maintaining a comprehensive set of project procedures to be used as a framework to establish common policy, procedures and standards across all parties on the project.
▪ Establishing and managing project documentation repository. Ensuring that proper and accurate records are maintained including all instructions and information to all project parties.
▪ Acting as the agent of the Sponsor/Programme Manager within the remit of delegated authority to achieve progress on project tasks.
▪ Providing advice to College on project implementation.
▪ Ensuring establishment of roles and responsibilities within the project and related lines of communication.
▪ Liaising with internal and external resources to ensure delivery within scope, schedule, budget, quality.
▪ Taking tactical decisions based on the direction of the Sponsor and Steering.
▪ Ensuring compliance with the Governance (including the Stage Gate lifecycle) under which the project operates.
▪ Ensuring compliance with College procurement policies and procedures.
▪ Establishing and coordinating control systems for cost, quality and timescale.
▪ Coordinating approval of payments within agreed timelines.
▪ Coordinate audits and reviews of the project including post-completion.

Risk and Issue Management
▪ Managing the risks and issues associated with the project, budget, plan and dependencies in a controlled and effective manner.
▪ Raising Risk, Assumption, Issue and Dependency (RAID) items and proactively managing project RAID Logs.
▪ Escalating RAID items that cannot be resolved by the team to the Programme Manager/Sponsor.
▪ Identifying and advising the Sponsor of any risks associated with a delivery or milestone.

The Project Manager will fully comply with College procurement, publicity and retention of documents policies and procedures. It is the Project Manager’s responsibility to report that all procurement of services and products has been carried out in accordance with College policy.

CONSTRUCTION-SPECIFIC RESPONSIBILITIES BY MAJOR PHASES

The additional responsibilities listed below are specifically for the Project Manager on Construction projects.

Pre-Construction
▪ Overseeing formalities relating to Professional Indemnity and warranties.
▪ Evaluating all necessary insurances for both professionals and contractors.
▪ Leading all contractor and sub-contractor negotiations.
▪ Liaising with legal advisors on all contractual issues (contract compilation terms and conditions).
- Proactively working with Quantity Surveyor to achieve any potential cost savings.
- Establishing Health and Safety File (Design).
- Addressing all environmental aspects of the project.
- Coordinating local and statutory authorities.
- Submitting recommendation of contractor for approval by Steering.
- Ensuring all documents regarding tax clearance are in place for contractors/sub-contractors.

**Construction**
- Confirming from Sponsor that all contracts are signed and sealed prior to commencement of works.
- Ensuring all collateral warranties and performance bonds are in place.
- Confirming adequate insurance cover for works.
- Establishing and maintaining Health and Safety File (Construction Stage).
- Responsible for contractor’s construction schedule and method statements.
- Establishing and managing mechanisms for dealing with potential claims during the project.
- Maintaining construction progress records, photo and video records from start to completion of the project.
- Coordinating local and statutory authorities to ensure that project time and cost schedule are maintained.
- Ensuring timely site inspections take place.
- Ensuring design information required by contractor is supplied by design team in a timely manner.
- Ensuring contractors resources are adequate and suitable.
- Proactively working with Quantity Surveyor to achieve any potential cost savings.
- Assisting and liaising with Quantity Surveyor on Final Account negotiations.

**Post-Construction**
- Responsible for all commissioning documentation, maintenance manuals, and all as-built drawings.
- Advising Programme Manager/Sponsor on insurance termination post contract.
- Planning and reporting on with testing and commissioning documentation.
- Ensuring all training regarding facilities is completed in a timely manner.
- Confirming receipt of completion certificates from design team.
- Ensuring creation of snag lists by design team.
- Responsible for closure of items on the design team snag lists.
- Establishing the system of defects reporting post-construction.
- Responsible for rectification works.
- Assisting with handover of Health and Safety File (Post-Construction).
- Procuring warranties and guarantees from suppliers.
- Submitting final project close-out report for sign off at end of defects liability period.
- Ensure publicity plaques are in place if required.
- Review final Stage Gate.
- Ensure audits are planned and carried out.
3.12.6 Independent Construction Validating Agent

The Construction Validating Agent is appointed by and reports to Board to act on their behalf as an independent construction professional reporting on a quarterly basis or as required focusing on construction cost control, project quality and delivery from initiation through to completion and handover. Responsibilities include:

Pre-Construction

- As client representative attending programme meetings/processes to observe, report and act on the selection process of:
  - Design Team members
  - Design team appointment
  - Contractor, subcontractor and supplier interviews, selection and appointments
- Taking Client instructions and report back to Sponsor/Programme Manager/Project Manager.
- Making independent recommendations to Sponsor/Programme Manager/Project Manager.
- Working with client legal advisors on design team appointments and liabilities.
- Making independent recommendations to Sponsor/Programme Manager/Project Manager following legal advice on various project issues.
- Visiting consultant team members to query, interview and make suggestions and recommendations to design team lead and Sponsor/Programme Manager/Project Manager.
- Representing Sponsor/Programme Manager/Project Manager and have authority to issue instructions at design team meetings.
- Making independent recommendations on final approval and sign off at each stage of the construction process.
- Ratifying budgets and cost control procedures.
- Working with Procurement on tender and reporting process.

Construction

- As Client Representative attending where possible all construction and site meetings
  - Verification of change order (Change Request) procedures. As changes occur, the Validating Agent is the direct link between College and the team for verifying reasons for change, to identify who is responsible for change and at what cost.
  - Proactively pursuing design cost savings.
  - Monitoring and independent reporting on design cost additions.
  - Access to all quantities and costs before and during progress of works.
  - Working with Client’s legal advisors on all contractual issues relating to the Business School.
- Access to monthly payment recommendations for certification in order to provide independent, regular reports to Board.
- Participation at any dispute negotiations during the progress of the works and reporting on additional costs should they arise.
- Reporting independently to Board on all progress in relation to cost reports and procedures to highlight any deviations/variation from approved budget and agreed time schedule.
- Reporting to Board on a regular basis on any delay or disruptions on site which may have a cost implication.
- Authority to visit team consultants during the progress of the works to assist with any reporting issues to the board.
- Attending with project team members on compilation of snag lists and verification of snag solutions and liabilities etc.
- Assist with audit and final sign-off at each Stage Gate of the project as Client’s Representative.

Post Construction
• As Client’s Representative:
  o Attendance and participation at final account agreement meetings.
  o Ensure all “As built” drawings and O&M documentation etc. are compiled as works progress.
• Responsible for signing off final account cost report and agreement with Quantity Surveyor.
• Liaising on behalf of the client with construction and decanting projects on handover and occupation procedure. Support smooth handover and ensuring that proactive solutions are considered as the work progresses.

3.12.7 Business Analyst
The Business Analyst establishes the business scope to be addressed by the project team using the information for the project as described by the Sponsor in the Business Case and acts as the main contact into the project for day-to-day users of the end product and, as the customer representative, works with business area SMEs to establish detailed plans.

Responsibilities include:
• Development of business cases for process improvement initiatives.
• Documenting business processes and work with key stakeholders to identify issues impacting existing processes (gather facts, analysis and documentation of work flows including people and business units affected, business and academic cycles, functions to implement and data to collect and use).
• Categorising needs and features, identifying (inter)dependencies and conflicts.
• Analysing existing processes, systems and structures and benchmark existing services levels to identify areas for improvement.
• Working with stakeholders to identify options and solutions for process improvement and build support for process changes ensuring that budget, schedule and quality constraints are explored as part of the process of evaluating options.
• Managing expectations during option evaluation so that all recommendations contain feasible manual and automated procedures.
• Identifying underlying supports required to enable process improvement.
• Actively driving process improvements across College and manage process improvement initiatives through to successful completion.
• Defining project scope for process improvement initiatives, developing project documentation and plans for these projects and managing them to completion.
• Coaching and mentoring as required on process improvement techniques and testing.
• Liaising with other Business Analysts responsible for related projects to ensure constraints and expectations are shared.
• Obtaining sign off on recommended solution.
• Facilitating team processes within the project.
3.12.8 Subject Matter Expert (SME)
The SME acts as the single point of contact for the business area with the project, representing the business area in identifying both current (As Is) and future (To Be) processes and procedures. Responsibilities include:

- Providing expert knowledge within their field and provide source information to the project team.
- Reviewing and confirming all major deliverables for the project relevant to the area with the Project Manager, Business Analyst and Project Team Members.
- Providing expert knowledge on information collected and used in performing work.
- Providing expert knowledge on when, how and by whom information is used.
- Identifying opportunities to improve effectiveness, efficiency and economy of processes.
- Assisting in identifying and defining issues with existing processes.
- Participating in defining new and amended functional requirements.
- Developing test cases and perform/sign off on acceptance testing.
- Participating as required in any testing activities.

3.12.9 Legal Advisor
The Legal Adviser provides expert knowledge and guidance on implementing new and/or updated legislation. Responsibilities include:

- Providing expert legal knowledge within their field and provide source information to the project team.
- Evaluating and reporting on the impact of legislation on the project.
- Drafting information for review by SMEs, Business Analysts and Project Governance and the project team.
- Ensuring compliance with legislation.
- Coordinating all professional/employment contracts to ensure compliance with College procurements policy and procedures.
- Availability for
  - Contractual advice before, during and after progress of works.
  - For legal advice on delays and disruptions if and as these occur.
  - For legal advice on warranties and maintenance issues should they arise.

3.12.10 Financial Advisor
The Financial Adviser ensures compliance with all College financial standards. Responsibilities include:

- Acting as Single Point of Contact for FSD.
- Providing expert knowledge and guidance required by the project on financial issues, approaches, etc.
- Providing input into and support of the development of project costs, and ongoing operational costs and benefits.
- Supports the business in the development of the financial model for the project.

### 3.12.11 Trainer
Responsibilities include:

- Understanding in full the project’s business context, solution and deliverables.
- Developing the project training strategy and detailed plan.
- Developing training guides and content for courses and manuals.
- Establishing and executing appropriate training sessions to support project strategy and deliverables.

### 3.12.12 Architect
Responsibilities include:

#### Pre-Construction
- Producing Client Brief.
- Producing Initial Design.
- Producing Developed Design.
- Producing Detailed Design.
- Producing Tender Documentation.

#### Construction
- Carrying out Site Inspections and Visits.
- Providing Contract Administration.
- Providing Payment Certification.
- Monitoring and signing-off scope change.
- Monitoring extensions of time.
- Attendance at all relevant meetings.
- Compilation of snag lists.
- Supervising completion of snag lists.
- Dealing with disputes on site should they arise.

#### Post-Construction
- Producing Certificate of practical completion
- Producing Final Payment Certification
- Providing opinion on compliances with planning and building regulations.
- Providing as-built drawings.

### 3.12.13 Cost Management and Quantity Surveyor
Responsibilities include:

#### Pre-Construction
- Preparing a preliminary cost study based on the Concept Design.
- Preparing and implementing cost estimating and control procedures for the Project, to be approved by College.
- Preparing and implementing change control procedures for the Project, to be approved by College.
- Reviewing of and input to, as appropriate, all Project reports and studies.
- Preparing feasibility cost estimates for all alternative design solutions proposed by the Design Team.
- Attending all project and specific discipline meetings as required.
- Preparing and establish a Definitive Estimate or Budget for the Project as part of the completion of Preliminary Engineering.
- Preparing a detailed cost plan for the Project and advising on financial effects of construction phasing.
- Completing Value Engineering reviews at all major stages of design development.
- Providing full Quantity Surveying services to the Project including preparation of Bills of Quantities for all Works Contracts (including any enabling works contracts required).
- Providing Bills of Quantities for M&E elements of the work.
- Regularly reviewing design development to ensure compliance with cost plan or recommending action to mitigate impending overruns.
- Consulting and liaising with all Project Parties in a supportive and co-operative manner to ensure overall Project objectives are met.
- Ensuring PM Team and College are advised of any circumstances arising that might cause cost or schedule overrun.
- Advising on tendering procedures and contract documents in respect of all construction contracts, and prepare the appropriate documents as required.
- Reviewing and analysing all construction bids, as appropriate and attending clarification and negotiation meetings with Bidders.

Construction
- Providing comprehensive cost and cash flow reports for the Project on a monthly basis.
- Carry out all responsibilities and activities efficiently and in accordance with the programme.
- Attending site meetings as necessary.
- Monitoring actual cash flow against forecast.
- Approving invoices for payment and ensure payment by College.
- Ensuring contractor compliance with all insurance requirements. Secure certificates for safekeeping.

Post-Construction
- Negotiating and agreeing final account with main contractor and all sub-contractors.
- Providing final cost report for College.

3.12.14 Structural Engineer
Responsibilities include:

Pre-Construction
- Liaising with design team on programme for completion of design.
- Liaising with design team on programme for construction of works.
- Development of design proposal for works.
- Preparing representative sketches/drawings/specifications to assist with planning permission/cost plan.
- Consulting with local authorities.
- Developing detailed design.
- Preparing final calculations to comply with building regulations.
- Assisting Quantity Surveyor with estimates of reinforcement, final specifications etc. for Bill of Quantities.
- Assisting Architect in communication to client over technical suitability of works.
- Advising on the need for any special conditions of contract relevant to the works.
- Advising the Client/Architect on the likely necessity for appointing supervisory site staff.
Assisting Architect with merits of tenders, prices and estimates received.
Providing submissions of drawings for the works to Architect.
Co-ordinating and integrating within the overall design of the works.

**Construction**
- Advising on preparation of formal contract documents relating to accepted tenders for carrying out the works or any part of them.
- Advising the Client/Architect in relation to the need for special inspections or tests arising during the construction of the Project.
- Reporting to Architect on the necessity of appointment of supervisory site staff.
- Assisting the Architect in examining the Contractors proposals where required by the building contract documents.
- Attending for duration of the structural works, all relevant site meetings.
- Advising the Architect on certificates for payment to the contractor.
- Performing any services which the Consulting Engineer may be required to carry out under any contract for the execution of the works.
- Assisting the Architect in settling any dispute or difference relating to the works.

**Post-Construction**
- Delivering copies of the drawings supplied to the Contractor for the project upon completion of the works.

### 3.12.15 Mechanical, Electrical, Public Health Services Consultant (MEP)
**Responsibilities include:**

**Pre-Construction**
- Preparation of mechanical and electrical services drawings.
- Preparation of mechanical and electrical services specifications.
- Preparing budgets and obtaining costs from nominated contractors.
- Negotiating Fixed Price on receipt of costs (if applicable).

**Construction**
- Attending all site meetings.
- Carrying out site inspections and oversee Mechanical and Electrical Contractor’s work.
- Evaluating interim work in progress for Quantity Surveyor.
- Making payment recommendations, MEP work for Quantity Surveyor.
- Snagging building services and overseeing completion.

**Post-Construction**
- Preparing final accounts.
- Issuing opinion on compliance in relation to Building regulations.
- Checking ‘as built’ drawings and documents/certified contained in the Mechanical and Electrical operational and maintenance manuals.
- Preparing Health & Safety statement as part of the design process in relation to the services element of the project.

### 3.12.16 Fire Consultant
**Responsibilities include:**

**Pre-Construction**
- Participating in design team meetings
• Holding preliminary meetings with Fire Officer
• Highlighting fire regulations/precautions
• Engaging with Health & Safety Consultant
• Producing drawings and specification for fire certificate application.
• Signing off with Fire Officer prior to lodgement of fire certificate application.

Construction
• Holding regular meetings with design team
• Liaising with Fire Officer
• Monitoring installation
• Monitoring variations in specification with regard to fire implications.
• Procurement of O&M and specification confirmations with regard to fireproof material.

Post-Construction
• Providing certification and documentation for Fire Officer.

3.12.17 Health & Safety Consultant
Responsibilities include:

Pre-Construction
• Holding regular meetings with design team.
• Compiling and producing a Safe System of work plan (SSWP).
• Appointing a Project Supervisor, Design Process (PSDP).
• Appointing a Project Supervisor, Construction Stage (PSCS) (Pre-construction).
• Developing the Health & Safety file for the project and make available to PSDP, PSCS and Contractor.
• Communicating and liaising with team as necessary.

Construction
• Holding regular meetings with design team and contractor.
• Monitoring continuous Health & Safety on site.
• Updating and amending the Health & Safety file.
• Liaising with team if necessary.
• Conducting/supervising toolbox talks, safety talks.

Post-Construction
• Making site Health & Safety file available for handover.
• Compiling Health & Safety report post construction.

3.12.18 Traffic Consultant
Responsibilities include:

Pre-Construction
• Compiling report on traffic implication for new construction.
• Engaging with Health & Safety Consultant.

Construction
• Monitoring traffic control including traffic light coordination, access and egress and liaising with Dublin City Council, traffic department.
• Liaising with An Garda Síochána, if required.
3.12.19 Fit Out Specialist
Responsibilities include:

**Pre-Construction**
- Holding regular meetings with design team.
- Acquiring client brief.
- Production of drawings and specification.
- Compilation of budgets and costs for fit out.

**Construction**
- Monitoring work in progress during fit out.
- Working closely with design and management team on site.
- Dealing with all insurances of fit out staff.
- Engaging with Health & Safety Consultant.
- Supervising installation.
- Signing off of installation on completion.

**Post-Construction**
- Dealing with all snags and maintenance issues with regard to fit out.
- Acquisition of all O&M manuals.
- Monitoring use of fit out installation until expiration of warranties etc.

3.12.20 Sustainable Energy Consultant
Responsibilities include:

**Pre-Construction**
- Holding regular meetings with design team.
- Engaging with Health & Safety Consultant.
- Compilation and production of report with regard to sustainable energy.
- Signing off on accepted specification for sustainable energy within the design and contract documents.

**Construction**
- Monitoring sustainable energy materials and installation during the progress of the works.
- Availability to amend design should variations occur.
- Ensuring maintenance of sustainable energy components during the works.
- Signing off of components and fittings upon completion of the works.

**Post-Construction**
- Monitoring use of sustainable energy components until expiration of warranties etc.
- Compilation of report on sustainable energy at close-out of project.

3.12.21 Planner
Responsibilities include:

**Pre-Construction**
- Holding regular meetings with design team.
- Consultation with Dublin City Council planning department.
- Production of planning report and recommendations.
- Assisting design team with planning application lodgement.
3.12.22 Archaeologist
Responsibilities include:

Pre-Construction
- Holding regular meetings with design team.
- Liaising with Dublin City Council.
- Compilation of report on archaeology aspects of project, if any.
4 Capital Review Group (CRG)

4.1 Introduction
The Capital Review Group (CRG) is a subgroup of the Executive Officers Group (EOG). Authority is delegated from EOG to CRG for the management of the Capital Project approval and prioritisation process, the initial review and recommendation of projects for approval or rejection, the monitoring of the College project portfolio performance, the recommendation of project change requests for approval or rejection, and the approval of a project’s progression through the Stage Gate process for all project Stage Gates not requiring Board approval.

CRG is not responsible for the execution of projects, but plays an oversight role on behalf of the EOG and Board to monitor project performance against what was approved. It also monitors the overall College project portfolio performance and may recommend reprioritising, placing on hold or halting a project to support the success of the overall portfolio.

CRG does not have the authority to make decisions on behalf of the Project Steering or Sponsor, but can raise concerns about a project and may escalate these concerns to the Project Sponsor or Steering / EOG / Board for resolution. CRG reports decisions, recommendations and escalations to EOG. CRG reports decisions affecting space allocation to the Space Allocation Sub-Committee (SASC). CRG may approve projects with a capital spend up to €150k.

CRG comprises the following members:

- Bursar (Chair).
- Chief Operating Officer.
- Chief Financial Officer.
- Head of PMO.
- PMO Admin (Secretary).

As the PMO does not have a responsibility for proposed or approved projects with a capital spend of less than €500k, responsibility for receipt and recording of information for these projects (approval, prioritisation, performance reporting etc.) lies with local project offices where these are in place, and with PMO for support of the business areas otherwise.

4.2 Key Objectives
CRG’s key objectives include:

- To consider Capital Projects and satisfy itself that the College’s strategic objectives are supported / delivered by them.
- To improve the transparency, monitoring and control of capital spend within College.
- To challenge business cases and change requests in order to ensure College gets value for money.
- To act as the primary filtering and decision point for proposed projects and existing project change requests, making recommendations on project approval or rejection, and prioritisation within the College portfolio.
- To act as the primary decision point for in-flight / live projects, making recommendations on the prioritisation of a project to ensure the success of the overall College project portfolio.
- To act as the final decision point for approval of a project through Stage Gate, for Stage Gates not required to be approved by Board.
- To effectively monitor the College project portfolio, reporting the appropriate level of detail to EOG, Board and other committees as required.
- To manage and report on Capital Project approval and prioritisation, and project portfolio performance reporting processes in a timely and effective manner.

### 4.3 Key Responsibilities

CRG’s key responsibilities include:

- Reviewing the strategic alignment and completeness of business cases, for projects with a capital spend of €50k or greater.
- Approving budget / spend to support the development of a full project Business Case for submission for approval (post 1st Pass of approval and prioritisation process – filtering) up to a value of €150k.
- Reviewing and making approval or rejection recommendations on new projects or project change requests.
- Presenting CRG recommendations to the EOG / Board for approval on new projects / project change requests, including:
  - Approval or Rejection of projects / change requests.
  - Agreeing / recommending an appropriate project Sponsor.
  - Agreeing / recommending appropriate Steering Committee membership and Chair.
  - If the Sponsor is not a member of EOG, agreeing / recommending an appropriate EOG champion.
- Approving a project’s progression through the Stage Gate process where approval is not required by Board.
- Taking decisions to place in-flight projects on hold or to cancel projects due to issues with the individual project, or with the overall project portfolio
- Reviewing project performance against the approved baseline
- Reporting to EOG / Board and other committees (as required)
  - Appropriate level of detail on the performance of the College project portfolio, highlighting exceptions and key areas of risk
  - Appropriate level of detail on the College Capital Project pipeline,
  - Decisions, recommendations and escalations made,
  - Priority of projects, and any change to priority.

### 4.4 Level of Approval Authority

All capital projects with an estimated / potential capital spend value of greater than €50k must be submitted to CRG for inclusion in the College Project Approval & Prioritisation process, irrespective of whether funding for capital spend is available or being sought.

CRG can approve projects with an estimated / potential capital spend of up to €150k. CRG may decide to escalate projects within their approval limit to EOG for approval if deemed appropriate (e.g. project is of high risk).

All projects with an estimated / potential capital spend value of greater than €500k must have an EOG Champion assigned.

EOG can approve projects with an estimated / potential capital spend of up to €3m. EOG may decide to escalate projects within their approval limit to Board for approval if deemed appropriate (e.g. project is high risk).
Any project with an estimated / potential capital spend of more than €3m must be approved by Board. Deans and Chief Officers are responsible for sign-off of projects being proposed by their area in advance of their submission via CRG into the project Approval & Prioritisation process.

4.5 CRG Meeting Types and Timeline

4.5.1 High Level CRG communications flows
The diagram below provides a high level view of the communications and meeting types referred to in this document.

4.5.2 Project Approval & Prioritisation
Initially, projects will be accepted by PMO on an ad-hoc basis and scheduled for inclusion on the monthly CRG meeting for approval and prioritisation. In the longer term prioritisation may be determined on an annual basis. Projects with an estimated value of capital spend between €50k and €500k will be submitted via the local Project Office (where one exists) into PMO. Where a local Project Office does not exist or where the estimated value of capital spend is €500k or greater, submissions will be made directly into the PMO. All submissions will be presented using standard templates / formats for ease and efficiency of filtering and understanding.

When an annual prioritisation process is adopted submissions will follow a 2 pass review approach through the CRG. The 1st pass will be used by CRG to review all project submissions at a high level
and filter those that are not to be progressed further as they are not considered to be appropriate for College to pursue at this time. Projects will be categorised into one of the following:

- Rejected
- Additional information required before being considered further
- On hold
- Progressed to the next pass of the CRG process.

These meetings will be scheduled to take place annually at the end February through end March. The 2nd pass will be used by CRG to review those projects progressed from the 1st pass at a much greater, granular level of detail. Detailed Business Cases will be developed by the Project Sponsor and a standard summary template completed for submission to CRG. Submitted proposals will be considered, Business Cases challenged, and decisions made on what projects are to be recommended for:

- Approval
- Rejection
- On hold
- Further information required

This decision will be based on a number of criteria and will take into account the impact of a project on the overall College project portfolio, and the appropriate use of College resources (money, people, technology, etc.). These meetings will be scheduled to take place annually from May through mid-June. Projects being recommended for approval will be presented to EOG / Board for approval, as appropriate.

4.5.3 Monthly Project Portfolio Performance Review
To be held monthly at an agreed point after the calendar month end. The project performance reports collated by PMO and provided for use at the meeting will represent the status of the projects at month end.

4.5.4 Stage Gate
To be held monthly at an agreed point after the calendar month end. Will be included as part of scheduled monthly CRG meeting. For full details of the Stage gate process, please refer to relevant sections in this document.

4.5.5 Change Requests
To be held monthly at an agreed point after the calendar month end. Will be included as part of scheduled monthly CRG meeting. For full details of the Change Request process, please refer to relevant sections in this document.

4.6 CRG Meeting Principles
The following describes the principles on which CRG meetings are run:

- The quorum is two of three Executive Officers.
- If a member is not in a position to attend the meeting, another member of EOG may be asked to attend.
- The Head of PMO will consult with the members of CRG on projects, but will not have any voting rights when making decisions.

- For approved projects, the Head of PMO will provide timely collated and summarised project performance information based on information received directly from the projects or via the local Project Office, where one exists.
For **proposed projects**, the Head of PMO will provide the latest summary information made available either directly from the projects or via the local Project Office, where one exists.
5 General Project Administration and Support

The project will follow the guidelines laid down by College, or if not available, an approach that would generally be considered to be best practice project governance. These include reporting on and managing projects, storing project documentation and deliverables of various kinds, the completion of timesheets, financial reporting, resource planning and management.

All project documents have been developed using the standard MS Office toolset.

- MS Word
- MS Excel
- MS PowerPoint
- MS Outlook
- MS Project
- MS Visio

In summary, each project will use a shared project folder in which to maintain all project management information. A document/file directory structure will be proposed by PMO (intended as a guide). Project Managers may make changes to this as required by their own specific project.

The project folder will be used to facilitate sharing of information amongst the project team and within the wider key stakeholder community as appropriate.

All working documents will be saved by project team members so that all have access to and are working on the same version of deliverables.

Documents will include minutes of all meetings, presentations and communications.

All project resources will complete periodic timesheets and provide to the Project Manager. This information will feed into the project financial processes, calculating actuals and budgets for the project.
A 1. The Capital Projects Governance Process

On 26th June 2013, a proposal was brought to Board to approve Capital Project governance and related processes. This was informed by an exercise carried out by PrimeCore who put forward a governance structure and an infrastructure project process methodology (Stage Gate). Interim arrangements for implementation of a College-wide Programme Management Office (PMO) were also approved.

This section outlines the historical development of a standardised lifecycle based on the PrimeCore work and the paper brought to Board in June 2013.

Board approved that the proposed overarching project management methodology is Stage-Gate, an approach designed to break the lifecycle of a project into key defined stages each of which allow College to establish if a project has merit before resources and funding are approved to develop it to the next stage.

Each Stage concludes with a Gate Review at which the project business case is assessed and if it is still attractive, the project is approved to the next stage of development. The implementation of Stage-Gate will include formal change controls and formal risk management strategies.

The PrimeCore Stage Gate model included seven lifecycle Stages and six Gate Reviews:

<table>
<thead>
<tr>
<th>Stage</th>
<th>Followed by Gate Review</th>
</tr>
</thead>
<tbody>
<tr>
<td>0</td>
<td>Idea Screening 0: CRG Approves project and submits it to EOG</td>
</tr>
<tr>
<td>1</td>
<td>Project Initiation 1: EOG and Board approve total funding for strategic planning</td>
</tr>
<tr>
<td>2</td>
<td>Strategic Planning 2: CRG approves funding for concept design</td>
</tr>
<tr>
<td>3</td>
<td>Concept 3: CRG approves funding for basis of design</td>
</tr>
<tr>
<td>4</td>
<td>Basis of Design 4: EOG or Board approves full project funding (earliest)</td>
</tr>
<tr>
<td>5</td>
<td>Detailed design 5: EOG or Board approves commencement of implementation design</td>
</tr>
<tr>
<td>6</td>
<td>Execution &amp; Handover 6: EOG or Board approves project for commercial closeout</td>
</tr>
<tr>
<td>7</td>
<td>Closeout</td>
</tr>
</tbody>
</table>

Fig 9. PRIMECORE STAGE GATE MODEL

In the process of implementing the PMO, the full range of governance structures, roles and responsibilities were proposed in detail and approved, as were the key project management processes for approval, prioritisation, reporting, risk and issue management while other process designs are being prepared with input and feedback from the key areas of College managing Capital Projects.

As roles and responsibilities and project management processes have been developed further, the PMO Design Team have reviewed each Stage in this model and introduced some modifications in order to achieve the original objectives by expanding the model to encompass all Capital Project types.

In doing this, the PMO Design Team continues to engage with the PMO Consultation Group. In addition, the Team has used portfolio, programme/project management and construction best practice with particular emphasis on the Irish Government’s Capital Works Management Framework (CWMF – see below).

In summary, the PMO Design team have confirmed the following lifecycle for Capital Projects. The modified lifecycle illustrated in the diagram below addresses several issues including the fit of the model with several project types other than construction, staying in line with more recent
developments including design of the approval and prioritisation process, and alignment in full with the Government framework thus enhancing governance and control at all Stages in the lifecycle.

Fig 10. CAPITAL PROJECT GOVERNANCE PROCESS

The original Stage Gate lifecycle has been reviewed against best practice and construction frameworks and aligned to enhance Capital Projects Governance and control over all Stages of the lifecycle.

The figure overleaf cross-references the original Stage Gate lifecycle proposed by PrimeCore with the Capital Project Governance Process, aligned with CWMF and identifying the rationale and benefits of the modification.

The over-arching project management methodology remains Stage Gate in its design as approved by Board.

Additional mandatory Steering Reviews have been added and these align with the CWMF framework. Deliverables from the construction lifecycle have been aligned with Stage Gate to ensure that projects of all types will be managed using a standardised approach.

The following is the detailed Stage Gate Lifecycle model:
Fig 11. CAPITAL PROJECT GOVERNANCE LIFECYCLE

* SPONSOR is end-to-end accountable for project

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<table>
<thead>
<tr>
<th>PMO HANDBOOK</th>
</tr>
</thead>
</table>

<table>
<thead>
<tr>
<th>PRIMECORE</th>
<th>NEW STAGE</th>
<th>FOLLOWED BY GATE REVIEW</th>
<th>STEERING REVIEW</th>
<th>RATIONALE AND BENEFITS</th>
</tr>
</thead>
<tbody>
<tr>
<td>(0) Idea Screening, Gate 0</td>
<td>APPROVAL &amp; PRIORITISATION</td>
<td>0: CRG recommends project, submits it to EOG/Board to approve funding for initiation and strategic planning</td>
<td></td>
<td>Improved governance/controls on filtering proposed projects.</td>
</tr>
<tr>
<td>(1) Project Initiation, Gate 1 (2) Strategic Planning, Gate 2</td>
<td>INITIATION &amp; STRATEGIC PLANNING</td>
<td>1: CRG makes recommendation to EOG/Board re acceptance of Stage</td>
<td>Aligns with Steering Review 1</td>
<td>Improved flow of project, allows advancement of project to high level design stage, aligns better with sequencing of variety of project types.</td>
</tr>
<tr>
<td></td>
<td>Tender</td>
<td></td>
<td></td>
<td>Aligns with CWMF Review 7 (LAST REVIEW).</td>
</tr>
<tr>
<td></td>
<td>Execution</td>
<td></td>
<td></td>
<td>Enhanced governance and control over the details of execution, testing and handover.</td>
</tr>
<tr>
<td></td>
<td>Testing</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>Handover &amp; Implementation</td>
<td>5: CRG makes recommendation to EOG/Board re Stage acceptance</td>
<td></td>
<td></td>
</tr>
<tr>
<td>(7) Closeout (no Stage gate)</td>
<td>CLOSEOUT</td>
<td>6: CRG makes recommendation to EOG/Board re final closeout and agrees review period and deadline for Benefits Review.</td>
<td></td>
<td>Enhances governance over Closeout Stage and reviews lessons learned from project; establishes timeline/expectations for Benefits Realisation review</td>
</tr>
</tbody>
</table>

Fig 12. CROSS-REFERENCE OF CPGP, PRIMECORE AND CWMF MODELS
Stage Gate proposed June 2013, Source: PrimeCore, Board Paper

Fig 13. PRIMECORE INFRASTRUCTURE PROJECT LIFE CYCLE
Fig 14. CAPITAL WORKS MANAGEMENT FRAMEWORK (CWMF) AND PROJECT LIFECYCLE

A 2. Definitions

A2.1 Projects and their classifications

A project is defined as a temporary activity designed to produce a unique product, service or result with a defined beginning and end (usually time-constrained, and often constrained by funding or deliverables), undertaken to meet unique goals and objectives, typically to bring about beneficial change or added value. The temporary nature of projects stands in contrast with business as usual (or operations), which are repetitive, permanent, or semi-permanent functional activities to produce products or services.

Projects will include the following major categories:

- **New Build**: (construction of new buildings or development of new facilities and infrastructure)
- **Refurbishment**: (construction work on existing buildings or facilities/infrastructure)
- **Information systems**: including systems development or acquisition, networks, hardware systems, support
- **Legislative**: required or initiated by external regulator / legislator; mandatory project focused on delivering to specified timelines, constraints or quality (may originally be initiated as a directive).
- **External**: projects driven by external demands/constraints (non-legislative) due to external impacts and influences
- **Organisational Change (change management)**: initiated to deliver an organisational change or organisational restructure to one or more specified business areas or functions in order to achieve quantifiable business benefit in the form of resource effectiveness or efficiency. Focused on the “people” side of change within an organisation, but may also include other aspects of project e.g. Processes & technology. The objective is to achieve lasting change within the organisation.

A2.2 Risks, Assumptions, Issues and Dependencies

Brief definitions of risk, assumption, issue and dependency are outlined below.

<table>
<thead>
<tr>
<th><strong>RISK</strong></th>
<th>A prediction of a significant negative event that might occur in the future, and which is likely to adversely affect the ability of the project to achieve the defined objectives.</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>ASSUMPTION</strong></td>
<td>A statement that is assumed to be true and from which a conclusion can be drawn. Assumptions are made about the project variables e.g. timeline, scope, cost, resourcing, quality, business / 3rd party support and interfaces, organisational delivery capability, etc., and form part of the basis for the project delivery. Where an assumption turns out to be false, a Change Request may need to be raised to control the impact to the project delivery.</td>
</tr>
<tr>
<td><strong>ISSUE</strong></td>
<td>Anything currently impeding (or that will impede) progress of the project, and about which final agreement / closure has not yet been reached. The impact of an issue may cause delay, change direction, impair solutions, hinder quality, alter deliverable content or increase cost.</td>
</tr>
<tr>
<td><strong>DEPENDENCY</strong></td>
<td>Any event or deliverable required before a project activity can commence or complete. There can be internal dependencies i.e. being managed / controlled within the project, and external dependencies i.e. requiring interaction between other projects / business areas / organisations that do not form part of the project.</td>
</tr>
</tbody>
</table>

Fig 15. DEFINITION: RAID
A2.3 Estimation, Risk and Contingency

This section addresses the topic of contingency, its definition and circumstances under which it can be used, and how it is managed, controlled and reported. It places contingency in the context of risk, assumption management and estimation which are related topics.

When estimating the cost for a project, there is always uncertainty as to the precise content of all items in the estimate, how work will be performed, what work conditions will be like when the project is carried out and so on. These uncertainties are project risks. Risks are identified, logged and assessed for severity (based on their likelihood and impact if the risk occurs). The next step in dealing with the risks is in devising a risk response strategy in case they occur – actions agreed where possible in order to mitigate the severity of the risk. Some risks are more certain than others and can be estimated with a high degree of accuracy.

Some risks, however, are less defined and more difficult to estimate. The estimated cost of these risks is referred to as **contingency** which can be defined as:

“... an amount added to the overall project estimate to allow for items, conditions, or events for which the state, occurrence, or effect is uncertain and that experience shows will likely result in additional costs/time/effort.”

Contingency is designed to cover items of cost which are not known exactly at the time of estimation and are predicted to occur based on past experience, but with some uncertainty regarding the amount. These cost items must be included in the Business Case, PID and related planning documentation with all available information and will be reviewed regularly throughout the project lifecycle in line with risk and assumption reviews.

Contingency excludes scope changes such as changes in product specification or added functionality, capacities, building sizes, and location of the asset or project. It is not intended to be used to cover inadequate estimation or poor project management.

Contingency is typically estimated using:

- expert judgment based on past project or asset experience
- what-if scenario analysis
- predetermined guidelines

Simulation analysis (primarily risk analysis as in approaches such as the Monte-Carlo method) and parametric modelling may also be used to assist estimation of the contingency.

Contingency is identified and included in the project budget as a control account. As risks occur on a project or assumptions are proved to be false, and funds are approved to pay for them, contingency can be transferred to the appropriate accounts that need it. The transfer and its reason must be approved and recorded by the appropriate authority. Just as with assumptions and in risk management, where there is continual review and reassessment during the course of a project, so the need for contingency is reviewed regularly by the Project Manager, Sponsor and Steering. At each Stage Gate, and at Steering Reviews, use of contingency will be reviewed and approval sought as required.

What is important to emphasise is that, as more precise information about the project and its deliverables becomes available to the project team, the contingency may be used, reduced or eliminated. Contingency will always be clearly identified as part of financial documentation.
### A 3. Abbreviations used

The following table provides a list of abbreviations commonly used throughout the project documentation.

<table>
<thead>
<tr>
<th>Abbreviation</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>BA</td>
<td>Business Analyst</td>
</tr>
<tr>
<td>CR</td>
<td>Change Request</td>
</tr>
<tr>
<td>LIPC</td>
<td>Library &amp; Information Policy Committee</td>
</tr>
<tr>
<td>PM</td>
<td>Project Manager</td>
</tr>
<tr>
<td>PMO</td>
<td>College-wide Project Management Office</td>
</tr>
<tr>
<td>RAID</td>
<td>Risks, Assumptions, Issues and Dependency logs</td>
</tr>
<tr>
<td>SAC</td>
<td>Space Allocation Committee</td>
</tr>
<tr>
<td>SME</td>
<td>Subject Matter Expert</td>
</tr>
<tr>
<td>TCD</td>
<td>Trinity College, University of Dublin</td>
</tr>
</tbody>
</table>
## A 4. Templates and other documents

### A2.4 Artefacts

The following table provides a list of PMO/project artefacts (some of which are still in design) referenced in this document.

<table>
<thead>
<tr>
<th>Title</th>
<th>Description / Comment</th>
</tr>
</thead>
<tbody>
<tr>
<td>Business Case Summary</td>
<td>Presents background and objectives, alignment to Strategy, scope, risks, issues and constraints, options and recommendations, cost and benefit estimates, resources and milestones, proposed Steering Committee and Project Risk Indicator.</td>
</tr>
<tr>
<td>Business Case</td>
<td>Business Case covering scope, deliverables, benefits, etc. This forms the baseline of the project management delivery.</td>
</tr>
<tr>
<td>Capital Works Management Framework (CWMF)</td>
<td>The Capital Works Management Framework is a structure that has been developed to deliver the Irish Government’s objectives in relation to public sector construction procurement reform. It consists of a suite of best practice guidance, standard contracts and generic template documents that form the four pillars that support the Framework.</td>
</tr>
<tr>
<td>Change Request Presentation</td>
<td>Template for presentation of Change Request. PowerPoint presentation required to request Steering Committee / CRG (as appropriate) approval for changes to the project performance areas i.e. Schedule, Financials, Resources, Scope, Quality and Risk.</td>
</tr>
<tr>
<td>Project Closure Report</td>
<td>The Project Closure Report is the final document produced for the project and is used by senior management to assess the success of the project, identify best practices for future projects, resolve all open issues, and formally close the project.</td>
</tr>
<tr>
<td>Change Request PRI Log</td>
<td>Change Request PRI Log Template contains an Excel worksheet used to log details of the Project Change Requests received / processed by the project including status, impact, actions and decisions relating to each change request.</td>
</tr>
<tr>
<td>Financial Plan</td>
<td>Project financial estimates of resources (people, technology, miscellaneous) required to deliver the project, and to support post implementation. It also includes details of the estimated benefits to be delivered by the project.</td>
</tr>
<tr>
<td>Handover &amp; Implementation Schedule (part of Delivery Plan)</td>
<td>Document outlining the approach to be taken to deliver the project deliverables to the business by detailing the related activities and tasks, responsibilities and timelines involved.</td>
</tr>
<tr>
<td>Post Implementation Benefits Review Template</td>
<td>Evaluation (post project) of the operational success of the project and assessment of the actual costs, benefits and savings in comparison with planned amounts.</td>
</tr>
<tr>
<td>Project Closure report</td>
<td>Document outlining the status of what the project set out to achieve as documented in the Business Case, against what it actually achieved at project completion. It also identifies the actions required to close down project activities and move to</td>
</tr>
</tbody>
</table>
business as usual.

<table>
<thead>
<tr>
<th>Project Delivery Plan Template</th>
<th>Project Delivery Plan showing key deliverables, delivery dates, and key dependencies</th>
</tr>
</thead>
<tbody>
<tr>
<td>Project Portfolio Performance Reporting Pack</td>
<td>Pack for presentation to CRG of all projects each month. Will include monthly update of all live projects, Change requests, and new Business cases. It is produced and maintained by PMO.</td>
</tr>
<tr>
<td>Project Portfolio Summary Register Log</td>
<td>This pack contains a summary of the status of all Capital Projects. It is produced and maintained by PMO.</td>
</tr>
<tr>
<td>Project Status Report pack</td>
<td>Pack for regular project status reports</td>
</tr>
<tr>
<td>RAID Log</td>
<td>RAID Log contains an Excel worksheet to hold details of project Risks, Assumptions, Issues, and Dependencies.</td>
</tr>
<tr>
<td>Stage Gate Approval Pack</td>
<td>Pack for presentation at Stage Gates</td>
</tr>
</tbody>
</table>

### A2.5 Reference standards and sources

The following sources have been used to assist in design and compilation of these processes, roles and responsibilities for the purposes of best practice.

- Project Management Body of Knowledge (PMBOK) (5th edition, 2013, PMI)
- Primecore documents (College Board, June 2013)
- JISC Infonet at [http://www.jiscinfonet.ac.uk](http://www.jiscinfonet.ac.uk)