



## Know your facilitator



- **What I studied?**
  - BE NIT Surat (Electrical Engg), M.Tech IIT Delhi (Behavioral Sciences), Ph.D. IIT Delhi (Use of Computers in Education)
- **Who I live with?**
  - Parents & Children
- **Where I have been?**
  - NIIT Ltd, Network Programs, Nucleus Software GrapeCity Inc, Birlasoft Inc, New Horizons India Ltd & Vedang Software
  - Played role in technical (delivery / IT), functional (HR) and process areas
- **What I did?**
  - Courseware Developer, Software Developer – NIIT
  - Project & Program Management – IT Software
  - Head Training & Knowledge Management - BFSI
  - Head Software Delivery – Japanese MNC
  - Process Consultant – Japanese MNC
  - Head Campus Recruitment & Birlasoft Academy
  - Technology Head IT Training Major
  - Mentor & Consultant – IT / ITES businesses
- **What I am doing Now?**
  - Chief Mentor Vedang Software ([www.vedangsoftware.com](http://www.vedangsoftware.com))
  - Technology Consultant Vedang Jyotish ([www.vedangjyotish.com](http://www.vedangjyotish.com))



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# Projects Vs Operations

Most of the business is moving towards being operations and maintenance - hence service


A lot outsourcing is yet to happen from EU

```
graph TD; Root[Projects Vs Operations] --- Projects; Root --- Operations; Projects --- PMBOK; Projects --- P1[Change]; Projects --- P2[Temporary]; Projects --- P3[Cross Functional]; Projects --- P4[Unique]; Projects --- P5[Uncertain]; Operations --- ITSM; Operations --- O1[Ongoing Business As Usual]
```


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## PMP, ITIL, Prince 2

  
Prepared by Dr. Pratul Sharma


- **Certification Bodies**
  - **PMI.org**
    - PMP, CAPM, PgMP
    - Examination only at Prometric Test Centers
  - **APMG International UK**
    - ITIL and Prince 2
      - All levels
    - Examination through EIs i.e. EXIN, ISEB, TUV-SUD, and ATOs along with licensed associates

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## ITIL vs PMP or Prince 2



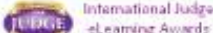

- Career road map
  - Service Management
  - Project Management
- No of Certified Professionals
- Work in real life



## PMP Vs Prince 2




- Prince 2: the project management methodology from UK
  - Cousin of ITIL
- Most projects having any relation with EU follow Prince 2
- Less complicated and More practical compared to PMP
- Moderate effort and cost required to get Prince 2 Foundation and Practitioner certified
- Becoming desired day by day with increasing business outsourcing from EU




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## Certification

  
Developed by Dr. Pratul Sharma


- **Levels / Costs / Time / Effort**
  - **PMP/ PMI.org**
    - Only 1
    - 45k+, 4 days, 1-6 months, exam at prometric only
  - **Prince 2 (Cabinet office / APMG)**
    - Foundation
      - 16k, 2 days, 2 days, exam by ATO or EI
    - Practitioner
      - 25k, 3 days, 3 days, exam by ATO or EI
  - **ITIL (Cabinet office / APMG)**
    - Foundation
      - 13k, 2 days, 2 days, exam by ATO or EI
    - Practitioner (s) – 4/5 exams
      - 30 k each, 3 days each, 3-5 months, exam by ATO or EI
    - Advanced / Expert
      - 45 k, 5 days, 5 days, exam by ATO or EI

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## Why PRINCE 2



- Best Practice
  - For more than 30 years
- Can be applied to any project
  - S, L, XL, XXL
- Provides a structure for roles and accountability
- Product Focused
- Management by Exception
- Business Case Driven
  - Personally I like it more because it is easy to learn and adopt, less theory more practice





## Agenda:



This training intends to provide you basic level understanding of PRINCE 2™ (Foundation) so that you understand–

- Characteristics and context of a project and the benefits of adopting PRINCE 2
- The purpose of the PRINCE 2 roles, Management products and theme
- The PRINCE 2 principles
- The purpose, objectives and context of the PRINCE 2 processes

And attempt the PRINCE 2 Foundation exam and successfully certify



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## What is a Project?




- “A project is a **temporary organization** that is created for the purpose of delivering one or more business products according to an agreed **Business Case**.”




## Project Management Method?




- Project Management deals with planning, delegating, monitoring and controlling the project –
  - PDMC administration of the project
- PM's role is to achieve project objectives within set targets for TCQSBR
  - Time, Cost, Quality, Scope, Benefit, Risk



## Sample Project – A new house




- Background information: Individual subcontractor firms are used to do the different specialist work (heating, electricity, fittings, etc...)
  - these subcontractors will need to be managed
  - Scenario 1:
    - You find out just one week before the plumbers are due to arrive that they may be delayed for one month.
  - Result
    - Most of the planned work will be affected
    - It will be difficult to reschedule other contractors
    - You may still have to pay part of their costs (current contract conditions)
  - Scenario 2:
    - You may find during the installation of the window frames that the allocated space is too small.
  - Result
    - Again, this may affect the rest of the project and throw it off track




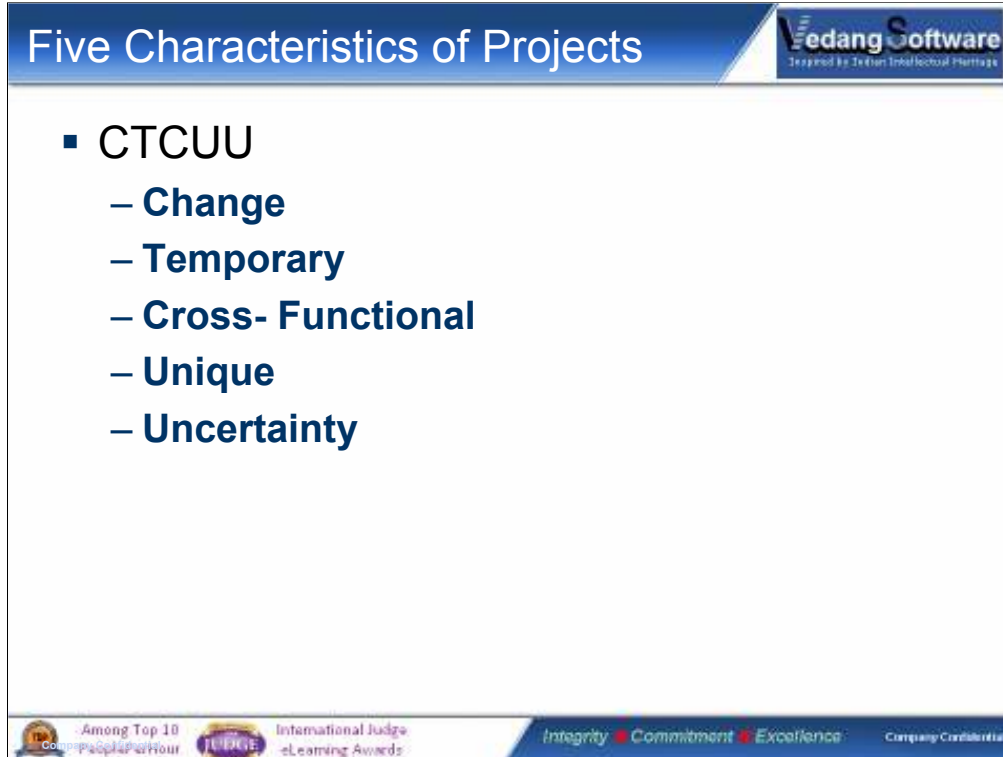
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## Some Common Project Failures



- Insufficient product definitions at the start, resulting in the wrong product being developed.
- Lack of communication, which may cause a black cloud over the project.
- Poor estimation of time and cost, which may cause the project to run out of money.
  - So, there is a need for a good Project Management method.





## Five Characteristics of Projects

- **CTCUU**
  - **Change**
  - **Temporary**
  - **Cross- Functional**
  - **Unique**
  - **Uncertainty**

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### **Change:**

Projects are a way to introduce change. E.g. A new sales website will change how clients will purchase items

### **Temporary :**

There should always be a definite start and end to a project, and it should stop once the required products are created. Ongoing maintenance of a product occurs after the project and is not considered part of the project.

### **Cross- Functional**

A project involves people from different business departments and seniority that work together for the duration of the project.


### **Unique:**

Every project is unique, as there is always something different in each project. *Example:* Building a 4th house may be different in the following ways: the location is different, there's a slight difference in the design, there are different owners, and owners want to change some fittings.

### **Uncertainty**


As parts of the project are unique, this brings uncertainty, as you are not 100% sure how this is going to work out. Using the above example, the owners might keep changing their mind, some of their chosen house

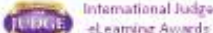
## 6 Variables / Performance Targets





Variable	Description
<b>Timescales</b>	The question to ask for timescales is, <i>'When will the project be finished?'</i>
<b>Cost</b>	Projects have to give a return on investment; therefore, the questions to ask are: <i>Are the costs being controlled? and Are we within budget?</i>
<b>Quality</b>	Will the product be usable at the end of the project (in other words, <i>fit for purpose</i> ) and are products passing their quality checks?
<b>Scope:</b>	Is the scope well-defined and clear to all stakeholders? Care must be taken by the Project Manager to avoid scope creep, which is to allow new requirements to be added during the project.
<b>Benefits:</b>	Why are we doing this project and what are the benefits? Benefits must be known, clear, and measurable, and the benefits need to be delivered.
<b>Risk</b>	All projects are unique and therefore have risk. How much risk can we take on and how can risk be managed? For example, in a project concerned with building a house, what happens if one of the subcontractors does not show up?

**TCQSBR – PMBOK says 6 competing project constraints**











## PRINCE 2 Four Main Parts




- **Integrated Elements**
  - **Principles:**
    - 7 PRINCE2 principles (*“best practices”* or good project characteristics).
  - **Themes:**
    - Themes answer the question regarding what items must continually be addressed during each project, e.g., Business Case, Organization, Quality, Change.
  - **Processes:**
    - Processes answer the question regarding what activities are done during the project and by whom. Processes also answers *“What products are to be created and when?”*
  - **Tailoring:**
    - Tailoring answers one of the most common questions from a Project Manager, *“How do I best apply PRINCE2 to my project or my environment?”*







## What a Project Manager does?




- Manage the 6 variables
  - TCQSBR
- Deals with the issues
- Speeds up the project

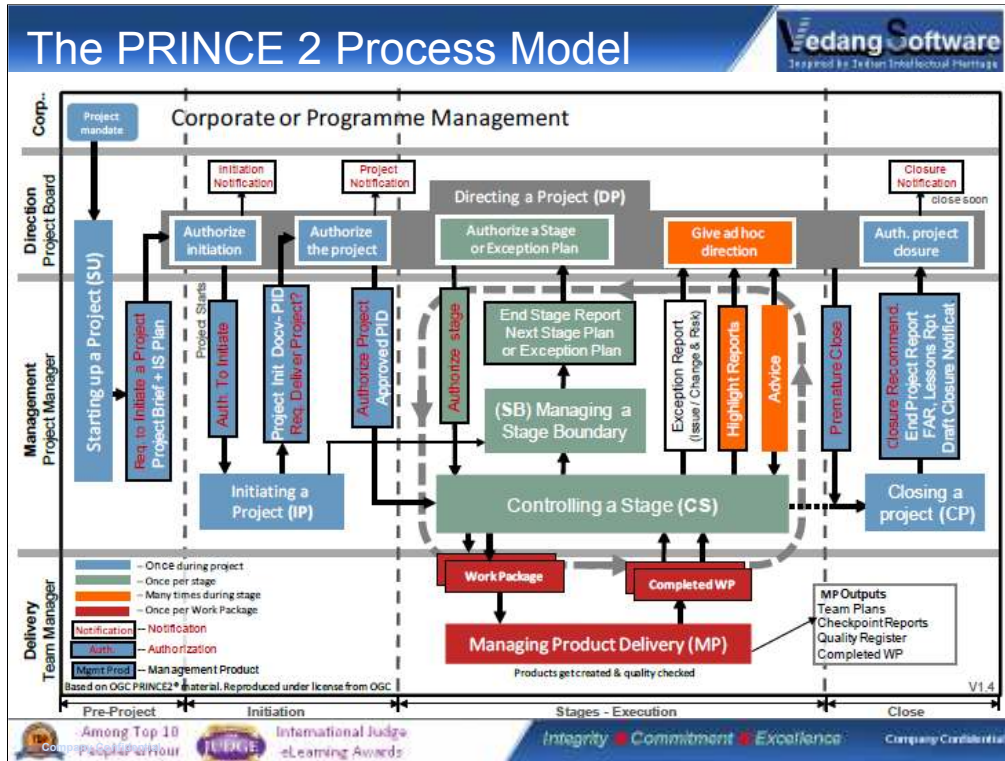


## The Foundation Exam

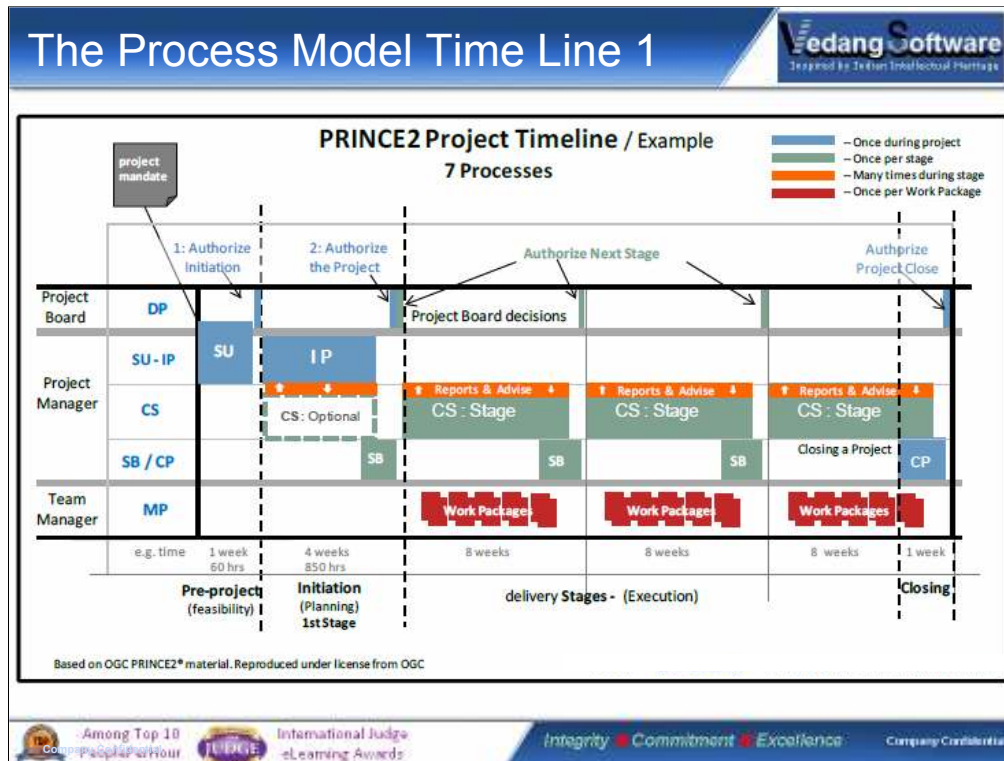


- Time 1 Hour
- Questions 75
- Type Multiple Choice
- Pass rate 50%
- Book: Prince 2 Manual





If you understand and draw the above diagram, most of the foundation exam preparation is complete





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### Starting Up a Project

The Trigger to start the project is the project mandate. As you can see from the diagram, it appears from outside the project team. PRINCE2 says that the project mandate is created by someone from the Corporate or Programme Management.

Starting Up a Project (**SU**) is the first process and has the following main outputs that are given to the Project Board:

- The Project Brief, which contains the outline of the Business Case
- The Initiation Stage Plan, which is the plan for the Initiation Stage
- The Project Product Description

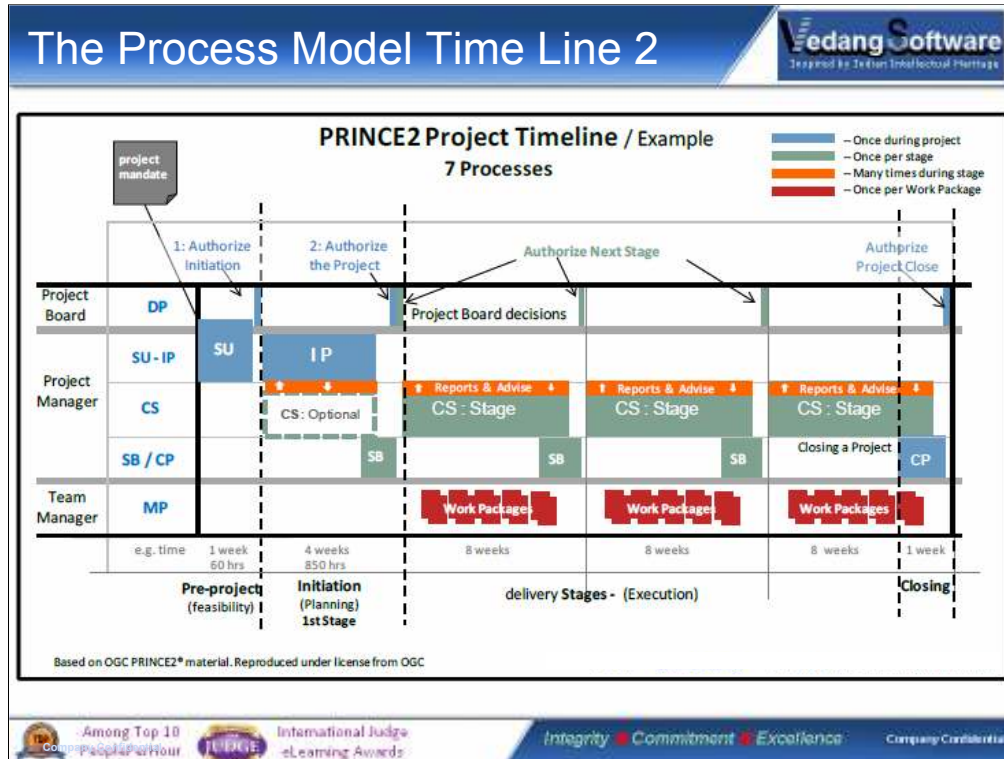
At the bottom of the diagram you can see the text “Pre-Project”. The SU process is considered to be outside the project. Actually, the project does not start until the Project Board takes their first decision. So the SU process provides the information to start the project.

#### Project Board 1st Decision:

The very first decision the Project Board considers is whether to allow the Initiation Stage to start. This is known as “*Authorize Initiation.*” They determine whether the project is worth doing (desirable, viable and achievable), and check and approve the plan for the Initiation Stage.

Timing:

- The Starting Up a Project process can be very short compared to the rest of project.
- This project example is about 8 months, but an average time for a Starting Up a Project could be one week, so these figures are just to give you an idea. It will differ from project to project.



#### Initiating a Project Process / Initiation Stage

After the first Project Board decision, the Project Manager uses the approved Initiation Stage Plan to run the Initiation Stage. This is the first stage of the project.

The Initiation Stage has the following main outputs that form part of the PID:

- The four strategy documents (Risk, Quality, Configuration, and Communication Management)
- The Business Case document (which is the responsibility of the Executive)
- The Project Plan
- The Product Descriptions
- Project Controls describing how the project will be controlled
- Roles & Responsibilities / Project Management Team Structure

Most of the work in this first stage is facilitated by the Project Manager, with lots of support, such as:

- the Executive to develop (refine) the Business Case;
- persons representing the users, who help with product descriptions and quality requirements;
- specialists (also known as “Subject Matter Experts”), who help with Product-Based Planning, which includes the creation of the Product Descriptions and estimating (planning); and
- Senior user, who provides the expected benefits information, which are measurable and when (timeline) they are expected to be realized. This data is stored in the Benefits Review Plan

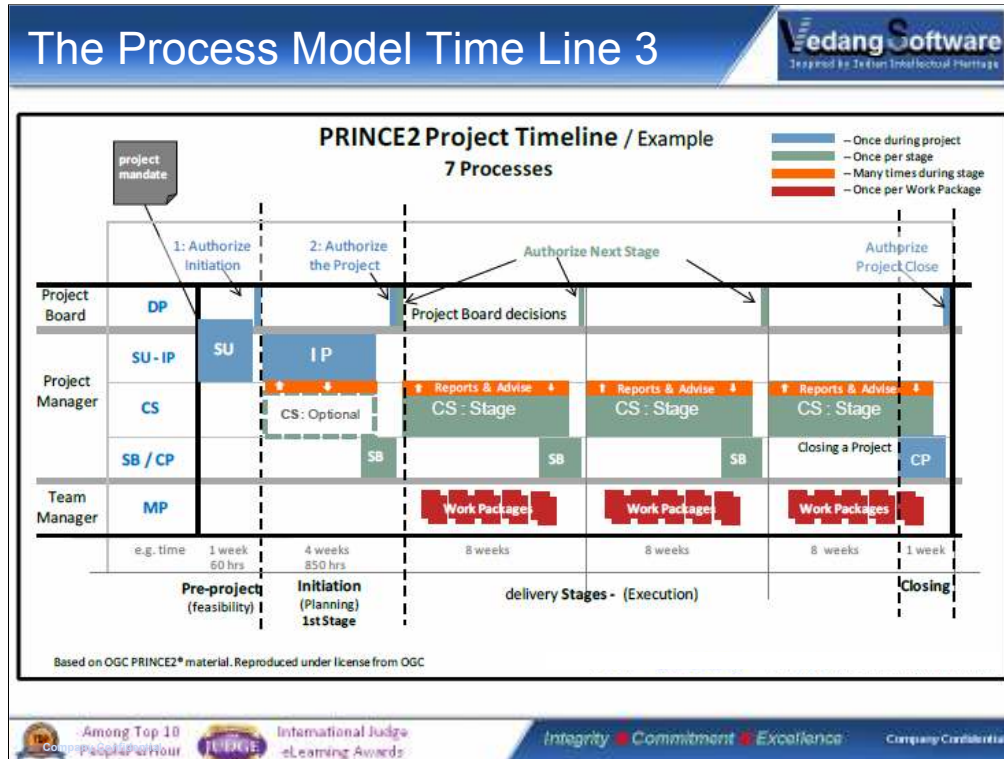
#### Project Board: 2nd Decision:

At the end of the Initiation Stage, the Project Board is ready to make their 2nd decision, which is whether the project should be allowed to continue to the 2nd stage; they will only authorize one stage at a time. They will review most of the information in the PID, especially the Business Case, which includes an overview of the Risks, Benefits and ROI information. They will also review the Project Plan and the plan for the 2nd stage of the project. If the Project Board agrees, then they:

- Authorize the Project so the project can start
- Authorize the Next Stage so the first delivery stage can start.

#### Timing:

- The Initiation Stage, or the *Initiating a Project* process, is longer than the Starting Up a Project process and usually not as long as a normal stage but, again, this depends on the project.
- In the example above, the IP Stage is 4 weeks, while the next stage is 8 weeks.



#### Controlling a Stage – 1st delivery stage

Controlling a Stage is where the Project Manager does most of their day-to-day work. They mainly do the following activities:

- Give out work to Team Managers in Work Packages, check up on the status of these Work Packages and accept Work Packages back when complete.
- Continually review the stage status – where are we now compared to the Stage Plan.
- Provide regular reports to the Project Board.
- Capture and examine issues and risks, and escalate if necessary.
- Take corrective action to solve issues within their tolerance.

#### Managing a Stage Boundary (SB):

As you can see in the diagram below, the SB (Stage Boundary) process starts towards the end of the stage and before the Controlling a Stage process ends. The objectives of the Stage Boundary process are to prepare the following information for the Project Board:

- End Stage Report – How well the stage did compared to the Stage Plan
- Update the Business Case and Project Plan with actuals to date
- Next Stage Plan – A plan for the next stage that needs to be approved
- Benefits Review Plan – Check and update if expected benefits have or have not been realized

#### Project Board Decision:

At the end of the stage, the Project Board will do the following

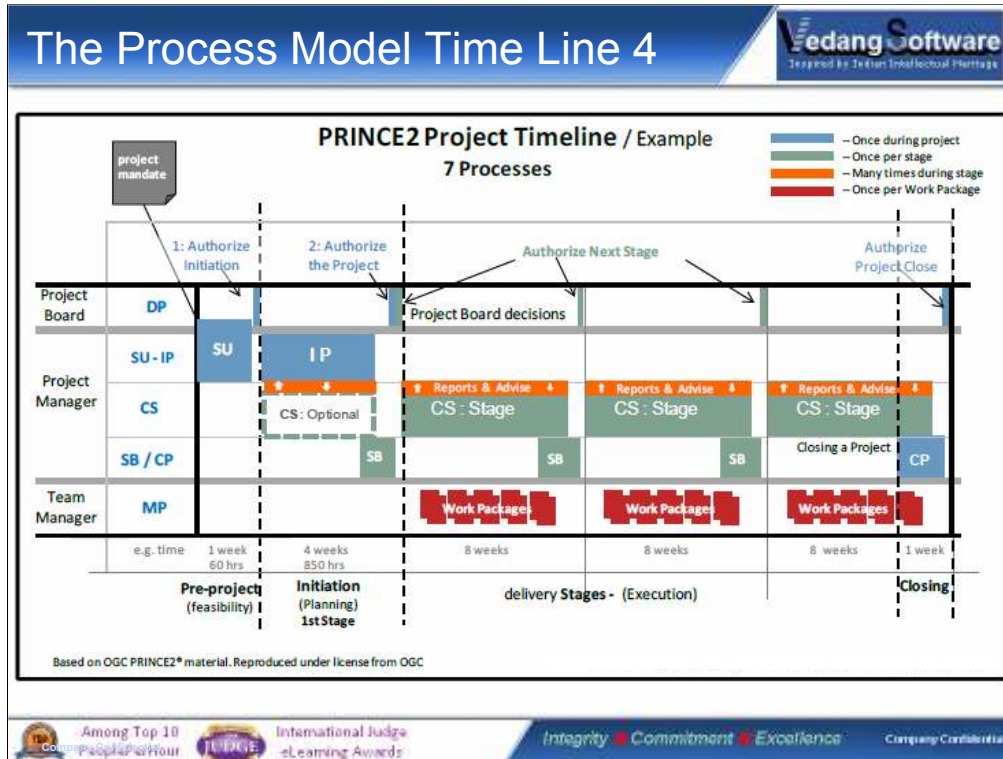
- Review the current stage using mainly the End Stage Report
- Compare the progress of the project so far with the baselined Project Plan
- Review the Business Case to see if the project is still viable, and check risk information
- Check the Next Stage Plan, which is the plan to run the next stage.

And Review the Benefits Review Plan and compare expected benefits so far with actuals

The very last thing that the Project Board does is to “Authorize the Next Stage” so that the Project Manager can continue with the next delivery stage.

#### Timing:

- In this example, the delivery stage is 8 weeks long. This will of course depend on the type of project and you will learn more about this in the Planning Theme.
- You will also learn what is meant by the term ‘planning horizon’.



### Next delivery stages

Projects can have more than 2 stages, and they are all separated by a Project Board decision, as the Project Board uses stages to maintain control of the project.

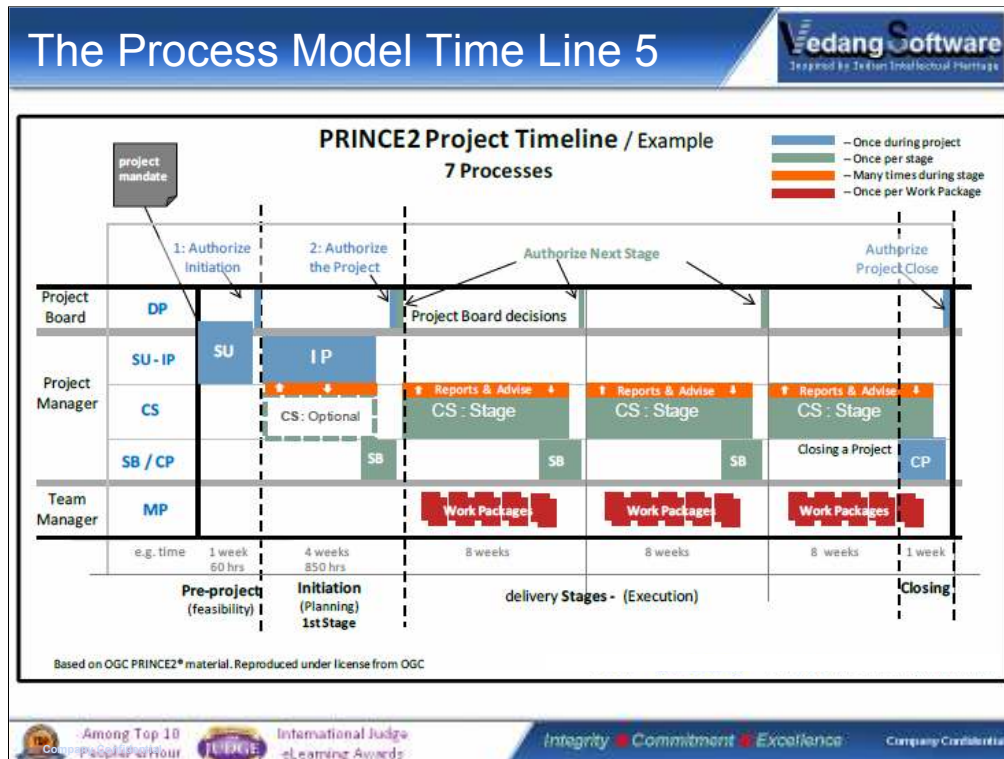
As you can see from the example, this current delivery stage follows the same management pattern as the previous stage. The main differences between the two stages will be the content of the Work Packages given to the teams to develop.

### Project Board Decision:

The Project Board will carry out the same activities as described at the end of the last stage.

### Timing:

- In this example, the current stage is the same as the last stage and, again, this can vary depending on the project. For example, if there was little risk involved in the 2nd delivery stage and the Project Board has lots of confidence in the Project Manager after they have seen them manage the first stage, they might decide to lengthen the stages to 10 or 12 weeks.



### Last delivery stage and Closing a Project

The project will continue until all delivery stages are complete, and it will be closed at the end of the last stage.

**Tip:** "The Closing a Project process is always the last part of the last stage."

Normally towards the end of a stage, the Stage Boundary process is used to report on the current stage and plan the next one. As you can see from the diagram below, the Stage Boundary process is not used, but the Closing a Project process starts up near the end of the Controlling a Stage process. The Closing a Project process is where the Project Manager prepares the project for closure.

The objectives of the Closing a Project process are to:

- Update the Project Plan to show what has been delivered and approved, and when;

- Hand over products, obtain acceptance, evaluate the project, and create the End Project Report; and
- Check and update if expected benefits have or have not been realized, known as the Benefits Review Plan.

The last thing that the Project Manager will do in the Closing a Project process is to recommend Project Closure to the Project Board. You can see it is not the Project Manager that closes the project.

#### Project Board Decision:

The last decision the Project Board will take is to close the project. This is known as "Authorize Project Closure." Before taking this decision, they will do the following:


- Review the baselined documents (Business Case and Project Plan) from the PID with the current documents to see how the project has performed compared to the original goals;
- Confirm that products have been accepted and signed off;
- Check the Lessons Learned report and hand it over so that it can be used for future projects;
- Review the Benefits Review Plan and compare expected benefits so far with actuals.

#### Timing:


In this example the stage is 9 weeks and the Closing a Project process is done over a period of two weeks. Again, this will be different for each project but it does give you an idea.




## Project Timeline Summary




- The objectives of this Project Timeline were to:
  - Give you an idea of how the processes may relate to each other in a project
  - Show when the Project Board gets involved in a project
  - Show which processes are done once and which are done more than once
  - Show how stages relate and how the Closing a Project process is part of the last stage.
- The Timeline diagram has also shown:
  - How the project can be divided up: *Pre-Project, Initiation, Delivery*, and finally, *Closing*
  - Which processes happen once or more than once in a project,




## The 7 Principles




- **Definition:**
  - Principles provide a framework of good project practice for those involved in a project.




## The 7 Principles




- Continued business justification
- Learn from experience
- Define roles and responsibilities
- Manage by stages
- Manage by exception
- Focus on products
- Tailor to suit the project environment



## Continued Business Justification




- The project will cost €20,000 but over the first 2 years, it will deliver a savings of €80,000 for the company.
  - *“Does the project have business justification?”*
  - or
  - *“Does the project have a valid Business Case?”*
- If at any time during the project, the expected Return on Investment falls (for example, by about 80%), then the project will most likely be stopped.




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## Learn from Experiences




- PRINCE 2 projects should learn from previous projects
  - Lessons learned report
    - Any lessons learned during the project must be documented
    - Learning is the responsibility of everyone involved with the project




## Defined Roles and Responsibilities




- Define 3 primary stake holders
  - Business Sponsor
  - User
  - Supplier
- A PRINCE 2 Project assumes a customer / supplier environment




## Manage by Stages




- Break it in to chunks
  - Giving the opportunity for the management to exercise control
- Defining the number and length of the stages
  - Project Risk and Management control required
  - Size of the project
- More stages – more work and more control of project board



## Manage by Exception




- Set up the tolerance levels for TCQSBR
  - If the tolerance level is reached and exception plan is recommended
- Examples:
  - Quality: the key board of a new GSM phone to last for at least 7 years
  - Scope: mandatory vs nice to have requirements
  - Benefits: increase market share by 5%
  - Risk: One of the suppliers gone bankrupt






## Focus on Products




- Product description to be written as soon as clear as possible
- Clear idea on what to expect
  - Product Breakdown Structure
  - Product Flow Diagram
  - Detailed Product Descriptions

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## Tailoring



- Based on the size, environment, complexity, importance, capability and risk
- Company QMS vs Prince 2
- The PID (Project Initiation Documentation) should describe how the PRINCE 2 method is tailored for the particular project



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## The 7 Principles Summary



- Continued business justification
- Learn from experience
- Define roles and responsibilities
- Manage by stages
- Manage by exception
- Focus on products
- Tailor to suit the project environment



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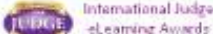
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**Themes**

- Business Case
- Organization
- Quality
- Plans
- Risk
- Change
- Progress

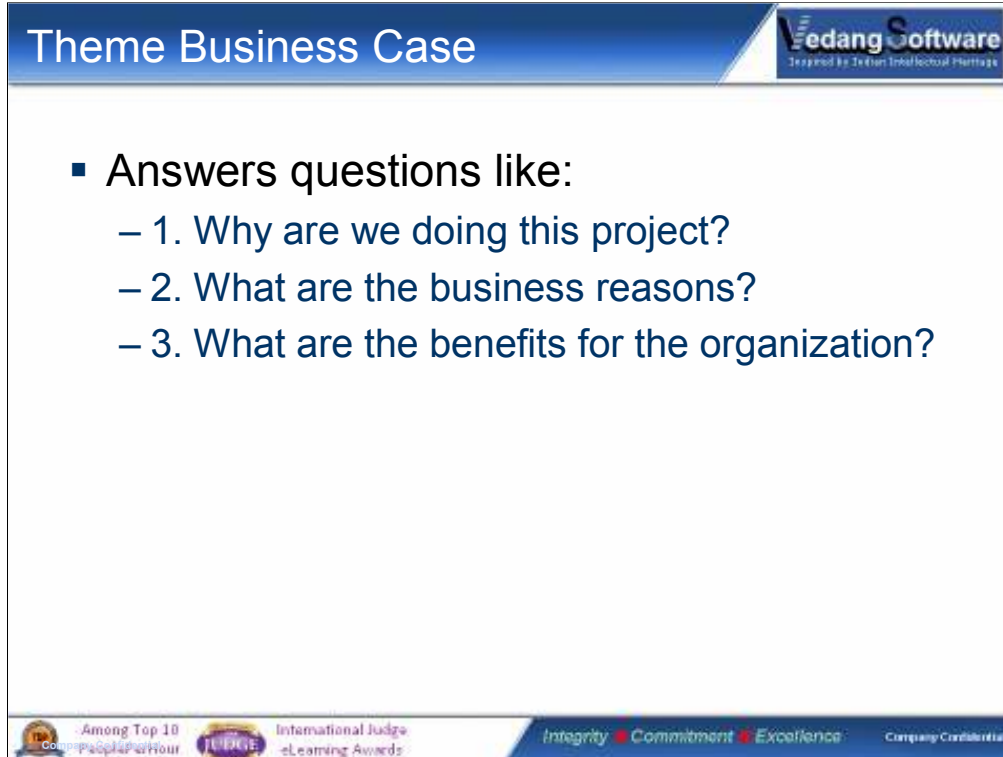
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The slide features a blue header with the title "Theme Business Case" and the Vedang Software logo, which includes the tagline "Empowered by Expert Intellectual Property". The main content area contains a bulleted list of questions. The footer includes several award logos and the company's core values: "Integrity", "Commitment", and "Excellence", along with the phrase "Always Confidential".

- Answers questions like:
  - 1. Why are we doing this project?
  - 2. What are the business reasons?
  - 3. What are the benefits for the organization?

The Business Case Theme also describes how to define the Business Case. It will be possible to see if there is a valid Business Case at the start of the project and how to check if the Business Case still has value throughout the project. The Executive is responsible for creating the Business Case, but it can be written by others or with help from others. For example, the Executive might involve a person from the financial department to assist with all financial information.

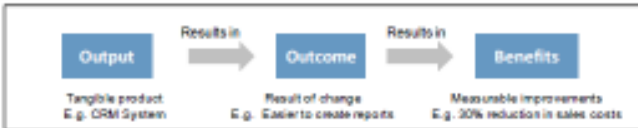
The project mandate document usually contains some Business Case information. This is expanded into the outline Business Case at the start of the project and will become part of the Project Brief. It is further expanded to a separate Business Case document, which becomes part of the PID.

Theme Business Case




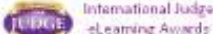
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- Key Concepts
  - What is a it?
  - *Output, Outcome and Benefits?*
  - The path to creating a Business Case.
  - Points where the Business Case can be verified.
  - The approach to confirming the benefits and how the Business Review Plan is used during and after the project.
  - The typical contents of the Business Case and
  - Roles and Responsibilities.




```

graph LR
    Output[Output  
Tangible product  
E.g. CRM System] -- Results in --> Outcome[Outcome  
Result of change  
E.g. Easier to create reports]
    Outcome -- Results in --> Benefits[Benefits  
Measurable improvements  
E.g. 30% reduction in sales costs]
  
```



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Business Case: Justification for the continued business

Output: What is the product that will be delivered by the project?

Outcome: What can the users do better with this product?

Benefits: List the measurable improvements of using this product.

Path to creating a business case: Develop, Verify, Maintain and Confirm the benefits

Project Board verification points


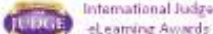

- **Verification Point 1:** At the end of the “Starting Up a Project” (Pre-Project) process.
- **Verification Point 2:** At the end of the Initiation Stage
- **Verification Point 3:** At the start of each new delivery stage.

Benefits Review Plan purpose is to identify the benefits and most importantly, to select how the benefits can be measured. In other words, the Benefits Review Plan is used to **plan** the assessment of benefits.

Typical Contents

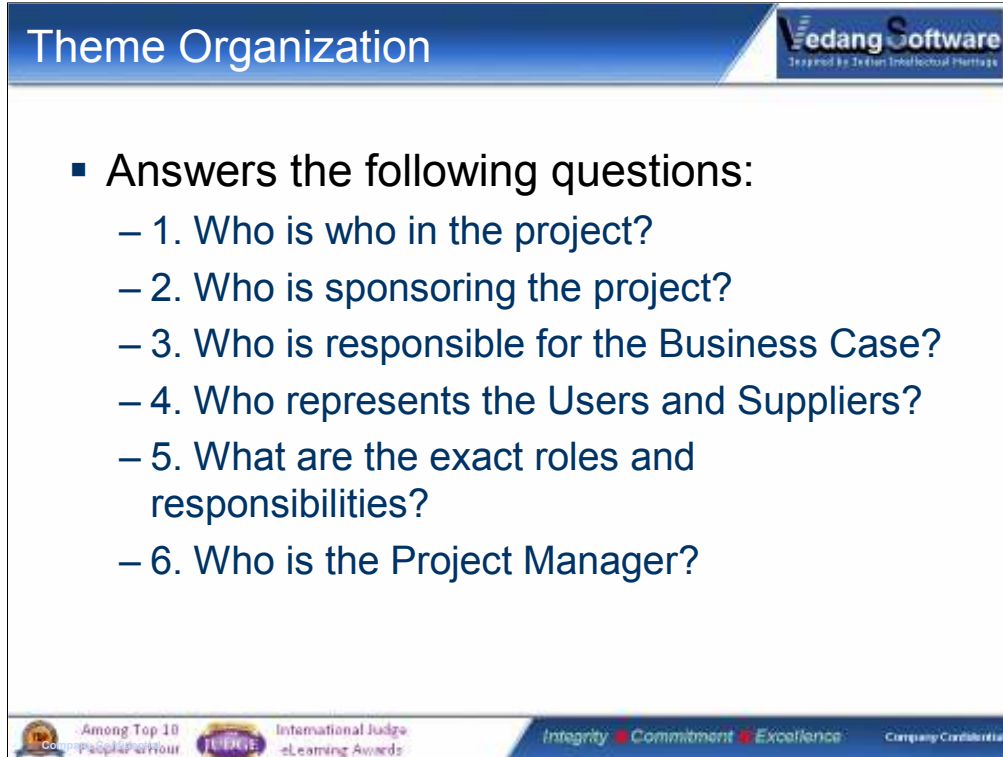
Business Options, Expected Benefits, Expected Dis-Benefits, Timescales, Costs, Investment Appraisal, Major Risks

Theme Business Case: R & R	
Role	Responsibilities
Corp / Programme Management	<ul style="list-style-type: none"> <li>Provide project mandate which will contain reasons and perhaps most of the information required by the Business Case</li> <li>They wish to know if the expected benefits are realized</li> </ul>
Project Board	<ul style="list-style-type: none"> <li>Verifying the Business Case (e.g., at each decision point)</li> </ul>
Executive	<ul style="list-style-type: none"> <li>Responsible for the business case and securing funding for the project</li> <li>Responsible for the Benefits Review Plan during the project</li> <li>Making sure the project is value for money</li> <li>Responsible to other stakeholders that the project remains viable</li> </ul>
Senior User	<ul style="list-style-type: none"> <li>Specify the benefits</li> <li>Ensuring the benefits will be realized</li> </ul>
Project Manager	<ul style="list-style-type: none"> <li>Prepares the Business Case in the IP stage</li> <li>Updates the Business Case during the project (Maintenance)</li> <li>Examines the effect of issues and risks on the Business Case</li> <li>Keep the Benefit Review Plan up to date</li> </ul>
Project Assurance	<ul style="list-style-type: none"> <li>Assist in the development of the Business Case</li> <li>Helps to ensure the Business Case contains correct information</li> </ul>

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**Theme Organization**

**Answers the following questions:**

- 1. Who is who in the project?
- 2. Who is sponsoring the project?
- 3. Who is responsible for the Business Case?
- 4. Who represents the Users and Suppliers?
- 5. What are the exact roles and responsibilities?
- 6. Who is the Project Manager?

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A good way to remember this is with the following question: *What are the rules of engagement?*

The Organization Theme provides information on the Project Management Team, and its structure and accountability.

A PRINCE2 project is based on a customer/supplier environment. One party is the customer, who will specify the result and most likely pay for the project. The other party is the supplier, who will provide the resources, do the work and deliver the results.

PRINCE2 states that a successful Project [Management] Team should:

- Have Business, User and Supplier representation.
- Have defined responsibilities for directing, managing, and delivering the project.
- Have an effective strategy to manage communication flows to and from stakeholders

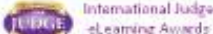


## Theme Organization



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<ul style="list-style-type: none"> <li>■ Key Concepts           <ul style="list-style-type: none"> <li>– Some Definitions.</li> <li>– 3 primary stakeholders</li> <li>– 4 levels in a project</li> <li>– 3 levels in a Project Team.</li> <li>– Duties and roles of the Project Board.</li> <li>– Change Authority Role</li> </ul> </li> </ul>	<table style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 10%; text-align: center;">Level 1</td> <td style="width: 40%; text-align: center; border: 1px solid black;">Corporate or programme management</td> <td style="width: 50%;"></td> </tr> <tr> <td style="text-align: center;">Level 2</td> <td style="text-align: center; background-color: #cccccc;">Direction Level</td> <td style="text-align: center;">Project Board <small>(they make decisions)</small></td> </tr> <tr> <td style="text-align: center;">Level 3</td> <td style="text-align: center; background-color: #90ee90;">Management Level</td> <td style="text-align: center;">Project Manager <small>(day to day runs the project)</small></td> </tr> <tr> <td style="text-align: center;">Level 4</td> <td style="text-align: center; background-color: #ff0000;">Delivery Level</td> <td style="text-align: center;">Team Manager <small>(creates the products)</small></td> </tr> </table>	Level 1	Corporate or programme management		Level 2	Direction Level	Project Board <small>(they make decisions)</small>	Level 3	Management Level	Project Manager <small>(day to day runs the project)</small>	Level 4	Delivery Level	Team Manager <small>(creates the products)</small>
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Some Organization Definitions: Project, Programme, Corporate Organization, Stakeholder, Roles and Jobs Definitions

3 Primary Stakeholders: Business, User, Supplier


The Project Board consists of the Executive, the Senior User and the Senior Supplier. Only one person can be the Executive while both the Senior User's and Senior Supplier's roles may be assigned to one or more persons. The Executive owns the Business Case and has the final word on decisions that are taken, so the Project Board is not a democracy.

The Project Board has the following duties:



1. To be accountable for the success or failure of the project.
2. To provide unified direction to the project and Project Manager.
3. To provide the resources and authorize the funds for the project.
4. To provide visible and sustained support for the Project Manager.
5. To ensure effective communication within the project team and with external stakeholders.

Project Board Roles: Senior User (User assurance), Executive (Business Assurance), Senior Supplier (Supplier Assurance)

**The Change Authority Role:** Change Authority is a person or group to which the Project Board may delegate responsibility for the consideration of requests for change or off-specifications. The Change Authority may be given a **change budget** and can approve changes within that budget.

Theme Organization - Continued


- Project Manager Role
- Other project roles
  - *Team Manager & Project Support.*
- The Communication Strategy document,


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### The Project Manager Role

The Project Manager manages a project on a day-to-day basis and is the only one with this day-to-day focus on the project and this role can never be shared. The Project Manager runs the project on behalf of the Project Board within specified constraints and liaises throughout the project with the Project Board and Project Assurance. The Project Manager usually (preferred by PRINCE2) comes from the customer.

**Team Manager Role** The role of the Team Manager is **optional**. The Team Manager has the responsibility to produce the products that were assigned in Work Packages (a group of Product Descriptions, etc.) by the Project Manager, and to provide regular status reports to the Project Manager.

**Project Support** The responsibility of Project Support is with the Project Manager. This role is not optional, so it needs to be assigned to a person or persons. Bigger Organizations might have a Project Office (also referred to as a *Project Support Office*) that provides these services for a number of projects.

**Communication Strategy Document** a document that defines in detail how communication will be done during the project (e.g., what is being communicated, to whom is it being communicated, and how often). The Project Manager will refer to this document during the project.

Theme Organization: R & R	
<b>Role</b>	<b>Responsibilities</b>
Corp / Programme Management	<ul style="list-style-type: none"> <li>Appoint the Executive and perhaps the Project Manager in SU process</li> <li>Can provide Communication Management Strategy template</li> </ul>
Executive	<ul style="list-style-type: none"> <li>Can appoint Project Manager if not done by Corp / Programme Mgmt</li> <li>Chooses Project Board and confirms Project Management Team</li> <li>Approves Communication Management Strategy document</li> </ul>
Senior User	<ul style="list-style-type: none"> <li>Provides user resources</li> </ul>
Senior Supplier	<ul style="list-style-type: none"> <li>Provides supplier resources</li> </ul>
Project Manager	<ul style="list-style-type: none"> <li>Prepares Communication Management Strategy document in IP process</li> <li>Prepares Role Descriptions for project management team in SU process</li> <li>Assists in the development of the Business Case</li> <li>Helps to ensure the Business Case contains correct information</li> </ul>
Team Manager	<ul style="list-style-type: none"> <li>Manages team members</li> </ul>
Project Assurance	<ul style="list-style-type: none"> <li>Advises on the selection of the project management team</li> <li>Ensures the Communication Management Strategy is appropriate</li> </ul>



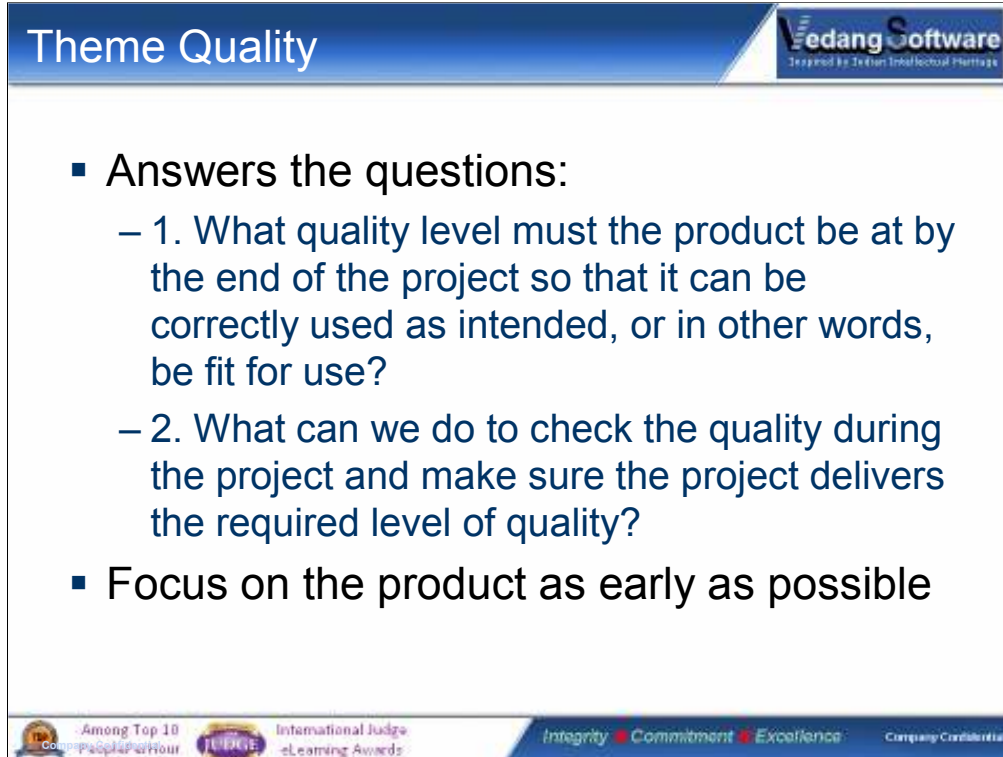
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**Theme Quality**

**Answers the questions:**

- 1. What quality level must the product be at by the end of the project so that it can be correctly used as intended, or in other words, be fit for use?
- 2. What can we do to check the quality during the project and make sure the project delivers the required level of quality?

**Focus on the product as early as possible**

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This theme helps to uncover the quality requirements. The PRINCE2 approach to quality is to focus on products as early as possible, question the level of quality expected of each product produced in the project, and then document this in the Product Descriptions.

The Quality Management Strategy document is used to define how quality will work in the project, such as standards to be applied and the various responsibilities for achieving the required quality levels during the project.



**Theme Quality**

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- **Key Concepts**
  - Quality
  - Scope
  - Quality Management
  - Quality Management System
  - Quality Planning
  - Quality Control
  - Quality Assurance

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## Quality

Quality is generally defined as **the total amount of features or characteristics of a product**,

## Scope

Scope is related to the scope of the plan, which is the sum of its products. It is defined using the product breakdown structure and the Product Descriptions. It can be clearly seen that *Scope* (of the project's main product) and *Quality* are tied together.

## Quality Management

Quality Management is defined as the **activities** to direct and control an organization with regard to quality

## Quality Management Systems (QMS)

A Quality Management System is the complete set of quality standards, procedures and responsibilities for a site or organization

## Quality Planning

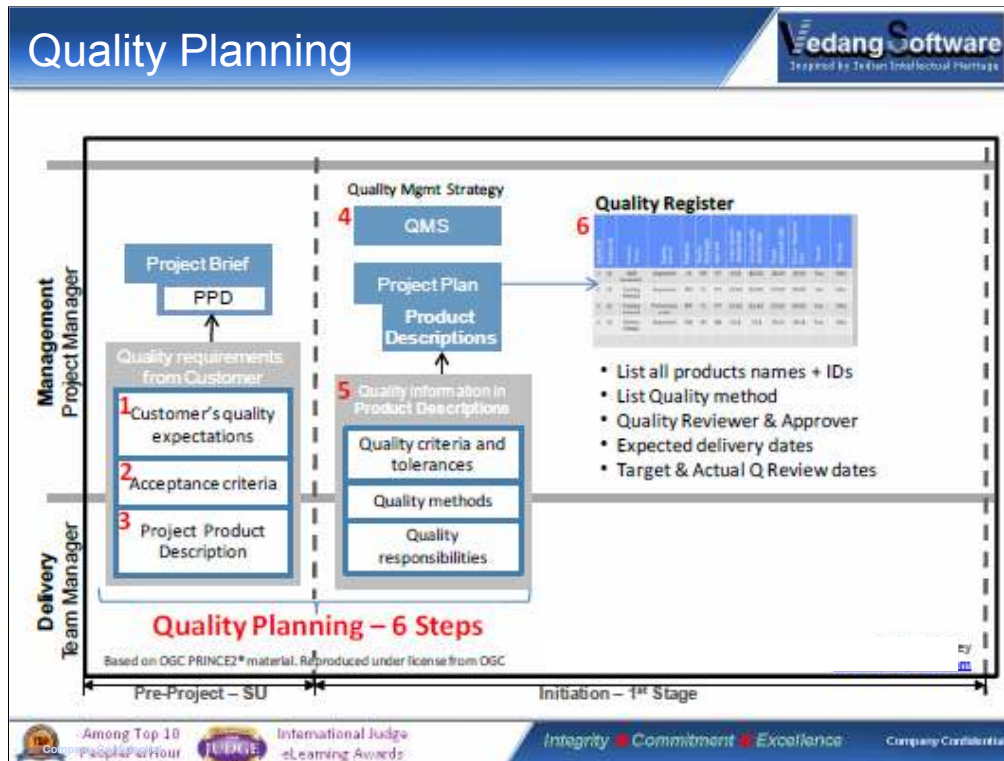
To control Quality, there must be a plan

## Quality Control

Quality Control focuses on the techniques and activities to inspect and test products

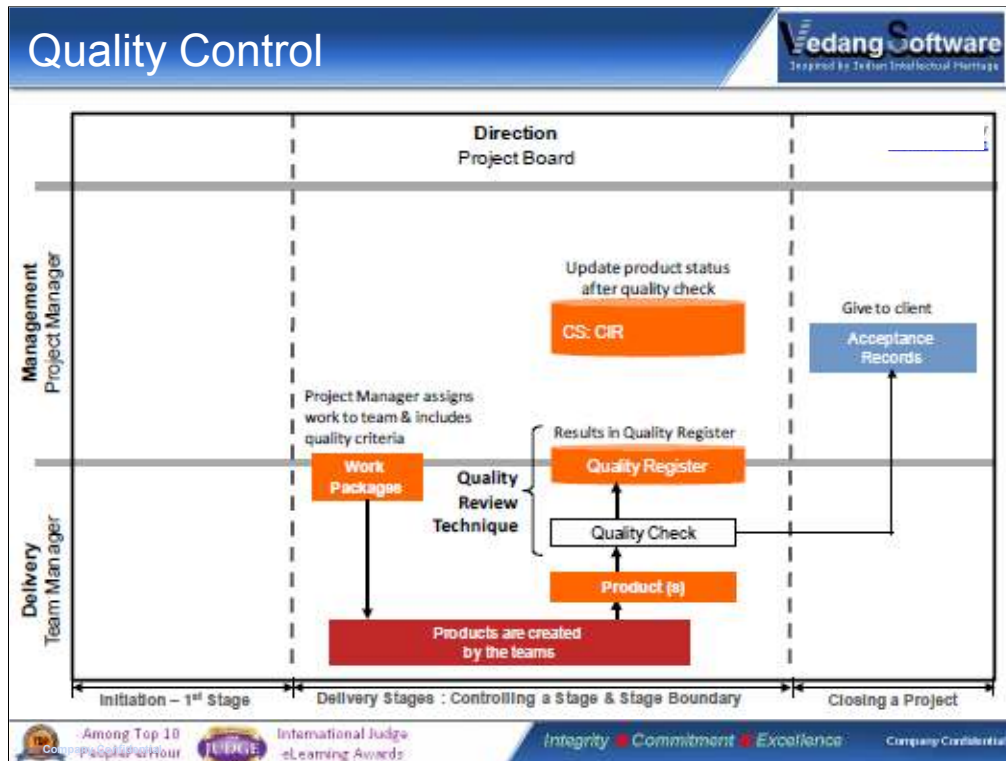
## Quality Assurance

This is like Project Assurance but the focus is on Quality in the *organization* and not just quality related to the *project*.



The purpose of Quality Planning is to:


1. Agree on the overall Quality Expectations with the Project Board:
  - o Document the Quality criteria (e.g., type of insulation, quality of materials used in the building, type of lighting fixtures....).
  - o Document how the Quality Criteria will be checked (e.g., using independent building inspectors, own staff measurements, etc).
2. Communicate these agreements with all stakeholders:
  - o All stakeholders must have a common understanding of what the project will produce.
3. Establish how Quality can be controlled during the project:
  - o Set baselines and tolerances for each product (e.g., wall insulation should be grade 5 with +- 10% tolerance; kitchen fittings should last 18 years +- 5% tolerance, etc.)



Quality Control is carrying out the activities to control Quality as defined in the Quality Management Strategy. There are three parts to Quality Control:

1. Carrying out the Quality methods: e.g., Quality Review Techniques
2. Maintaining Quality and Approval records
3. Gaining acceptance and pass Acceptance Record to the customer

Quality Review Technique

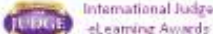


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- A Quality Inspection technique with defined roles and a specific structure to follow
  - **Chair:** chairing the review meeting.
  - **Presenter:** presents the products and represents the producers of the product.
  - **Reviewer:** reviews the products, submits questions and confirms corrections or improvements.
  - **Administrator:** provides admin support for the chairperson (e.g., taking minutes and recording results and next actions).



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The PRINCE2 Quality Review technique is a Quality Inspection technique. It has defined roles and a specific structure to follow. The purpose is to inspect products to see that they meet the customer's Quality standards and meet the Quality criteria listed in the Product Description.

The Quality Review technique has four specific roles. The roles are:

- *Chairperson, Presenter, Reviewer and Administrator*
- **Chair:** This role is responsible for chairing the review meeting.
- **Presenter:** This role presents the products and represents the producers of the product.
- **Reviewer:** This role reviews the products, submits questions and confirms corrections or improvements.
- **Administrator:** This person provides admin support for the chairperson (e.g., taking minutes and recording results and next actions).

Objectives of the Quality Review Technique

- To assess the products against their agreed criteria
- To involve key stakeholders and help to promote quality and the project
- To provide confirmation that the product is complete (get agreement)
- To baseline (sign off) the product so no more changes can be made.



Theme Quality: R & R	
Role	Responsibilities
Corp / Programme Management	<ul style="list-style-type: none"> <li>• Provide details of the Corp or Programme Quality Management System.</li> <li>• Provide Quality Assurance to the project.</li> </ul>
Executive	<ul style="list-style-type: none"> <li>• Approve the Project Product Description</li> <li>• Approve the Quality Management Strategy</li> </ul>
Senior User	<ul style="list-style-type: none"> <li>• Provides Quality Expectations and Acceptance Criteria for Project Product.</li> <li>• Approve the Project Product Description</li> <li>• Provide acceptance of the Project Product (end of project)</li> </ul>
Senior Supplier	<ul style="list-style-type: none"> <li>• Provide resources to undertake supplier Quality activities.</li> </ul>
Project Manager	<ul style="list-style-type: none"> <li>• Document the customer's Quality Expectations and Acceptance Criteria</li> <li>• Prepare the Project Product Description with other persons</li> <li>• Prepare the Product Descriptions with other persons</li> <li>• Prepare the Quality Management Strategy document</li> </ul>
Team Manager	<ul style="list-style-type: none"> <li>• Produce products consistent with Product Descriptions.</li> <li>• Advise the Project Manager of the product Quality status.</li> </ul>
Project Assurance	<ul style="list-style-type: none"> <li>• Give QMS advice to Project Manager</li> <li>• Assure the Project Board on the implementation of the QMS</li> </ul>
Project Support	<ul style="list-style-type: none"> <li>• Provide administrator support for Quality Control.</li> <li>• Maintain Quality Register and the Quality Records.</li> </ul>



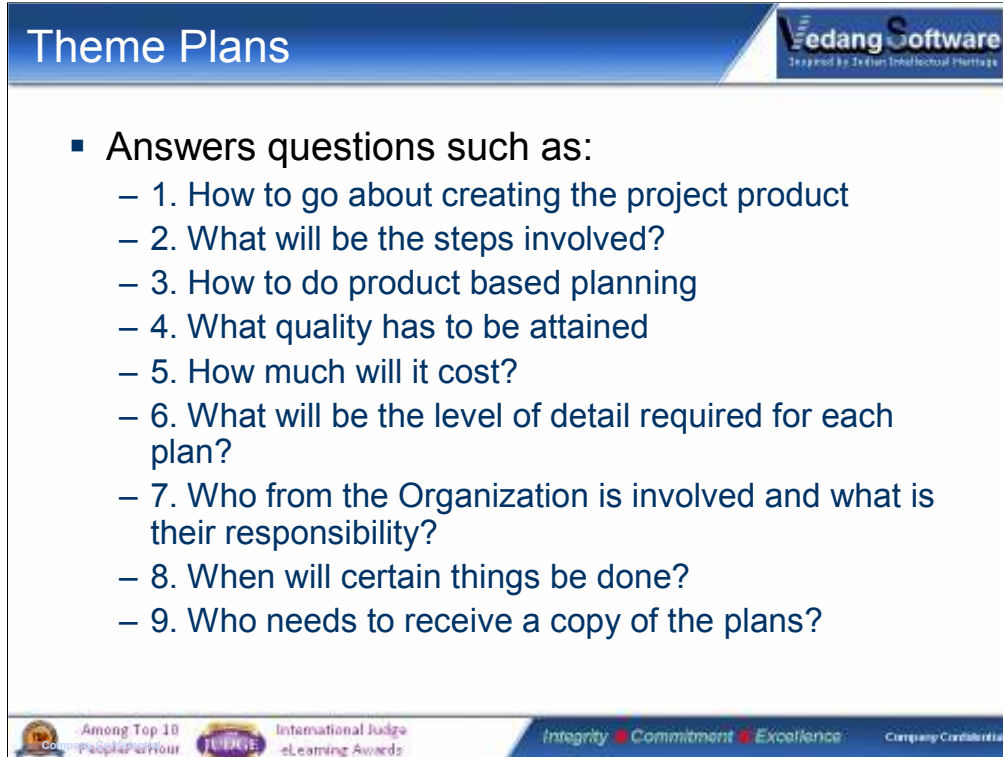
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The slide features a blue header with the title "Theme Plans" and the Vedang Software logo in the top right corner. The logo includes the text "Vedang Software" and "Trusted by Indian Intellectual Property". The main content area is white and contains a bulleted list of questions. At the bottom of the slide, there is a footer with several award logos and the company's motto: "Integrity • Commitment • Excellence" and "Company Confidential".

## Theme Plans

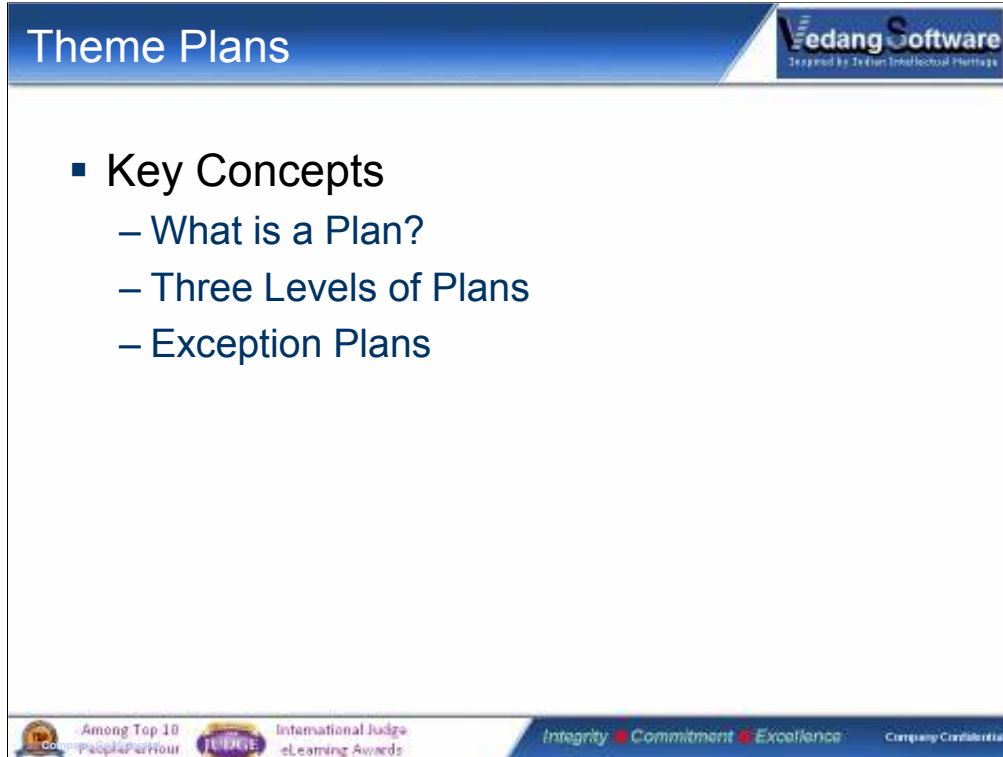
- Answers questions such as:
  - 1. How to go about creating the project product
  - 2. What will be the steps involved?
  - 3. How to do product based planning
  - 4. What quality has to be attained
  - 5. How much will it cost?
  - 6. What will be the level of detail required for each plan?
  - 7. Who from the Organization is involved and what is their responsibility?
  - 8. When will certain things be done?
  - 9. Who needs to receive a copy of the plans?

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A PRINCE2 plan is not just a Gantt chart; it is a lot more comprehensive than that. It is a document that describes how, when and by whom a specific target or set of targets is to be achieved. These targets will include the project's products, timescales, costs, quality and benefits. There is a lot of text in a plan to help explain what will happen.

The Project Plan is updated at the end of each stage to show what has been done, the products developed so far, and the plan for the next stage. The project plan gives an updated picture of the status of the project that can be compared against the baselined Project Plan to see how well the project is going when compared to the original plan.

You will learn about the different levels of plan: (a) the Project Plan, which is a high-level plan and is mostly used by the Project Board; (b) the Stage Plan, which acts as a day-to-day plan for the Project Manager; and (c) the Team Plan, which is used by the Team Manager.



The slide is titled "Theme Plans" and features the Vedang Software logo in the top right corner. The logo includes the text "Vedang Software" and "Trusted by 25,000+ Intellectuals Worldwide". The main content is a bulleted list under the heading "Key Concepts". The list items are: "What is a Plan?", "Three Levels of Plans", and "Exception Plans". The slide footer contains several award logos and the text "Integrity Commitment Excellence" and "Company Confidential".

## Theme Plans

- Key Concepts
  - What is a Plan?
  - Three Levels of Plans
  - Exception Plans

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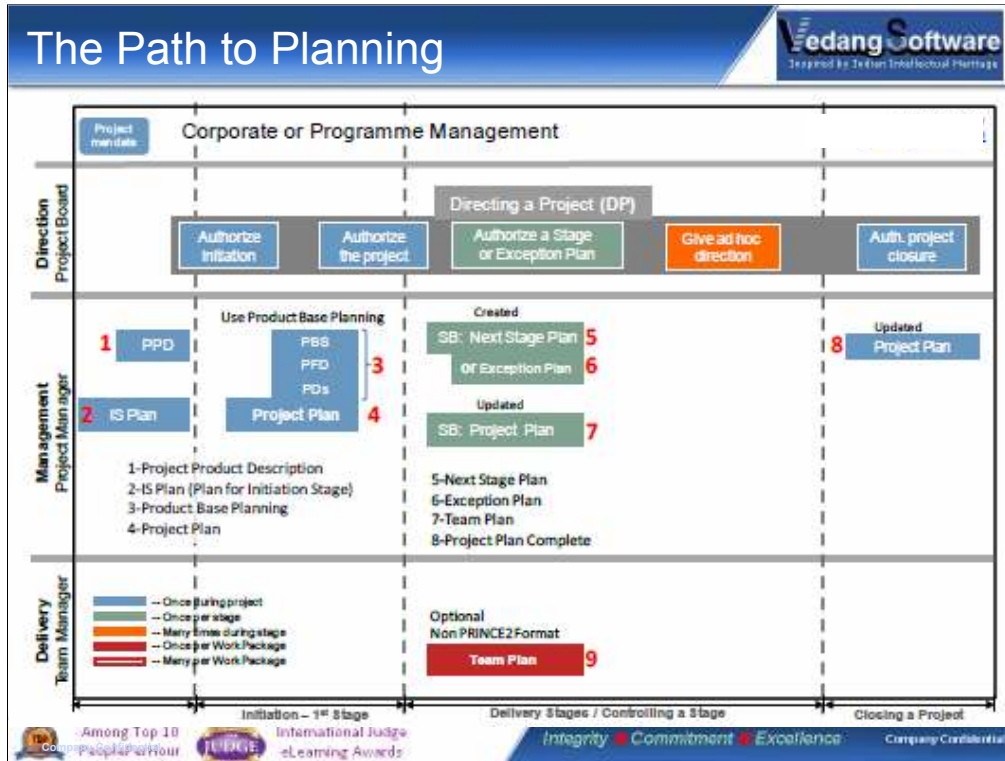
### What is a plan?

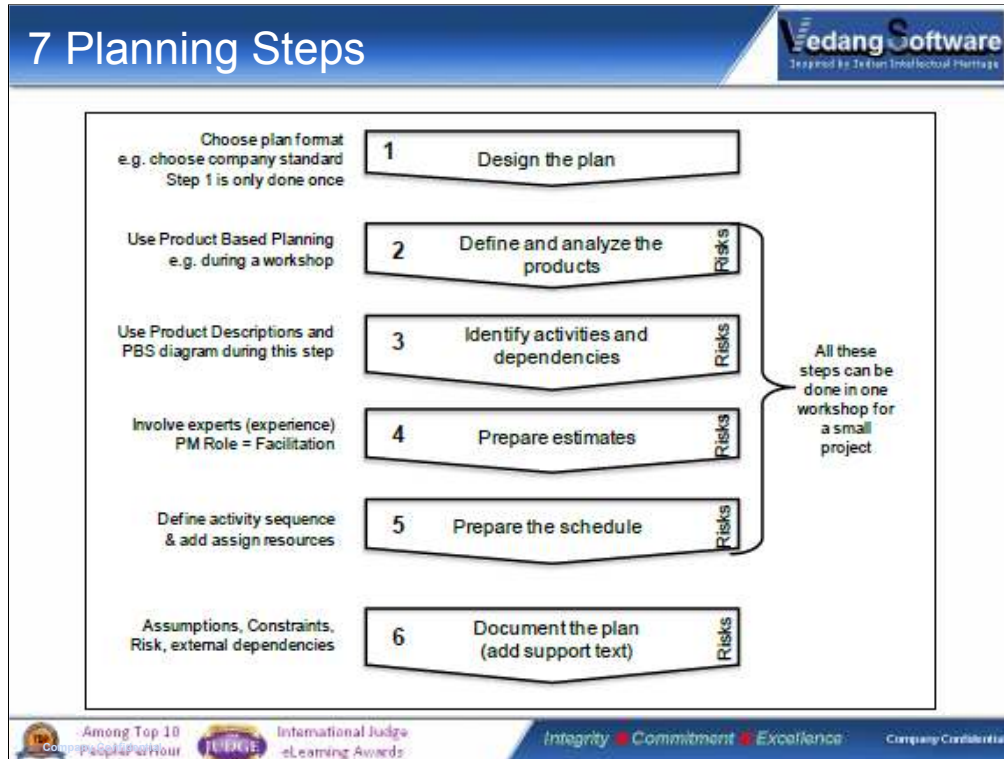
It is a document that describes how, when and by whom a specific target or set of targets is to be achieved. The target is not just to create the Project Product, but there will also be targets for time, cost, quality, scope, risk, benefits and, of course, products. A plan must therefore contain sufficient information to show that these targets are achievable.

### Three Levels of Plans also called Planning Horizon

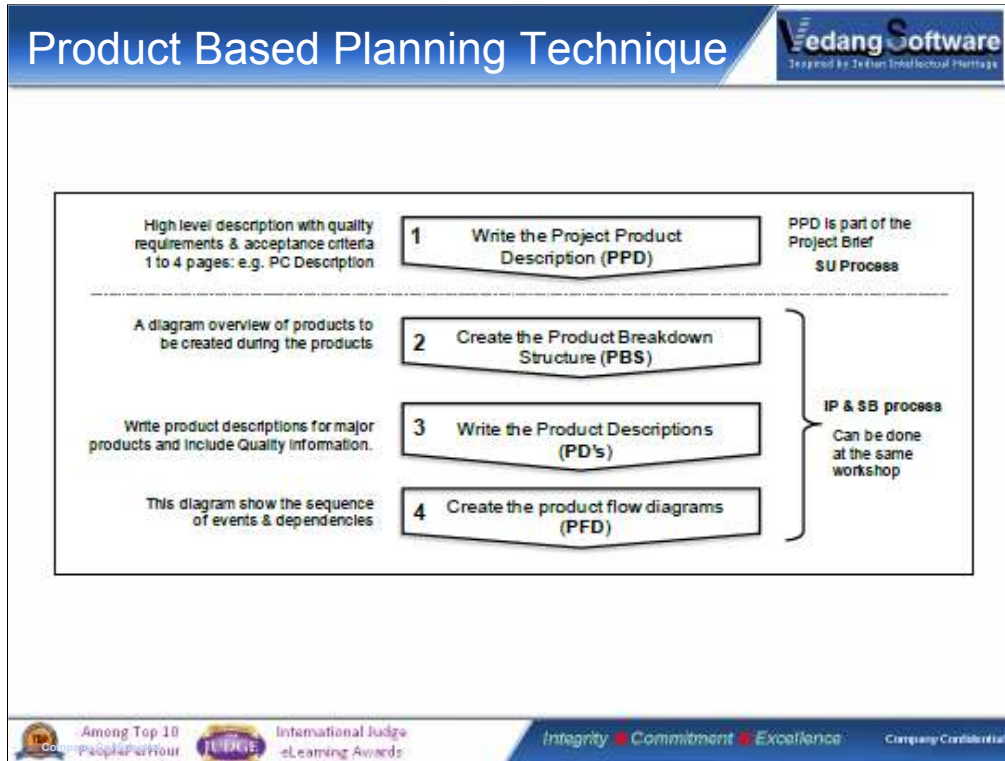
- The Project Plan is used at the Direction Level and therefore is used by the Project Board. It is created during the Initiating a Project process and is a high-level plan for the whole project. It will show the major products of the project, when they will be delivered and the associated cost. It is a major control document for the Project Board. The Project Plan is kept up to date by the Project Manager during the project.
- The Stage Plan is used at the Management Level. It is created for each stage (e.g., for a period of 2 months), and is used by the Project Manager on a day-to-day basis. It is much more detailed than the Project Plan and just focuses on one stage.
- Team Plans are used at the Delivering Level. They are created and used by the Team Manager in the Managing Product Delivery process. The focus is to plan the work that is assigned to the Team Manager in Work Packages

### The Exception Plan – Out of Tolerance





- 1) Design the Plan:** -- Should be called “*Choose style and format of plan*”
- 2) Define and analyze products:** -- Project-Based Planning is used to do this.
- 3) Identify activities and dependencies:** -- Activities to create the products.
- 4) Prepare estimates:** -- Estimate time and resources.
- 5) Prepare the schedule:** -- Put activities into a schedule and show sequence.
- 6) Document the plan:** -- Add narrative to explain plan using assumptions, lessons used, prerequisites, plan introduction, monitoring, control, budgets, and tolerances
- 7) Analyze the risks:** -- For each of the above steps, new information on new and existing risks will be uncovered and need to be followed up.



Theme Plans: R & R	
Role	Responsibilities
Corp / Programme Management	<ul style="list-style-type: none"> <li>Set Project Tolerances (listed in the project mandate)</li> <li>Approve Project Exception Plans</li> </ul>
Executive	<ul style="list-style-type: none"> <li>Approve Project Plan and can approve Stage-Level Exceptions Plans</li> <li>Define tolerances for each stage</li> </ul>
Senior User	<ul style="list-style-type: none"> <li>Provide resources to assist with Product-Based Planning</li> </ul>
Senior Supplier	<ul style="list-style-type: none"> <li>Provide resources to assist with Product-Based Planning &amp; Planning</li> </ul>
Project Manager	<ul style="list-style-type: none"> <li>Facilitate complete Product-Based Planning process</li> <li>Write Product Descriptions (share responsibility with Team Manager)</li> <li>Create Project and Stage Plans plus Exception Plans if necessary</li> <li>Use Corrective action if Work Package tolerances are exceeded</li> <li>Update Project Plan (SB process) to show actuals to date.</li> </ul>
Team Manager	<ul style="list-style-type: none"> <li>Assist Project Manager with Planning</li> <li>Prepare Team Plans and schedules for the each Work Package</li> <li>Share responsibility for writing Product Descriptions and PFD</li> </ul>
Project Assurance	<ul style="list-style-type: none"> <li>Give Planning advice to Project Manager</li> <li>Assure the Project Board on the implementation of the QMS</li> </ul>
Project Support	<ul style="list-style-type: none"> <li>Assist with compilation of Project Plans and Stage Plans</li> </ul>



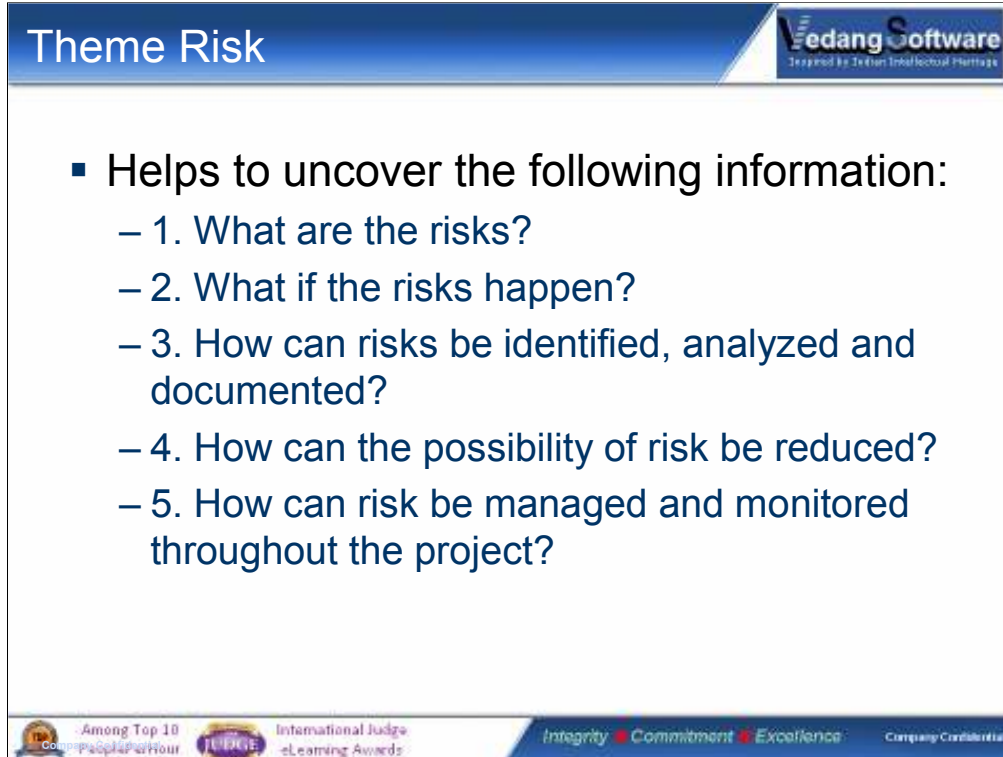
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## Theme Risk

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- Helps to uncover the following information:
  - 1. What are the risks?
  - 2. What if the risks happen?
  - 3. How can risks be identified, analyzed and documented?
  - 4. How can the possibility of risk be reduced?
  - 5. How can risk be managed and monitored throughout the project?

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Risk is an uncertain event or set of events that if they should occur, would have a positive or negative effect on the project. The word *Threat* is used to describe a risk that would have a negative impact on the project's objectives. The word *Opportunity* is used to describe a risk that would have a favorable impact on the project's objectives.

See Risk as having an impact on the project's objective rather than on the project itself. In other words, a risk can impact what the project wishes to achieve. Risk Management refers to the procedure to follow to identify and assess risk. Moreover, it refers to planning and how to respond to these risks. The Risk Management Strategy document describes the specific Risk Management techniques



Theme Risk



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- **Key Concepts**
  - Risk Budget
  - Risk Appetite
  - Risk Tolerances
  - Procedures for escalation
  - Typical Roles & Responsibilities
  - Risk Management Strategy document.



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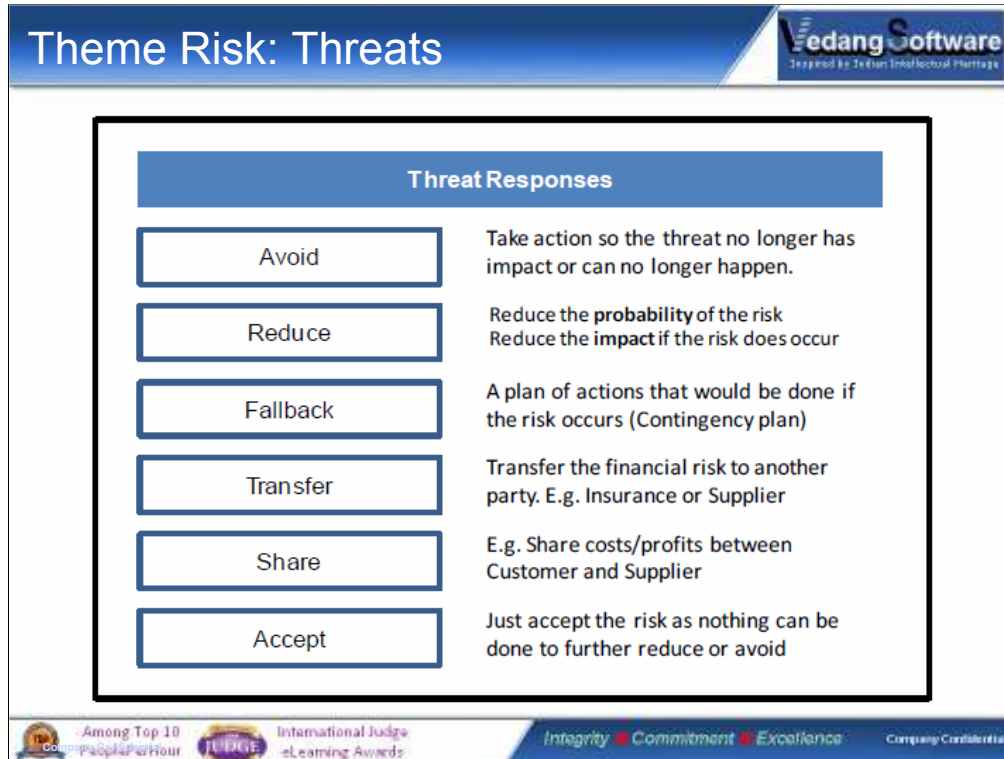
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1. Risk Identifier: This is just a unique number (ex: 042)
  2. Risk Author: Person who raised the Risk
  3. Date Registered: Date the Risk was registered
  4. Risk Category: A project can have its own categories. One of these will be selected, such as quality, network, legal and supplier.
  5. Risk Description: This is written in a specific way (e.g., *cause, event and effect*)
  6. Probability Impact: Choose value from an agreed scale (*very low, low, normal, etc.*).
  7. Proximity: How soon (when) the risk is likely to happen.
  8. Risk Response Category:
    - If a Threat, decide to avoid, reduce, fall back, transfer, accept or share.
    - If an Opportunity, decide to enhance, exploit, reject or share.
  9. Risk Response: List of actions to resolve the Risk.
  10. Risk Status: Current status of the Risk: *Active* or *Closed*.
  11. Risk Owner: Mention one person who is responsible for managing the Risk.
  12. Risk Actionee: Person who will carry out the actions described in the response
- (Note:** Can also be same person as the Risk owner).

A Risk Budget is a sum of money that is put aside just to deal with specific responses to threats or opportunities. It **cannot** be used for anything else



1) Response: **Avoid** : Take action so the threat no longer has impact or can no longer happen.

**Example:** You are organizing an outdoor concert for 600 people in April in the UK. One of the risks is that it may rain, so you decide to move the concert indoors thus avoiding the risk. This response has removed the threat. Now, if it rains, it would have no impact on the concert. Another example of *avoid* is to cancel the concert.

2) Response: **Reduce** :a) Reduce the **probability** of the risk b) Reduce the **impact** if the risk does occur

**Example to Reduce Probability:**

The objective is to reduce the probability of the risk happening. Using the concert example with the threat from rain, we could move the concert to July where it's 3 less times less likely to rain. This is a clear example of reducing the probability, but the risk is still there.

**Example to Reduce Impact:**

The objective is to reduce the impact in case the risk occurs. Here, the organizers could order a load of sponsored plastic ponchos to be offered to the concert-goers when they arrive. If it does rain during the concert, the people would not get soaked from the rain and thus, you have reduced the impact of the rain.

3) Response: **Fallback** Fallback is also referred to as contingency. See fallback as a fallback plan of actions that would be done if the risk occurs and would become an issue. These actions would help to reduce the impact of the threat.

**Example:**

There is an important tennis game at Wimbledon in Centre Court which now has a roof that can be closed. The fallback plan is to close the roof once it starts to rain. This would not stop it from raining and it takes 5 minutes to close the roof of the tennis court, so the grass could still get a few drops of rain. This fallback reduces the impact of the rain and, yet, it allows the game to continue after the roof has been closed.

**Note:** The action of closing the roof is only done once the threat is real.

4) Response: **Transfer**: Here you can transfer the financial risk to another party. For example, using an insurance policy, you could recover the costs if the threat does happen.

**Example:**

Let's use the example of the concert again. One of the threats is that one of your top acts might not be able to play at the event due to illness or some other reason. Concert-goers might want to have their money back but you have spent a lot of money already just organizing the event. So you take out an insurance policy to cover any losses you could incur if this risk does happen.

5) Response: **Accept** Here, a decision is taken to accept the risk. It just may cost too much money to do something about it or it may not be possible to do anything about it. However, you do keep the status of this risk open and continue to monitor it.

**Example:**


There is a risk that another outdoor concert could be held around the same day as your concert and this might affect ticket sales. After some consideration, you decide to do nothing about it and continue as normal. Moving the concert to another time would just cost too much and some people have already bought tickets, so you just live with the risk.

6) Response: **Share** Share is both a response for threats and opportunities. Share is very common in customer/supplier projects where both parties share the gain if the costs are less than the planned costs, and share the loss if the costs are exceeded.

**Example:**

Using the concert example, suppose you want to provide VIP Car Parking, there is a certain fixed cost that you must pay and you agree with the supplier to share the profits if the revenue is above this fixed cost amount. You would also share the losses if it is below this amount.


Theme Risk: Opportunity




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Opportunity Responses

Exploit	If the risk does happen, you will take advantage of it and use it.
Enhance	You take actions to improve the likelihood of the event occurring
Share	E.g. Share costs/profits between Customer and Supplier
Reject	You decide not to take any action on this opportunity.



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1) Response: **Share** already covered “Share” when discussing the planning responses to threats. It’s where you share the profits and losses with another party.

2) Response: **Exploit** Exploit is where, if the risk does happen, you would take advantage of it and use it.

**Example:**

The Risk is that the weather may be very good and you can sell a lot of ice-cream. If this risk does happen, then you will exploit it.

3) Response: **Enhance** is where you take actions to improve the likelihood of the event occurring and you enhance the impact if the opportunity should occur. This is not the same as “Exploit,” but doing certain things will give a greater chance for the opportunity to happen.

**Example:**

The Risk is that the weather may be very good and you can sell a lot of ice cream. You take the following action to enhance this opportunity.

- o Contact ice-cream company and get them to supply ice-cream, stands, advertising, etc, at short notice if required

- o Contact an employment agency to supply salespersons at short notice if required.

**So what is the difference with Exploit?**

- o With Exploit, if the risk does happen, then you take advantage of it.

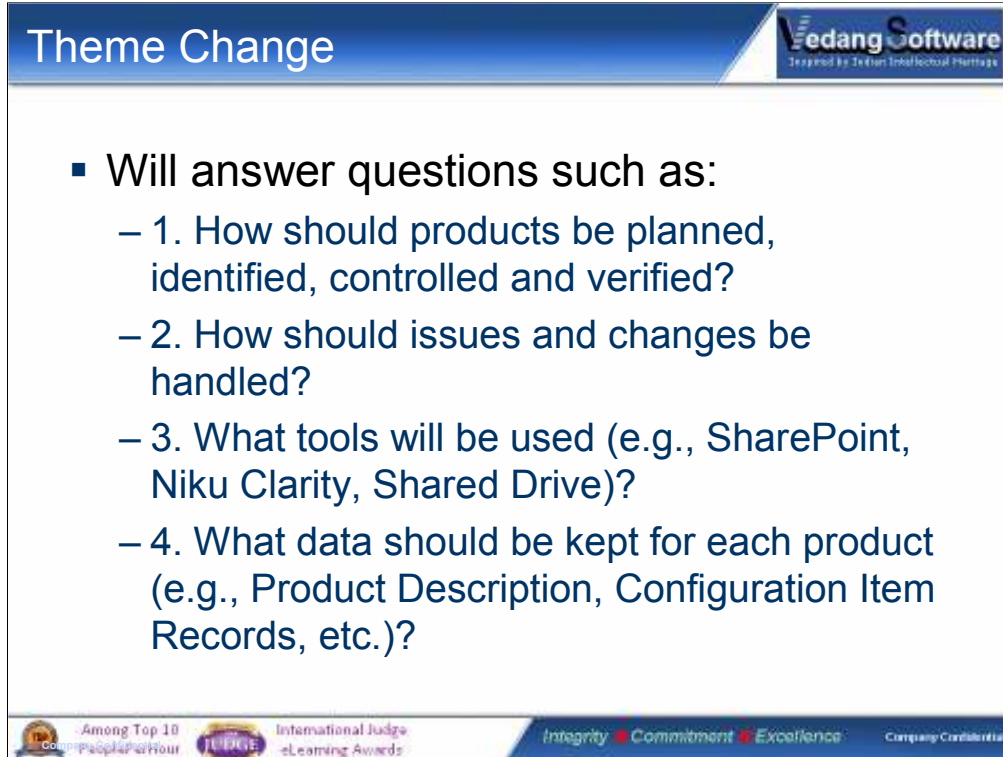
- o With Enhance, you try to increase the chances of making it happen or enhance the impact if the risk does occur.

4) Response: **Reject** This is where you identify an opportunity and decide not to take any action on this opportunity. There can be many reasons not to do this. For example, it could cause you to lose focus on your main objective, or the return on this opportunity could be low.

**Example:**

There is an opportunity to invite another equally known guest star free from the same label as your lead top act; however, you decide not to go ahead with this, as you cannot mention the artist’s name on the posters and advertising, so you would not sell any extra tickets. Also, it will cost you extra to provide facilities for this extra artist. So it sounded like a cool idea, but did not bring any extra value to the bottom line for the concert, only extra costs.

Theme Risk: R & R	
Role	Responsibilities
Corp / Programme Management	<ul style="list-style-type: none"> <li>Provide the Corporate Risk Management policy and information.</li> </ul>
Executive	<ul style="list-style-type: none"> <li>Accountable for all aspects of the Risk Management</li> <li>Ensure that a Risk Management Strategy exists</li> <li>Ensure Business Case Risks are followed up</li> </ul>
Senior User	<ul style="list-style-type: none"> <li>Ensure that Risks to the users are identified, assessed and controlled.</li> </ul>
Senior Supplier	<ul style="list-style-type: none"> <li>Ensure that risks to the supplier are identified, assessed and controlled.</li> </ul>
Project Manager	<ul style="list-style-type: none"> <li>Create the Risk Management Strategy document.</li> <li>Create and maintain the Risk Register &amp; Summary Risk Profile</li> <li>Ensure that risks are <b>continually</b> identified, assessed and controlled</li> </ul>
Team Manager	<ul style="list-style-type: none"> <li>Help with the identifying, assessing and controlling risk</li> </ul>
Project Assurance	<ul style="list-style-type: none"> <li>Review the Risk Management practices against the projects Risk Management Strategy</li> </ul>
Project Support	<ul style="list-style-type: none"> <li>Assist the Project Manager in maintaining the projects Risk Register</li> </ul>



**Theme Change**

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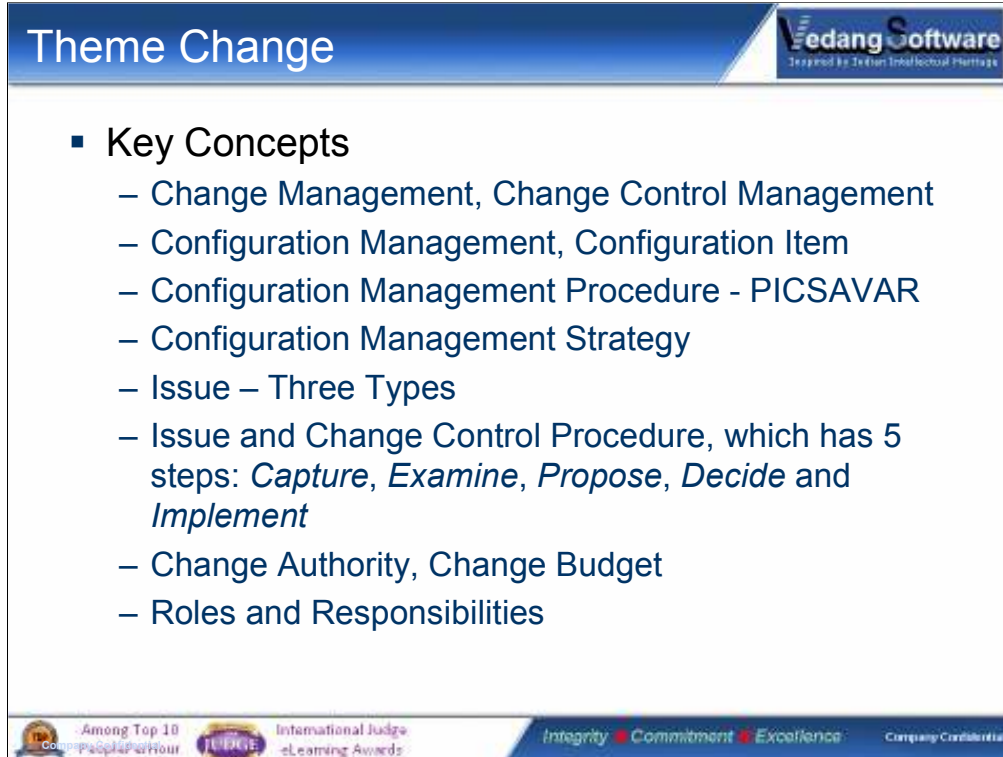
- Will answer questions such as:
  - 1. How should products be planned, identified, controlled and verified?
  - 2. How should issues and changes be handled?
  - 3. What tools will be used (e.g., SharePoint, Niku Clarity, Shared Drive)?
  - 4. What data should be kept for each product (e.g., Product Description, Configuration Item Records, etc.)?

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All projects will have issues and most projects will have requests for change, as in new requirements. This Change Theme deals with the question: *“What is the impact of this issue?”*

Therefore, this theme describes (1) how the project can assess these issues and requests, (2) how to act upon and (3) how to manage them. All of these issues and changes can have a direct impact on the original Project Plan. Any proposed change must be correctly dealt with. All projects need a good Issue and Change Management approach from identification, assessment and control of issues.

Issues and Change Control happen during the full lifecycle of the project. Remember, the objective is not to prevent changes but to get changes agreed upon and approved before they can take place. The Change Theme also covers Configuration Management. Each project requires a Configuration Management System, which tracks products, issues and changes. The Configuration Management Strategy document describes how issues and changes will be handled in the project.



## Theme Change

- Key Concepts
  - Change Management, Change Control Management
  - Configuration Management, Configuration Item
  - Configuration Management Procedure - PICSAVAR
  - Configuration Management Strategy
  - Issue – Three Types
  - Issue and Change Control Procedure, which has 5 steps: *Capture, Examine, Propose, Decide* and *Implement*
  - Change Authority, Change Budget
  - Roles and Responsibilities

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The purpose of the knowledge in the Change Theme is to help you identify, assess and control any potential changes to the products that have already been approved and baselined. The Change Theme is not just about handling change requests but is also about handling issues that arise during the project. In fact, it is better to say that the Change Theme provides a common approach to Issues and Change Control.

Change is inevitable in any project and all projects need a good approach to identify, assess and control issues that may result in change. This theme provides an approach to **Issue and Change Control**.

### When is Issue and Change Control done?

Issue and Change Control happens during the full lifecycle of the project. Remember, the objective is not to prevent changes but to get changes agreed and approved before they are executed. Each project requires a Configuration Management System that tracks products, records when products are approved and baselined, and helps to ensure that the correct versions are being used during the project and delivered to the customer.

**Change Definitions**

- Configuration Management
- Configuration Item
- Release

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**Configuration Management:**

Configuration Management is the technical and administrative activity concerned with the creation, maintenance and controlled change of the configuration of a product. This is a nice way of saying that Configuration Management is about looking after products in the project.

**Configuration item:**

A configuration item is the name given to an entity (or item) that is managed by Configuration Management. So in a new laptop PC project, the Configuration Item could be:

- a component of laptop (e.g. cooling fan, memory chip)
- the laptop itself; or
- a release of the laptop with a specific configuration (see Release below)

You could also say that a Configuration Item is anything that you want to track during the project.

**Release:**

A Release is a complete and consistent set of products that are managed, tested and deployed as a single entity to be handed over to users. An example of a Release could be a new version of a laptop computer with a certain version build of OS, certain CPU, certain BIOS, and certain versions of applications.

**Issues – 3 Types**

- 1) Request for Change
- 2) Off-Specification
- 3) Problem/Concern
  - which could also be a question. (positive or negative)

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**Issues:** PRINCE2 uses the term *issue* to cover any relevant event that has happened that was not planned and that requires some management action (for example, a question or a Change Request). Issues can be raised at any time during the project and by anyone.

There are 3 types of Issues; they are

- 1) Request for Change
- 2) Off-Specification
- 3) Problem/Concern which could also be a question. (positive or negative)

Request for Change definition

- A proposal for a change to a baselined product, i.e., a product that has already been approved. This could be a Product Description document for one of the specialist's products being created by the project.

- *Example:* A stakeholder requests to support a new language.

Off-Specification definition

- This is something that was agreed to be done but is not provided by the supplier and/or not forecast to be provided, and therefore, is out of specification or off-specification.

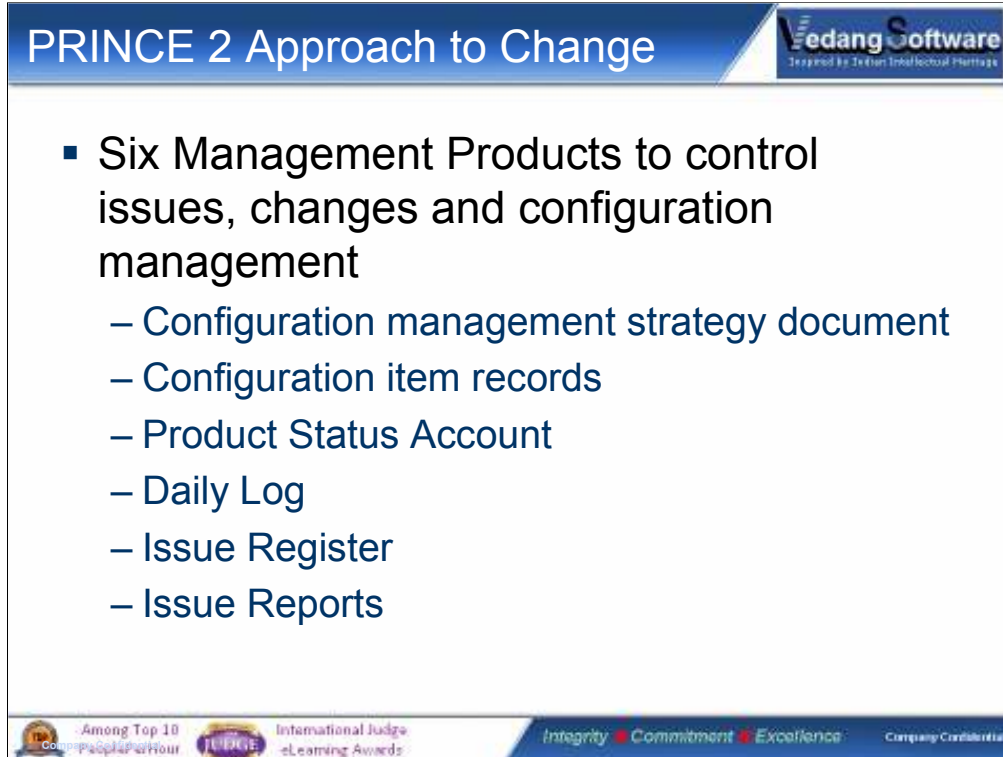
- *Example:* The supplier could not complete the automated *Forget Password* feature; therefore password will have to be manually reset by the central administrator.

Problem/Concern definition

- **Definition:** Any other issue that the Project Manager needs to resolve or escalate; this could be positive or negative.

- *Example:* One of the team was taken off the project for one week.





The slide is titled "PRINCE 2 Approach to Change" and features the Vedang Software logo in the top right corner. The main content is a bulleted list of six management products. The bottom of the slide contains several award logos and the company's motto: "Integrity • Commitment • Excellence" and "Always Confidential".

**PRINCE 2 Approach to Change**

**Six Management Products to control issues, changes and configuration management**

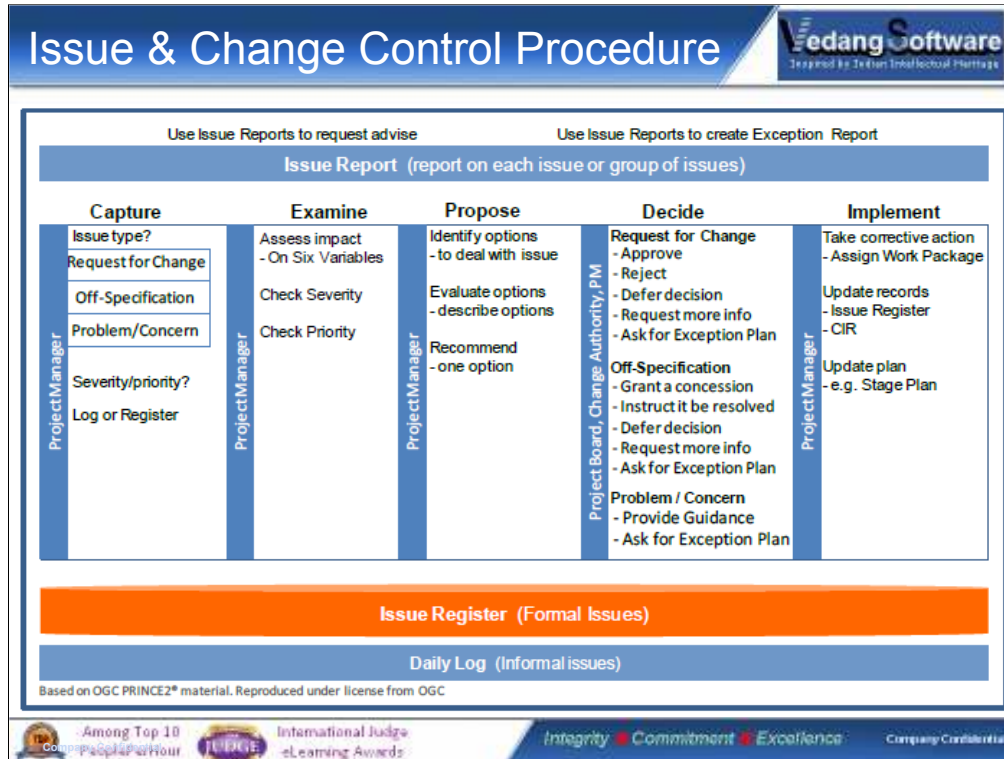
- Configuration management strategy document
- Configuration item records
- Product Status Account
- Daily Log
- Issue Register
- Issue Reports

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The Issue and Change Management approach will be decided in the first stage (IP stage). This approach can be reviewed at the end of each stage in the Stage Boundary Process. PRINCE2 has six management products that are used to control issues, changes and Configuration Management. The Configuration Management Strategy document is used to establish the project controls and the rest of the documents help to maintain the project controls.

Here is a quick introduction of these 6 management products:

1. The **Configuration Management Strategy**. This document contains the strategy on how issues and changes will be handled in the project (e.g., *how to identify products, how to control products and how to do status accounting and verification*).
2. **Configuration Items Records**: They provide a set of data for each product used in the project (like metadata). (For example: The central desk of library would have a card for each book with specific information, including location, classification, ISBN number, etc).
3. **Product Status Account**: This is a report on the status of products (e.g., list status of all products produced by Supplier X in stage 3).
4. **Daily Log**: This log is used by the Project Manager as a diary for all informal information. Formal information is placed in a register (Issue or Risk register).
5. **Issue Register**: Imagine a spreadsheet to capture and maintain issues.
6. **Issue Report**: This report describes an issue in detail. According to PRINCE2, an issue can be 1) Request for Change, 2) an Off-Specification, or 3) problem/concern. An Issue Report could also describe related issues, so they would not always be a risk.



Also known as CEPDI

### How to prioritize issues and track severity

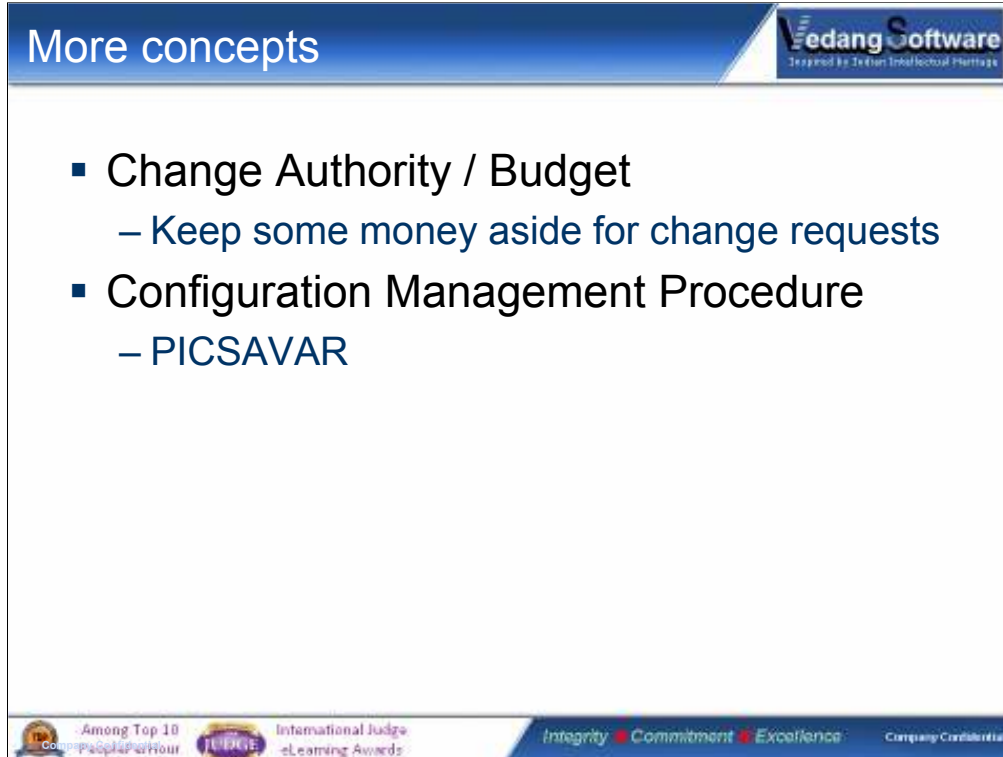
There are many ways to prioritize a **change request** and PRINCE2 introduces the **MoSCoW** technique to help with this. **MoSCoW** stands for *Must have, Should have, Could have and Won't have for now*.

- **Must have:** Will the end product work if not resolved? (Yes)
- **Should have:** Does it affect the Business Case (Yes), ask how
- **Could have:** Does it affect the Business Case (No)
- **Won't have for now** Is change essential or important (Yes)

### Priority & Severity

So **MoSCoW** is good for prioritizing, but what about rating the severity of an issue?

- *Example:* You can use a scale of 1-5 or words such as *minor, significant, major and critical*.
- You can link a severity level of an issue by linking a severity with a role.
  - o Severity **Minor** Project Support
  - o Severity **Normal** Project Manager
  - o Severity **Significant** Change Authority
  - o Severity **Major** Project Board
  - o Severity **Critical** Programme Management (e.g. project out of tolerance)



The slide is titled "More concepts" and features a blue header with the Vedang Software logo in the top right corner. The logo includes the text "Vedang Software" and "Trusted by Indian Intellectual Property". The main content area is white and contains a bulleted list of concepts. At the bottom of the slide, there is a blue footer with several award logos and the text "Integrity • Commitment • Excellence" and "Company Confidential".

- Change Authority / Budget
  - Keep some money aside for change requests
- Configuration Management Procedure
  - PICSAVAR

### Change Authority and Change Budget

The Change Authority is a person or group who consider requests for change and off-specifications. It is the responsibility of the Project Board, so they can do it themselves, which is more common where few changes are expected, or they can assign this to other persons. If a lot of changes are expected, then this will take up too much time from the Project Board and it is better to give the authority to another person or group of persons.

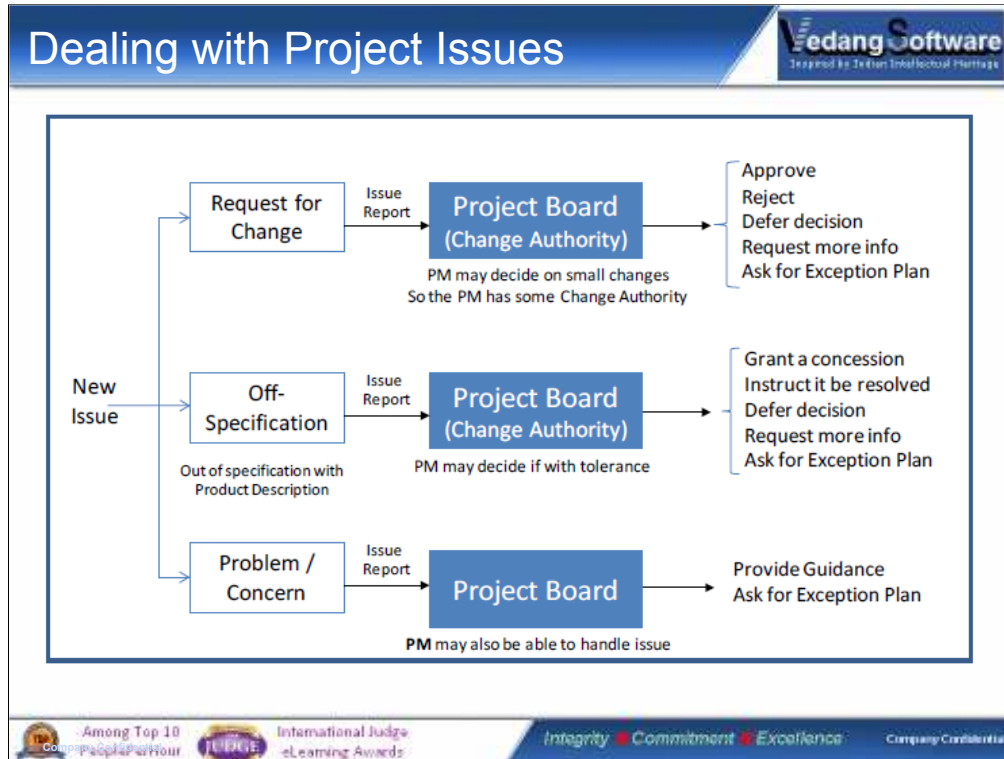
#### What kind of persons can take on this role?

This all depends on the size and value of the project, the change budget, the amount that the Change Authority can spend on each change and other such factors. So this could be the secretary of the Executive, one of the board, a financial person or any other competent person.

The Change Authority will have a **change budget**, which is a sum of money that the customer and supplier agree to use to fund the cost of Requests for Change. It is advisable to have a change budget for each project. The Project Board can limit the cost of a single change or the amount to be spent in any one stage.

#### Configuration Management Procedure

Planning, Identification, Control, Status Accounting, Verification and Auditing



### Issue: Request for Change

- A Change Request form (Issue Report with status Change Request) will be filled in (description, priority, costs, options, recommended options, etc.)
- The Change Authority will decide on the change


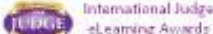


### Issue: Off-Specification

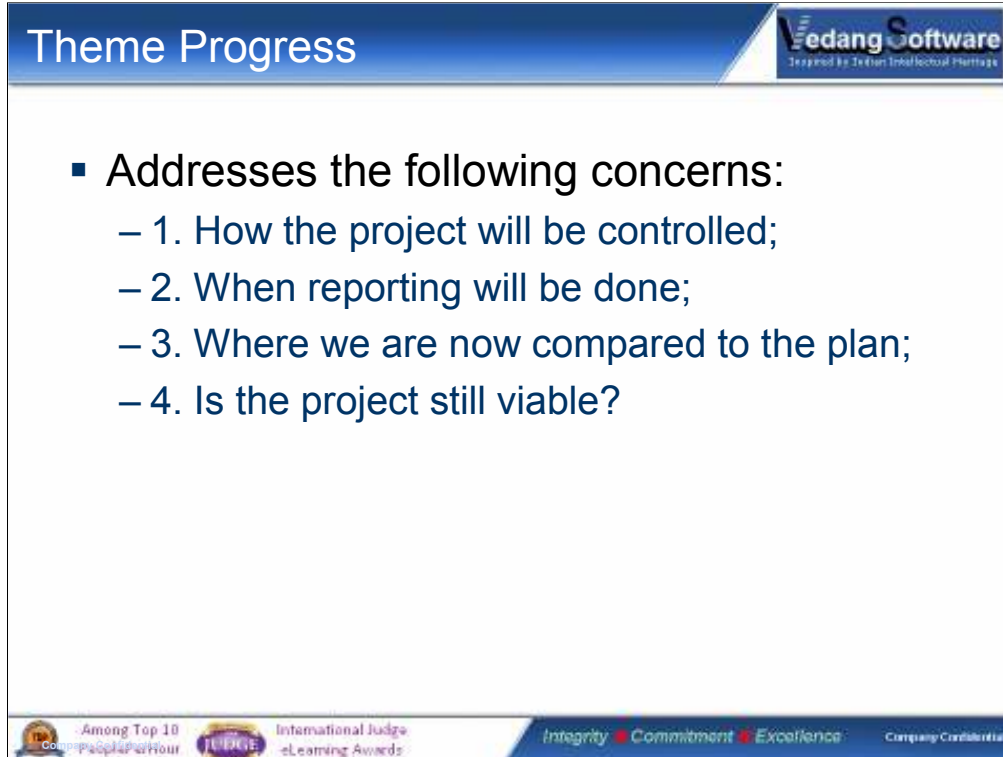
- Issue Report will be filled in detailing the off-specification
- The Change Authority will decide on how to deal with this off-specification

### Issue: Problem / Concern (Other)

- These are other issues which can of course be positive or negative
- The Project Manager can handle these issues if within their tolerance, or ask for guidance if they bring the stage out of tolerance

Theme Change: R & R	
Role	Responsibilities
<b>Corp / Programme Management</b>	<ul style="list-style-type: none"> <li>• Provide the corporate or Programme strategy for change control, issue resolution and Configuration Management</li> </ul>
<b>Executive</b>	<ul style="list-style-type: none"> <li>• Determine the Change Authority and change budget.</li> <li>• Set scale for severity rating, issues, priority ratings (e.g., 1-5 or low, high).</li> <li>• Respond to requests for advice from the PM during the project.</li> <li>• Make decisions on issues that are escalated by the Project Manager.</li> </ul>
<b>Senior User Senior Supplier</b>	<ul style="list-style-type: none"> <li>• Respond to requests for advice from the Project Manager.</li> <li>• Make decisions on escalated issues from the Project Manager.</li> </ul>
<b>Project Manager</b>	<ul style="list-style-type: none"> <li>• Manage the Configuration Management procedure.</li> <li>• Manage the issues and change control procedure.</li> <li>• Create and maintain the Issue Register and Implement corrective actions.</li> </ul>
<b>Team Manager</b>	<ul style="list-style-type: none"> <li>• Implement corrective actions that were assigned by the Project Manager.</li> </ul>
<b>Project Assurance</b>	<ul style="list-style-type: none"> <li>• Provide advice on examining and resolving issues, and check that the procedures in the Configuration Management Strategy are being followed</li> </ul>
<b>Project Support</b>	<ul style="list-style-type: none"> <li>• Administer Configuration Management (look after the Project Products)</li> <li>• Do the administrative tasks for the Issue and Change Control procedures.</li> <li>• Maintain the Configuration Items Records for the products.</li> </ul>



**Theme Progress**

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- Addresses the following concerns:
  - 1. How the project will be controlled;
  - 2. When reporting will be done;
  - 3. Where we are now compared to the plan;
  - 4. Is the project still viable?


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The purpose of the Progress Theme can be explained in three parts:

1. To establish how to monitor and compare actual achievements against those that have been planned.
2. To provide a forecast for the project objectives and the project's continued viability.
3. To be able to control any unacceptable deviations.


In other words, Progress is about checking development of the project when compared to the plan, checking the project viability, and controlling any deviations. Control is all about decision-making and is central to project management, so as to ensure that the project remain viable against its approved Business Case


Theme Progress





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- The purpose of Progress 3 parts
  - Progress, Viability and Deviations
- Definitions for Progress, Progress Controls and Exceptions and Tolerances
- The PRINCE2 approach to Progress
- The 3 Project Controls used by the Project Board and Manager
- *Technical Stages and Management Stages*
- How does the Project Manager review progress?
- 3 reports used by the Project Manager to report progress
- Progress Roles and Responsibilities.

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- The purpose of Progress has 3 parts
  - 1) Check the progress of the project compared to the plan,
  - 2) Check project viability
  - 3) Control any deviations.
- Definitions for Progress, Progress Controls and Exceptions and Tolerances
- The PRINCE2 approach to Progress
- The four levels of authority in the Project Organization and 3 levels in the Project Team.
- The 3 Project Controls used by the Project Board and Project Manager
- Why Management Stages are used by the Project Board as controls.
- What are technical stages? How do they differ from Management Stages? and *How it is possible to manage Technical Stages from Management Stages?*
- How does the Project Manager review progress? How do they use the different management products such as the Checkpoint Reports, Daily Log and Issue Register?
- How the Lessons Log and the Lesson Report are used from a Progress point of view.
- The three reports used by the Project Manager to report progress to the Project Board.
- And lastly, the Progress Roles and Responsibilities.

**Theme Progress Definitions**

- Progress
- Progress Controls
- Exceptions and
- Tolerances

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### What is Progress?

Progress is checking and controlling where you are compared to the plan. This is done for the Project Plan, Stage Plan and Work Package.

### What are Progress Controls?

Progress Controls are used by one layer to monitor the progress of the layer below it. For instance, the Project Board wants to monitor the progress of Project Manager or Project Manager wants to monitor the progress of the Teams that create the products. The layer above can do the following:

- Monitor actual progress against plans
- Review plans with forecast
- Detect problems and identify risks
- Initiate corrective action to fix issues (the Project Board will give advice)
- Authorize further work to be done. Example: The Project Board can authorize a next stage and a Project Manager can authorize a new Work Package.

### What are Exceptions and Tolerances?

An **Exception** is a situation where it can be forecast that there will be a deviation beyond the agreed tolerance levels.

**Tolerances** are the deviation above and below a plan's target. For example, the project should take 6 months, with a tolerance of  $\pm 1$  month. Tolerance levels could also be set for all six tolerance areas, i.e., *Time, Cost, Quality, Scope, Benefits* and *Risk*. These are also known as the project variables.

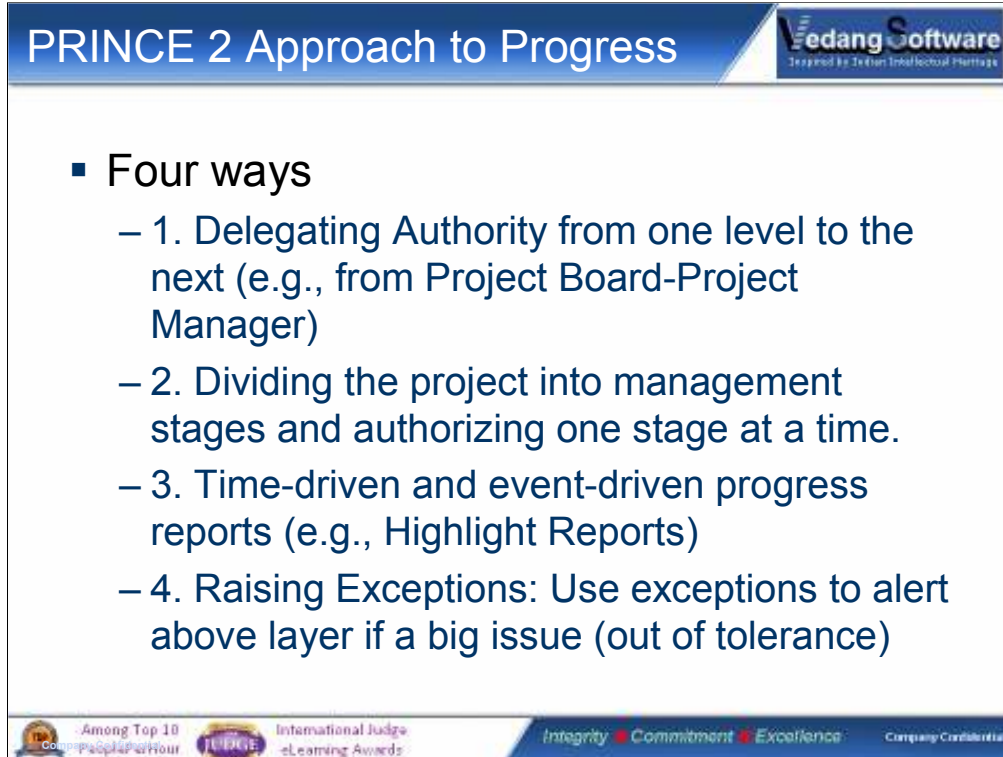
**Question:** What do you think would be the result if Tolerances were not used in a project between the Project Board and the Project Manager levels?

**Answer:** In that case, the Project Manager would escalate each issue to the Project Board and they would end up working on the project 8 hours a day and therefore would be doing a lot of work or all the work for the Project Manager.

Remember the Project Board are busy people and we don't want the project to take up much of their time. Setting tolerances allows the Project Manager to handle smaller issues and only bother the Project Board for bigger issues (more efficient use of time for Project Board).

Tolerance Example: A 6-month project with a tolerance of  $\pm 1$  months. If the project is forecast to be 1 week late, the Project Manager would deal with this and not escalate it. But if the project is forecast to be two *months* late, then they would escalate it to the Project Board. This is a more efficient use of the Project Boards time.





The slide features a blue header with the title 'PRINCE 2 Approach to Progress' and the Vedang Software logo. The main content is a bulleted list of four ways to manage progress. The footer contains several award logos and the company's core values: Integrity, Commitment, and Excellence.

**PRINCE 2 Approach to Progress**

**Four ways**

- 1. Delegating Authority from one level to the next (e.g., from Project Board-Project Manager)
- 2. Dividing the project into management stages and authorizing one stage at a time.
- 3. Time-driven and event-driven progress reports (e.g., Highlight Reports)
- 4. Raising Exceptions: Use exceptions to alert above layer if a big issue (out of tolerance)

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### PRINCE 2 Approach to Progress:

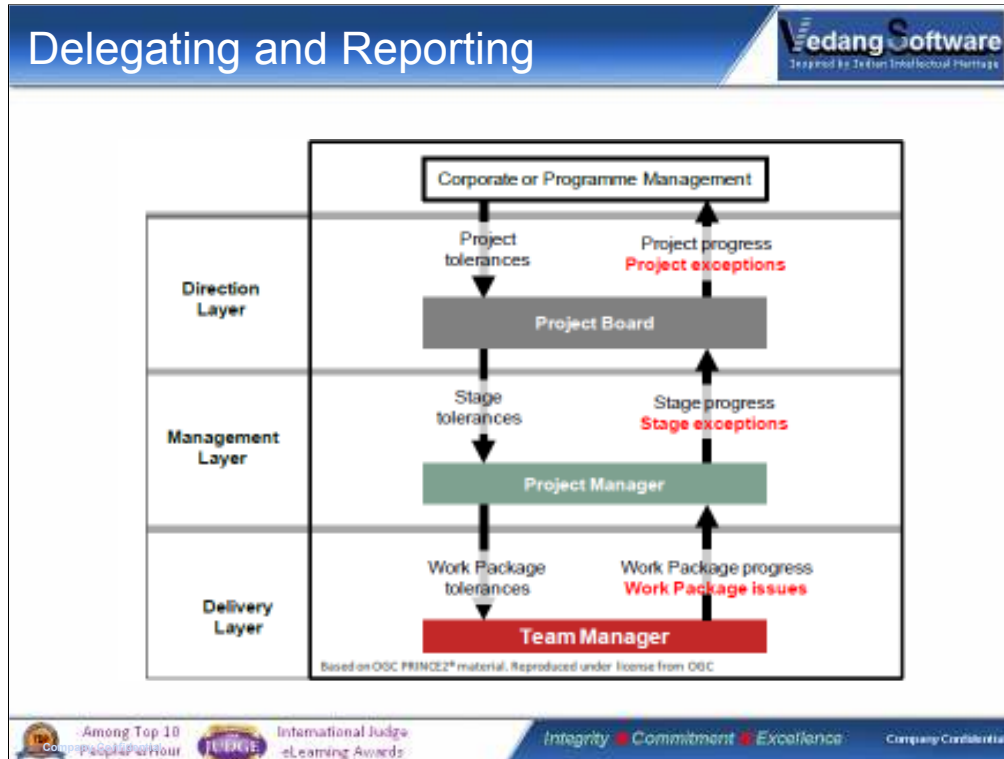
Progress is about checking actual progress against the performance targets of Time, Cost, Quality, Scope, Benefits and Risk.

PRINCE2 provides control through four main ways:

1. Delegating Authority from one level to the next (e.g., from Project Board-Project Manager)
2. Dividing the project into management stages and authorizing one stage at a time.
3. Time-driven and event-driven progress reports (e.g., Highlight Reports)
4. Raising Exceptions: Use exceptions to alert above layer if a big issue (out of tolerance)

How these controls will be used in the project is decided early in the project and documented in the

Project Initiation Documentation under the Progress heading.



### Corporate or Programme Management

- The Corporate or Programme Management is outside the project. They set the overall requirements and tolerance levels for the project (they set the **project tolerances**)
- If project tolerances are exceeded, then escalate to Corp/Programme Management.
- **Tip:** Remember the Project Tolerances are set by Corporate or Programme Management.

### The Project Board

- The Project Board sets the tolerances for the stages. Therefore the Project Manager will escalate issues as soon as it is identified that they will go out of tolerance on any of the project tolerance targets.
- If this exception affects the project's tolerance, then the Project Board has to escalate this to Corporate and Programme Management.

### The Project Manager

- The Project Managers have day-to-day control over the stage and they work within the tolerances set by the Project Board.
- They also set and agree to the tolerances in the Work Packages.

### The Team Manager

- The Team Manager has control for a Work Package and works within the tolerances agreed with the Project Manager.

**3 Project Board Controls**

- 1. Authorizations:
  - i.e., they can authorize next stage to start
- 2. Progress Updates:
  - They get regular reports from the Project Manager
- 3. Exceptions & Changes:
  - They can receive Exception Reports and Issue Reports.

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### Authorizations

- Look at the Process Model Diagram. It is very easy to see the authorizations.
- 1st Authorize Initiation: To allow the Initiation stage to start and to create the PID.
- 2nd first stage of the project can start after the initiation stage.
- 3rd Authorize each stage: This happens after each SB process.
- And lastly, authorize project closure.

### Progress Updates are the 2nd type of control for the Project Board.

- This includes Highlight Reports and End Stage Reports.
- The Highlight Reports are sent regularly from the Project Manager to the Project Board during the Controlling a Stage process. They provide information on how well the stage is running according to the Stage Plan.
- They will also review the End Project Report before they authorize project closure

### Exceptions and changes are the 3rd type of control for the Project Board.

- This includes Exception Reports and Issue Reports.
- Exception Reports advise the Project Board that the stage is out of tolerance, allowing the Project Board to control the next move.
- Issue Reports provide a way to gather information on an issue (request for change, an Off-Specification or a problem/concern) and send it to the Project Board.

### 3 Project Manager Controls

- Same as project board
  - Authorizations
  - Progress updates
  - Exceptions and changes

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#### 1) Authorizations:

- The Project Manager authorizes Work Packages to the Team Manager (CS process)

#### 2) Progress Updates:

- They receive Checkpoint Reports from the Team Manager or Team Members.

#### 3) Exceptions and changes:

- They use the project registers and logs to review progress and identify issues that may need to be resolved.
- Changes will be handled through the Issue and Change Control procedure.

**Use of Stages**

- Management Stages and
- Technical Stages

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### Why are Management Stages used as controls by the Project Board?

Management stages are partitions of the project with **decisions points** for the Project Board between each stage. A management stage is a collection of activities to produce products and is managed by the Project Manager.

**Minimum stages in a Project?** The minimum number of stages in a project is two:

- The Initiation Stage: To define and agree what needs to be done,
- One Delivery stage: At least one other stage to produce the products.

### How to decide the number of stages?

1. How far ahead is it sensible to plan?
2. Where do key decision points have to be made in the project? (*Example: Maybe after creating a prototype or after completion of a major part of the product*)
3. The amount of risk in a project. (If similar to another project, then there will be less risk.)
4. Think of the control required by the Project Board. Do they require little or lots of control?

Decide between too many short management stages compared to few lengthy management stages.

5. How confident are the Project Board and Project Manager at proceeding? (For instance, if this is a similar project with minor changes, then they would be very confident.)

### How long should a stage be in PRINCE2?

The main consideration is the level of risk or complexity. If there is a lot of risk and complexity, then it is best to keep the stages short. If there is less risk and complexity and you have done a similar project before, then stages could be much longer.

### What are Technical Stages?

Technical stages are how most companies and teams work. The best way to understand this is to look at how they differ from Management Stages,

- Technical stages can overlap, but management stages do not.
- Technical stages are usually linked to skills (e.g., Requirements Analyses, Design Product), while Management Stages are focused on business justification and authority).
- A technical stage can span a management stage boundary.

**2 Types of Controls**

- Event Drive and
- Time Driven

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### Event-Driven and Time-Driven Controls

All controls can be divided into two parts in PRINCE2: Event-Driven and Time-Driven.

Event-driven controls take place when something happens, in other words when an event happens in the project – for instance, at the end of a stage, at complementation of the PID, when a stage goes out of tolerance, at the end of project and change request. All of these events produce documents like an End Stage Report, Exception Report and Issue Report.

**Time-driven controls** take place at pre-defined periodic intervals. For example, the Project Board will agree with the Project Manager to send a Highlight Report every 2 weeks to the Project Board, and the Project Manager can agree with the Team Manager to send a Checkpoint Report each week. So time-driven controls don't have to wait for an event to happen.

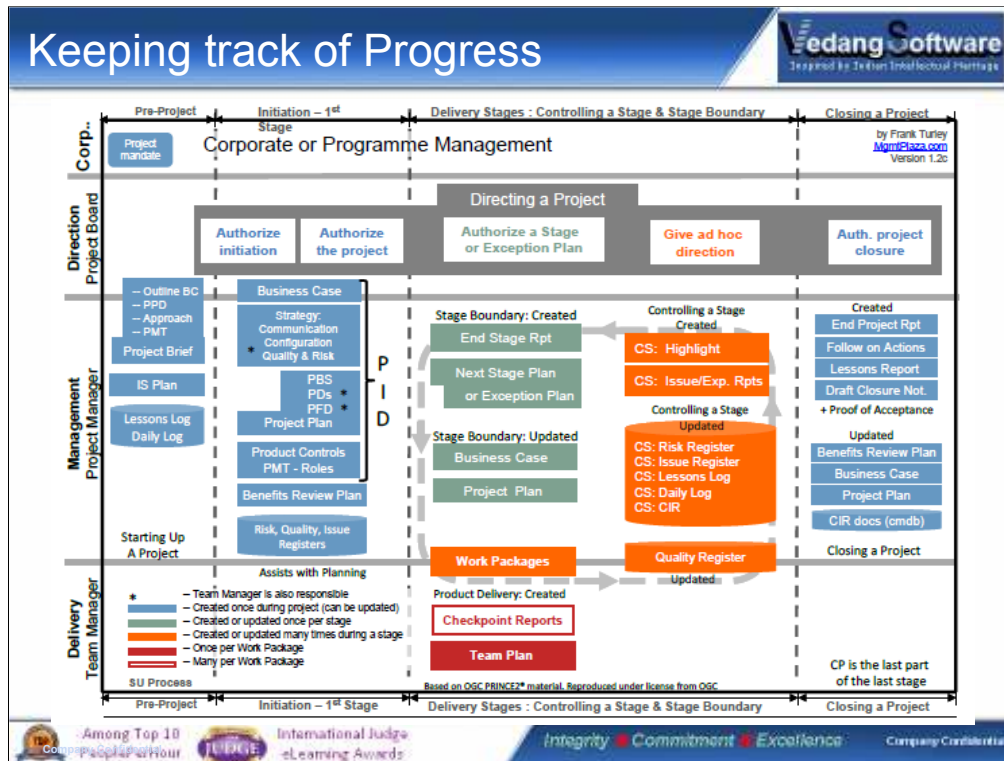
Two popular exam questions:

**Question:** In which management document is the Highlight Report frequency first mentioned?"

**Answer:** It is stated in the Communication Management Strategy, written in the IP Stage.

**Question:** Can the Project Board change the frequency of time-driven reports for a new stage?"

**Answer:** For the Project Manager, yes, and normally they would advise the Project Manager to change the frequency during the Stage Boundary process and before approving the next Stage Plan.



### How does the Project Manager review progress?

The Project Manager does most of their reviewing in the Controlling a Stage (more about this later). Project Manager reviews progress with **The PRINCE2 Product Map**, as it shows when the management products are created and updated, and then ask questions based on this diagram.

### Monitoring Work Packages and Teams

During the Controlling a Stage process, the Project Manager will hand out work in Work Packages to Team Managers (or directly to the Team Members in the case of a small project)

**Question:** What two management products do you think the Project Manager uses to check how the Work Packages are processing (and, therefore, the stage)

**Answer:** They use the Checkpoint Reports (from the Team Manager) and they use the Quality Register to see that the Quality responsible persons have signed off on the products. The Quality Register acts an important check (assurance) for the Project Manager.


**Question:** Which Management Products does the Project Manager use to keep track of how the project is doing (e.g., where do they keep informal notes, issues, check on product status, quality progress, risk, etc.)?

**Answer:** The Project Manager uses the Daily Log, Issue Register, Product Status Account, Quality Register and Risk Register.

**Question:** What do you think the Project Manager uses the Daily Log for?


**Answer:** This is the place to record any informal information about the project (e.g., news, telephone calls, meetings, small issues, reminders, observations, tolerance levels and other such information.) The Daily Log acts like a Daily Journal for the Project Manager.

Issues and Quality Register




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- Issue Register contains all formal issues
  - 1. Request for Change:
  - 2. Off-Specification:
  - 3. Problems and Concerns:
- Quality Register is a record of all planned and executed Quality activities.
  - Therefore the Project Manager can see if all planned Quality activities are in line with the plan and if results are as expected, or if a number of products are failing quality tests.



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### How the Issue Register is used by the Project Manager?

The Issue Register contains all formal issues raised during the project, which could be:


1. Request for Change: This happens when the clients notice something that was not in the original requirement but now wants this included (so it becomes a Request for Change).
2. Off-Specification: This happens when the supplier may not be able to complete something exactly as described in the Product Description.
3. Problems and Concerns: This is the place to note any **other** comments, problems and concerns. (For example, there is train strike on the same day as our expected demonstration for the major stakeholders, or the cost of a major component we need for the project has increased or decreased in price by 50%).

### How the Project Manager uses the Quality Register to check progress?

The Quality Register is a record of all planned and executed Quality activities. Therefore the Project Manager can see if all planned Quality activities are in line with the plan and if results are as expected, or if a number of products are failing quality tests.




Lessons Report




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- PRINCE2 is that the project team must learn from experience.
- Lessons have to be sought, recorded and actioned during the project.
- PRINCE2 uses the word “sought” to ensure that everyone in the project checks for previous lessons.
- Any useful experiences are then recorded into a Lessons Log.
- Lessons can be about anything that could help the project.
  - These include how best to communicate, how to deal with a supplier, how certain documents should be tailored for this kind of project and which product specialists to get help from when doing the product breakdown structure.
- The Project Manager continues to add new lessons to the Lesson Log during the project.



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### Capturing and reporting lessons


One of the principles in PRINCE2 is that the project team must learn from experience. Lessons have to be sought, recorded and actioned during the project. PRINCE2 uses the word “sought” to ensure that everyone in the project checks for previous lessons. Any useful experiences are then recorded into a Lessons Log.

Lessons can be about anything that could help the project. These include how best to communicate, how to deal with a supplier, how certain documents should be tailored for this kind of project and which product specialists to get help from when doing the product breakdown structure.

The Project Manager continues to add new lessons to the Lesson Log during the project.


**Lessons Report:** The Lessons Learned report is used to document lessons that might be of value to future projects. A Lessons Learned report has to be created at the end of the project during the Closing a Project Process. In larger projects, a Lessons Learned report might be created during the project, for example, during the Managing a Stage Boundary Process.

Reports and Exceptions

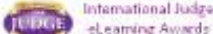


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- **Reports**
  - Checkpoint reports
  - Highlight report
  - End Stage report
  - End Project report
- **Raising Exceptions**



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### Checkpoint Reports

The Team Manager uses the Checkpoint Report to report to the Project Manager. Information on the progress of the work done compared to the agreed Team Plan is also included in it. The Project Manager will agree on the frequency for these reports with the Team Manager when they are accepting the Work Package.

### The Highlight Report

The Highlight Report is used by the Project Manager to report on the status of the current stage compared to the Stage Plan. The important word here is 'highlight' as a 1- to 2-page report should be sufficient. **Tip:** Think of tip of an iceberg.

The Highlight Report allows the Project Board to manage by exception between each stage end, as they are aware of the tolerances agreed with the Project Manager in the Stage Plan, so the Highlight Report should report the current status of tolerances of Time, Cost, Quality, Scope, Benefits and Risk.

### The End Stage Report

The End Stage Report is created by the Project Manager towards the end of the stage and compares the performance of the stage compared to the Stage Plan.

### The End Project Report


The End Project Report is produced by the Project Manager towards the end of the project during the Closing a Project Process and is used by the Project Board to evaluate the project before they take the decision to authorize closure

### What is Raising Exceptions?


This is quite easy to understand and it is linked to the principle "Manage by Exception." The best way to explain this is with a question, i.e., "*When is an exception raised and by whom?*" An exception is raised when an agreed tolerance is exceeded or is forecast to be exceeded. You raise an exception by alerting the level above you.


- The Team Manager raises an issue if they forecast to go out of **Work Package tolerance**
- The Project Manger raises an exception if they forecast to go out of **Stage tolerance**
- The Project Board raises an exception if they forecast to go out of **Project tolerance**

## Theme Progress: R & R



Role	Responsibilities
<b>Corp / Programme Management</b>	<ul style="list-style-type: none"> <li>Provide the <b>project tolerances</b> in the project mandate.</li> <li>Make decisions on the project Exception Plans</li> </ul>
<b>Executive</b>	<ul style="list-style-type: none"> <li>Provides stage tolerances.</li> <li>Makes decisions on the stage Exception Plans</li> <li>Ensuring that progress remains consistent from a business point of view.</li> </ul>
<b>Senior User / Senior Supplier</b>	<ul style="list-style-type: none"> <li>Ensures that progress remains consistent from their point of view</li> </ul>
<b>Project Manager</b>	<ul style="list-style-type: none"> <li>Authorizes Work Packages and monitors progress of Stage Plans.</li> <li>Produces Reports: Highlight, End Stage, Lessons and End Project Reports.</li> <li>Produces Exception Reports / Exception Plans for the Project Board</li> <li>Maintains the project registers and logs.</li> </ul>
<b>Team Manager</b>	<ul style="list-style-type: none"> <li>Produces Checkpoint Reports.</li> <li>Escalates if any forecasted deviation from the Work Package tolerances.</li> </ul>
<b>Project Assurance</b>	<ul style="list-style-type: none"> <li>Verifies the Business Case against external events and project progress.</li> <li>Assures stage and project progress (double check)</li> </ul>
<b>Project Support</b>	<ul style="list-style-type: none"> <li>Assists with the compilation of reports</li> <li>Maintains Issue Register, Risk Register and Quality Register</li> </ul>



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## Themes Summary




- Business Case
- Organization
- Quality
- Plans
- Risk
- Change
- Progress



## Introduction to Processes



- In this section
  - What is a process and what is a PRINCE2 process
  - What happens in the Initiating a Project Process and what are the inputs and outputs
  - What are the next stages in the project
  - The final delivery stage and what happens here when closing the project
  - Introduction to the PRINCE2 Process Model.
  - Introduction to the 7 processes.



## The PRINCE 2 Processes



- A process is a structured set of activities designed to accomplish a specific objective.
  - PRINCE2 has activities for Starting Up a Project, running a project, and closing it. These activities are grouped into processes
  - These activities help to direct, manage and deliver a project. Like any process, a PRINCE2 process takes one or more inputs, acts on them, and provides defined outputs.



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## The 7 Processes

- 1. Starting Up a Project (SU)
- 2. Initiating a Project (IP)
- 3. Directing a Project (DP)
- 4. Controlling a Stage (CS)
- 5. Managing Product Delivery (MP)
- 6. Managing a Stage Boundary (SB)
- 7. Closing a Project (CP)

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### Directing a Project Process

Directing a Project is the responsibility of the Project Board. It runs from the start of the project until its end. Note that the Starting Up a Project Process happens before the project starts. During this Directing a Project process, the Project Board authorizes project stages and manages the overall project by using the management style *Management by Exception*.

### The Starting Up a Project Process

This is the responsibility of both the Project Manager and the Executive. This is the very first process and is, in fact, known as the Pre-Project process, referring to the fact that it occurs before the project starts, as the project does not start until the Initiation Stage begins. In this process, the reasons for the project are established, the project management team is assigned, and a Stage Plan is created to run the Initiation Stage.

### The Initiating a Project Process

The Initiating a Project Process is the process that defines the Project Product, product quality, project timeline and costs, risk analysis, and commitment of resources, and assembles the PID (Project Initiation Documentation). This is also the process where the Project Plan is created and the Business Case for the project is finalized. All of this information is assembled into the Project Initiation Documentation.

### The Controlling a Stage Process

The Controlling a Stage Process is where the Project Manager does most of their work. The Project Manager watches over the work, takes corrective action, observes changes, and communicates with stakeholders, which includes reporting. Each action can be repeated many times by the Project Manager until the stage is complete. The project is divided into stages for management and control efficiency. The Controlling a Stage process monitors each stage and is repeated for each stage in the project.

### The Managing Product Delivery Process

Managing Product Delivery is the process where the planned products are created and it comes under the responsibility of the Team Manager. It is where the Work Packages are executed, the products get created, and work gets done. The Team Manager receives the Work Packages (which are a list of tasks) from the Project Manager, and delivers the completed and tested Work Packages back to the Project Manager.


### The Managing a Stage Boundary Process

The Managing a Stage Boundary Process has two main functions: (1) reporting on the performance of the existing stage and (2) planning the next stage. So the Project Board can check on how well the stage has done against the Stage Plan. In other words, this process evaluates the stage and prepares the plan for the next stage. The End Stage Report and Next Stage Plan are submitted to the Project Board.


### The Closing a Project Process

The Closing a Project process covers the work of wrapping up the project and this process is the last part of the last stage. PRINCE2 suggests a number of activities to be done to prepare the project for closure, such as End Project Report, Lessons Learned Report and Acceptance Record. The output of this process will be the basis for the Project Board's confirmation for closure, as the project is closed by the Project Board in the Directing a Project Process and not by the Project Manager.

## Two Process Diagrams




- The PRINCE 2 Process Model
  - Shows how processes are linked with each other
- Management Product Map
  - shows when most management documents are created and updated, so it gives an excellent overview of both the Processes and Themes.
- These two help understand the interaction of processes with each other to deliver the project







## PRINCE 2 Stages




- Pre-project
  - SU
- Initiation Stage
  - IP
- Next Stage (stages after Initiation stage)
  - CS >> MP and SB
- Final Delivery Stage
  - CP



Pre Project


- What happens before the project starts?
  - Pre-Project (project has not started yet).
- First step – create project mandate,
  - is the trigger for the project
- All pre-project activities in a process called
  - Starting Up a Project Process
    - Project mandated is expanded in to Project Brief and a plan is created for the Initiation Stage


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Someone, somewhere, at sometime has an idea or a need. This can be a business opportunity or something that is necessary to do for the company (e.g., a change in legislation like a CO2 reduction). This idea or need is the trigger for the project.

The first step that is normally taken is the creation of a project mandate document. This is why we say that the project mandate is the Trigger for the project. A project mandate can be a simple one-page note, an email, or a structured document based on a company project mandate template.

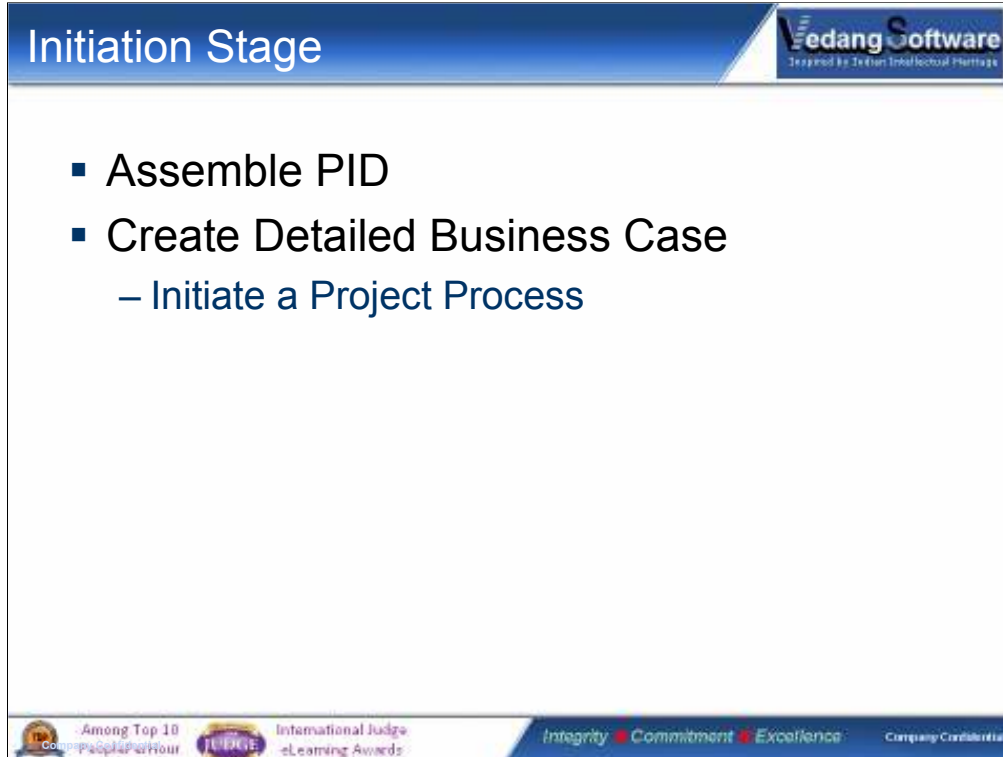
There are a number of Pre-Project activities to be done and these are referred to as the project start-up. PRINCE2 suggests a number of pre-project activities that should be done. All of them are contained in a process (i.e., the *Starting Up a Project Process*).

The main objective of the Starting Up a Project Process is to verify that the project is worthwhile.

The project mandate is expanded to a Project Brief, and a plan is created for the Initiation stage.

The Starting Up a Project Process is also about preventing poor projects from starting.

After this process is complete, The Project Board reviews the **Project Brief** and decides whether to initiate the project. This is the first decision that the Project Board takes.



## Initiation Stage

- Assemble PID
- Create Detailed Business Case
  - Initiate a Project Process

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This is the first Stage in a project and the activities to be performed for project initiation are contained in the “**Initiating a Project**” process. The main objectives of the Initiation Stage are to:

- Define the Project Product quality, project timeline, costs, risk analysis and commitment of resources, and then assemble the Project Initiation Documentation (PID). The PID contains almost all of the project information to date, including the Project Plan.
- Create a detailed Business Case, document the benefits and prepare a Benefits Review Plan that will describe how and when Benefits will be reviewed.
- The Project Plan is a high-level plan for the whole project. A Stage Plan is also created for the first delivery Stage Plan (in the Stage Boundary process), which is a lot more detailed.

At the end of the Initiation Stage, the Project Board will receive the PID and decide to authorize the project or not. In simple terms, this means that the Project Board will decide (Yes or No) to allow the project to start. If yes, the PID is baselined so it can be used in the future to compare the project objectives with the current situation.

Next Stage / Stages after Initiation



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- Regular Day to day work on the project
  - Controlling Stage
    - Managing Product Delivery
  - Managing Stage Boundary
- Reports from Team Managers to Project Managers and from Project Manager to the Project Board
- Stage by stage authorization by the Project Board



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The Project Manager has day-to-day responsibility for the project on a stage-by-stage basis, and reports to the Project Board. The Project Manager does the following:

- Assigns work to be done (assigns work to the Team Managers)
- Checks that all deliverables have passed the required quality tests.
- Checks that stage is in line with Stage Plan.
- Checks that forecasts are within project tolerances.

All these activities are done in the Controlling a Stage process.

At the same time the Project Manager maintains a number of documents, such as the Daily Log, Lessons Log, Issue Register, Risk Register, Quality Register and Configuration Items Record.

These will be discussed in future chapters.


The Project Manager keeps the Project Board up to date about the progress of the project using the Highlight Report. For example, the Project Board may have agreed to receive a Highlight Report every two weeks from the Project Manager.

Work Packages are produced in the Managing Products Delivery process, and the Checkpoint Reports are used to keep the Project Manager up to date on a regular basis.

Towards the end of a stage in the Managing a Stage Boundary Process, the Project Manager will request permission to proceed to the next stage and will have to provide the following information to the Project Board: Updated Business Case, End Stage Report, and Next Stage Plan.


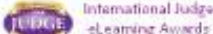
The Project Board will use the information provided by the Project Manager to assess the continued viability of the project and will make the decision to authorize the next stage.

Final Delivery Stage



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- Let's close the project now
  - Verify that the project objectives have been met
  - Close a Project (CP) Process
- The Directing a Project DP process starts from the end of the SU Process and runs throughout the project time line till final closure of the project i.e. CP process

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During the final stage, the Project Manager will be accepting and getting approval for the last

products to be produced, and will focus on decommissioning the project.

The Project Board will check that the recipients of the project's products are in a position to own

and use them, and will also check that they will be supported after the project has stopped.

The Closing a Project Process is always the last part of the last stage and it describes a number of

activities that should be done, such as:

- Assessing the project by comparing it to the original plan.
- Writing End Project Report.
- Planning post-project benefits reviews.
- Writing and delivering Lessons Learned report

The Project Board will revise the data provided by the Project Manager and then can take the

decision to Authorize Project Closure. The Project Manager can then leave the building.

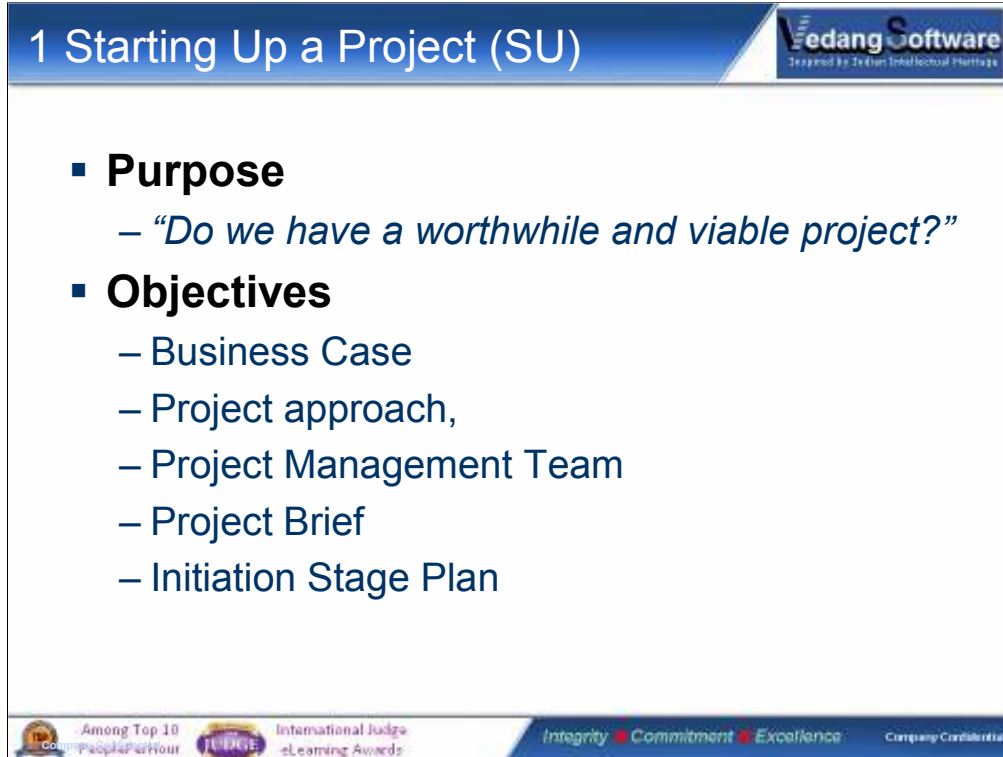
## The 7 Processes

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Ensure that you know the following for each of these processes

- Purpose and Objectives
- Activities
- Inputs and Outputs
- Roles and Responsibilities



## 1 Starting Up a Project (SU)

- **Purpose**
  - “Do we have a worthwhile and viable project?”
- **Objectives**
  - Business Case
  - Project approach,
  - Project Management Team
  - Project Brief
  - Initiation Stage Plan

### The Objectives of the Starting Up a Project Process

The objectives of the Starting Up a Project process are to prepare and make sure that the following

is done during and by the end of this process:

- There is a Business Case (business reason), and this should be documented in the outline

Business Case. The Business Case document is not completed until the Initiation Stage.

- Look at the project approach, which examines the best way to go about doing this project

and obtaining advice from other projects in the form of lessons learned, specialists or even

outside knowledge.

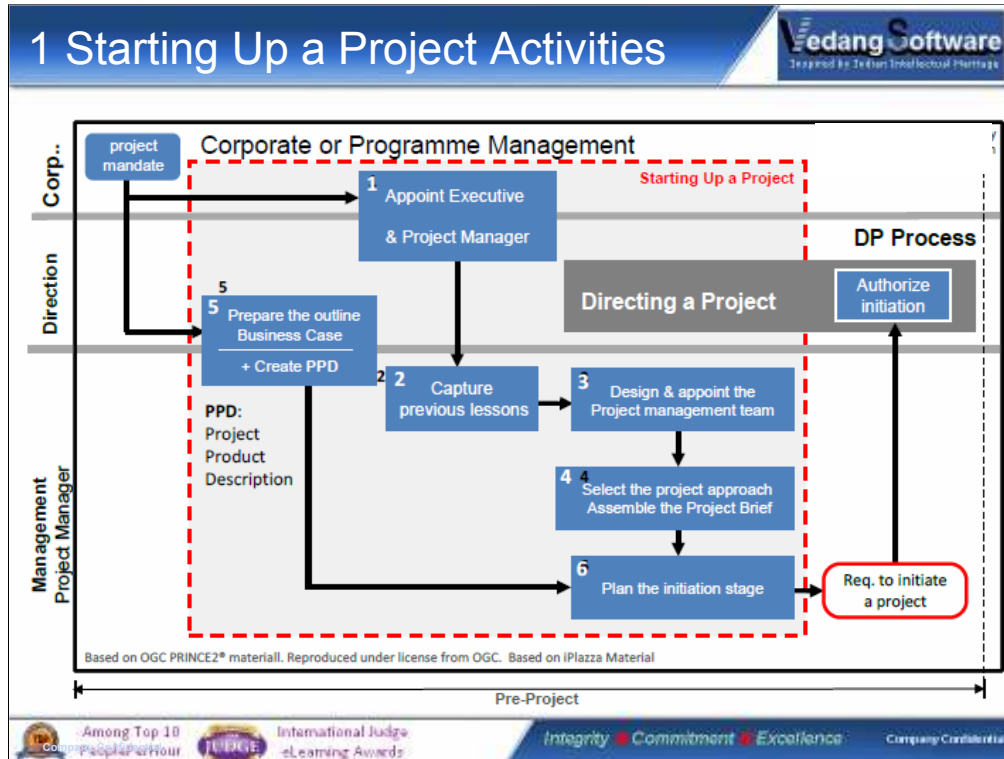
- Choose the people who will do the work to initialize the project, and other roles in the

project team.

- Create the Project Brief, which provides information on the scope of the project and most

of the information collected during this process.

- Create a detailed Stage Plan to plan the work to be done in the Initiation Stage



The following Activities are to be done in the Starting Up a Project Process:

1. Appoint the Executive and the Project Board
2. Capture Previous Lessons.
3. Design and appoint the project management team.
4. Prepare the outline Business Case and create the Project Product Description (PPD)
  - The PPD is a description of the main product that will be produced
5. Select the project approach and assemble the Project Brief.
6. Planning the initiation stage.

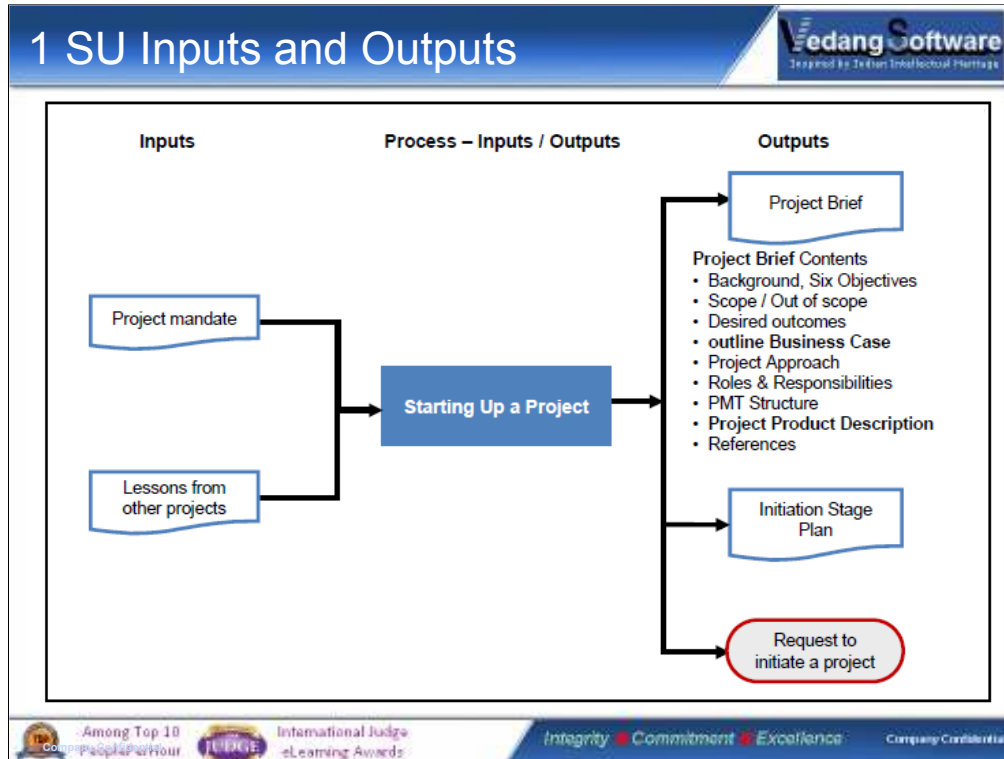
Look at the above diagram and notice at what level the activities are done, and you can see that

most activities are done by the Project Manager. The outline Business Case is created by the

Executive with some assistance from the Project Manager and the Project Product Description is

created by the Project Manager.





### SU Inputs

- The project mandate is the trigger to start the project and comes from outside the project.
- The project mandate can have such data as the reasons for the project, some business case information and perhaps other data that is required by the Project Brief.
- The PM should seek lessons from other projects (e.g., see if Lessons Reports are available from other projects or invite all stakeholders to offer lessons).

### SU Outputs (Main Outputs)

- **Project Product Description:** This is a normally a 1- to 3-page description of the main product that will be produced by the project. The structure of this document is covered in both the Quality and Plans themes.
- **Outline Business Case:** This is the responsibility of the Executive. Its objective is to provide some business justification for the project.
- **Project Management Structure (PMT):** This will provide information on the structure of the PMT (The Project Board, Assurance, Change Authority, Project Manager).
- **Project Approach:** This part of the document will define the project approach that should be taken by the project. The Project Manager will ask such questions as:
  - o Create product from scratch, update existing product, or off-the-shelf solutions?
  - o Should we use internal or external people in the project?
  - o What can you learn from other projects?
  - o Are there other information sources, both internal and external?
- **The Project Brief:** All the above information is assembled into the Project Brief, plus other information, such as the scope, roles & responsibilities, six performance targets.
- **Initiation Stage Plan:** The Project Manager creates the first plan which is a day-to-day plan for the Initiation Stage.

### Request to initiate the Project

- The final output of the SU process is to send a request to the Project Board to Initiate the Project which is to allow the first stage of the project to start. The Project Managers gives both the **Project Brief** and **Initiation Stage Plan** to the Project Board.

1 SU Roles and Responsibilities	
<b>Role</b>	<b>Responsibilities</b>
<b>Corp / Programme Management</b>	<ul style="list-style-type: none"> <li>• Provides project mandate—this is trigger—comes from outside the project</li> <li>• Provides project level tolerance information</li> <li>• Appoints the Executive and may appoint the Project Manager</li> </ul>
<b>Executive</b>	<ul style="list-style-type: none"> <li>• Appoints the Project Manager (if not done already)</li> <li>• Approves the PMT</li> <li>• Creates the outline Business Case</li> </ul>
<b>Senior User</b>	<ul style="list-style-type: none"> <li>• Provides information for Project Product Description</li> </ul>
<b>Project Manager</b>	<ul style="list-style-type: none"> <li>• Facilitates the creation of most of the Project Brief (PPD, roles &amp; responsibilities, scope, PMT, etc.)</li> <li>• Facilitates the Project Approach and gathers lessons</li> <li>• Creates the Initiation Stage Plan</li> </ul>
<b>Team Manager</b>	<ul style="list-style-type: none"> <li>• May be asked to help with Project Approach and PPD</li> </ul>



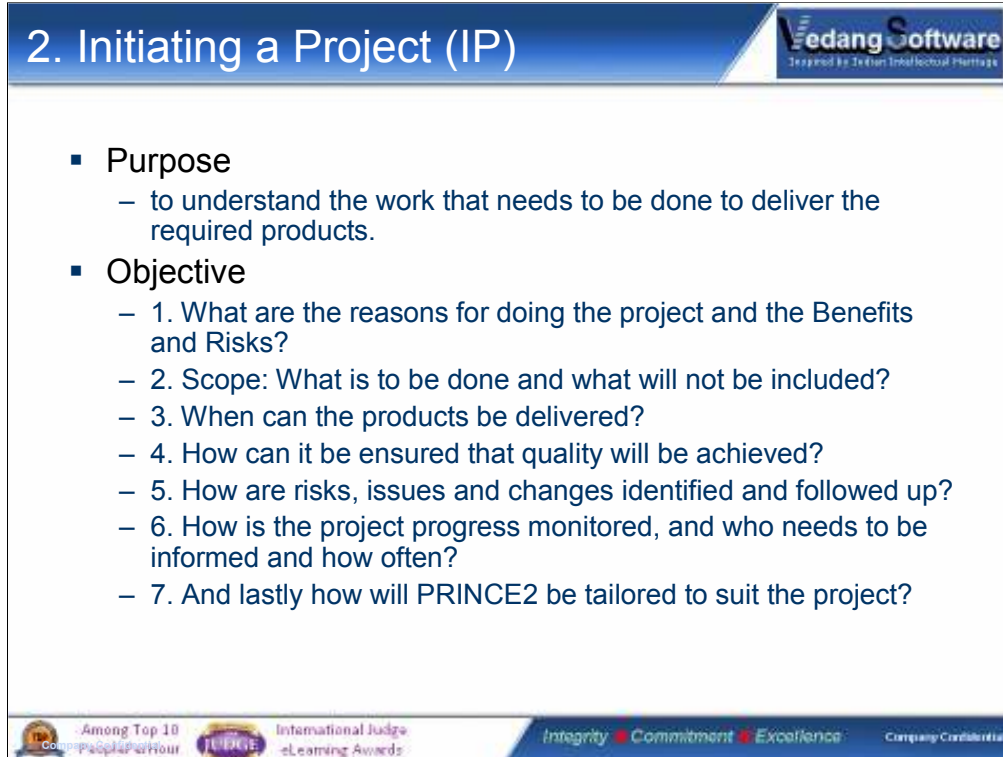
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## 2. Initiating a Project (IP)

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- **Purpose**
  - to understand the work that needs to be done to deliver the required products.
- **Objective**
  - 1. What are the reasons for doing the project and the Benefits and Risks?
  - 2. Scope: What is to be done and what will not be included?
  - 3. When can the products be delivered?
  - 4. How can it be ensured that quality will be achieved?
  - 5. How are risks, issues and changes identified and followed up?
  - 6. How is the project progress monitored, and who needs to be informed and how often?
  - 7. And lastly how will PRINCE2 be tailored to suit the project?

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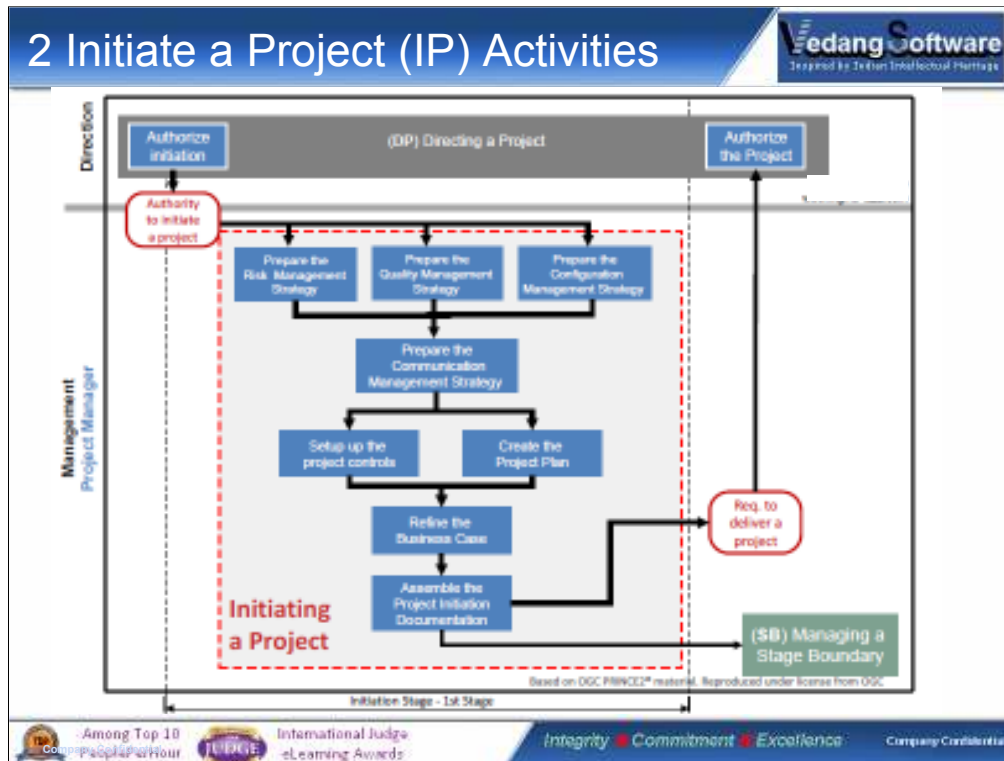
The purpose of the IP process is to understand the work that needs to be done to deliver the required products. This understanding is needed before deciding to continue with the project. Like any project there are a number of important items to discover, and so there are a number of questions to ask about the project:

1. What are the reasons for doing the project and the Benefits and Risks?
2. Scope: What is to be done and what will not be included?
3. When can the products be delivered?
4. How can it be ensured that quality will be achieved?
5. How are risks, issues and changes identified and followed up?
6. How is the project progress monitored, and who needs to be informed and how often?
7. And lastly how will PRINCE2 be tailored to suit the project?

The **objective** is to find answers to the above questions.

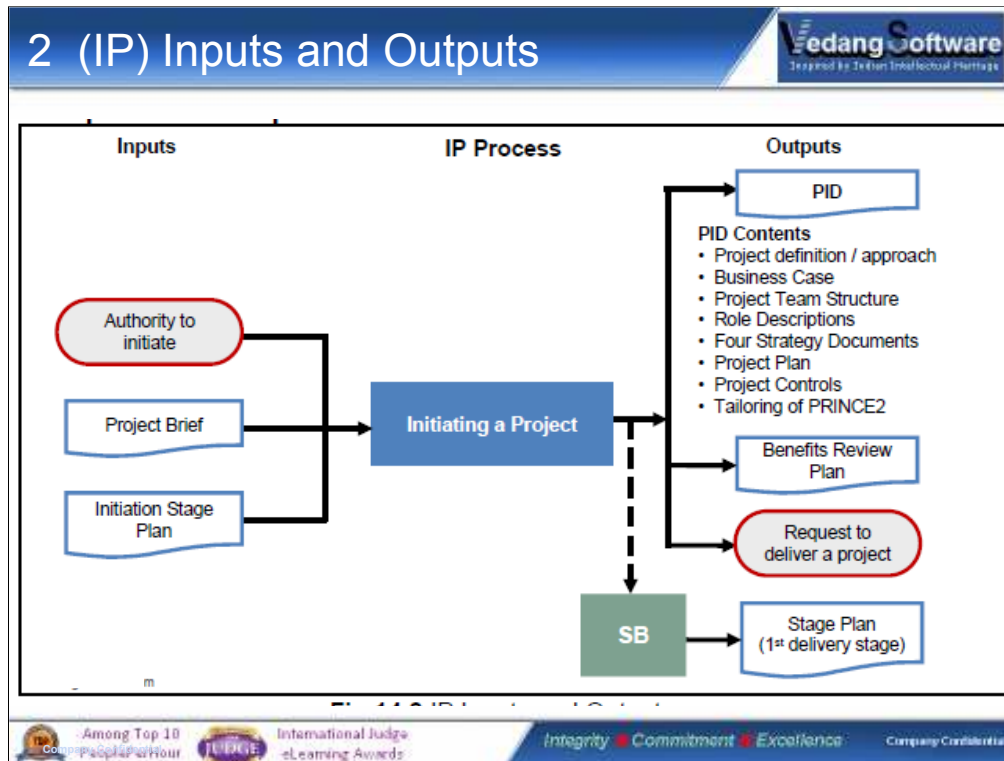
Let us put Initiating a Project into context and look at what it really does for the project. The Starting Up a Project Process checks if the project is viable, while Initiating a Project is about building a correct foundation for the project so that all stakeholders are clear on what the project will achieve. The alternative would be to allow projects to start after the “Starting Up a Project” process without knowing any of the following: *planning, milestones, cost and level of quality*. It is a bit like building a house on a little or no foundation.

Initiating a Project can be a big investment for a company but it's a necessary investment to plan and run the rest of the project. During Initiating a Project, the Project Manager will be creating a collection of management products to show: *how the project will be managed, the cost, how quality will be checked, planned, how communication will be done...*



PRINCE2 recommends 8 activities in the IP which are

- 1) Preparing the Risk Management Strategy, which will answer how to manage risk during the project (that is, how to manage the *rules of engagement* for risk).
- 2) Preparing the Configuration Management Strategy, which will give information on how to manage the products produced during the project.
- 3) Preparing the Quality Management Strategy, which will answer the question on how to ensure quality.
- 4) Communication Management Strategy, which will answer questions related to communication with stakeholders.
- 5) Setup of Project Controls, which will provide information on how the Project Board can control the project.
- 6) Creating the Project Plan, which covers cost, timescales, risks, and quality plan.
- 7) Refining the Business Case, which means to complete the Business Case.
- 8) Lastly, assembling the Project Initiation Documentation (PID), which is to collect and assemble information from most of the documents created to date.



### IP Inputs

- The Trigger is the “Authority to Initiate the Project” which comes from the Project Board
- The Project Brief comes from the SU process
- The Initiation Stage Plan comes from the SU process.

### IP Outputs (Main outputs)

- The four management strategy documents: Quality, Configuration Management, Risk and Communications (part of PID)
- The Project Management Team Structure and Roles Descriptions (part of PID)
- The Project Plan is a plan for the whole project created which includes all Products Descriptions (part of PID)
- The Business Case is the responsibility of the Executive and provides the information to justify the project. The Project Manager will most likely assist the Executive (part of PID)
- An overview of how the project will be controlled (part of PID)
- The Benefits Review Plan is an overview of what and when Benefits will be realized during and after the project, and who (Senior User) is responsible for these benefits
- **Note:** The 1st delivery Stage Plan is created in the SB process (*not* in the IP process)

### Request to deliver a project

- The final output of the IP process is a **request to the Project Board** to deliver the project or, in other words, to sign off on the PID and allow the project to continue.

2 IP Roles and Responsibilities	
<b>Project Board</b>	<ul style="list-style-type: none"> <li>• Approve all parts of the PID</li> </ul>
<b>Executive</b>	<ul style="list-style-type: none"> <li>• Create Business Case</li> <li>• Approve all parts of the PID</li> </ul>
<b>Senior User</b>	<ul style="list-style-type: none"> <li>• Provide information and resources for the Product Descriptions</li> <li>• Provide information for the Benefits Review Plan</li> </ul>
<b>Senior Supplier</b>	<ul style="list-style-type: none"> <li>• Approve parts of the PID (e.g., Project Plan, PMT)</li> <li>• Provide resources to help with planning</li> </ul>
<b>Project Assurance</b>	<ul style="list-style-type: none"> <li>• Review most of the information in the PID</li> </ul>
<b>Project Manager</b>	<ul style="list-style-type: none"> <li>• Create most of documents required for the PID</li> <li>• Create the Benefits Review Plan</li> </ul>
<b>Team Manager</b>	<ul style="list-style-type: none"> <li>• Assist with Planning (PBP, Estimating, etc.)</li> </ul>



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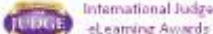
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3 Directing a Project (DP)



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- **Purpose:**
  - to enable the Project Board to be accountable for the project by making key decisions and to have overall control
- **Objective:**
  - to provide authority (to make a decision)
    - 1. to initiate the project (allow the Initiation Stage to start)
    - 2. to deliver the project's products (start the delivery stages).
    - 3. to close the project.

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Other objectives of the Directing a Project Process are to:

4. Provide direction and control during the project.
5. Be the interface to Corporate / Programme Management.
6. Ensure that post-project benefits will be reviewed.

Context:

Let us put the Directing a Project Process into context. What does Directing a Project Process really do for the project, how is the project triggered, how does the Project Board control the project, when do they give advice, and how do they communicate and check business justification.

It is a good idea to look at the Process Model Diagram to see how the Directing a Project Process interacts with the other processes.

#### **What is the trigger for the Directing a Project Process to start?**

It is the Request to Initiate a Project that is done by the Project Manager at the end of the Starting Up a Project Process. As you know, day-to-day management of the project is done by the Project Manager, while the Project Board looks down from above. They manage by exception, receive regular reports, exercise their control and make decisions.

#### **Where is it decided how often the Project Manager communicates to the Project Board?**

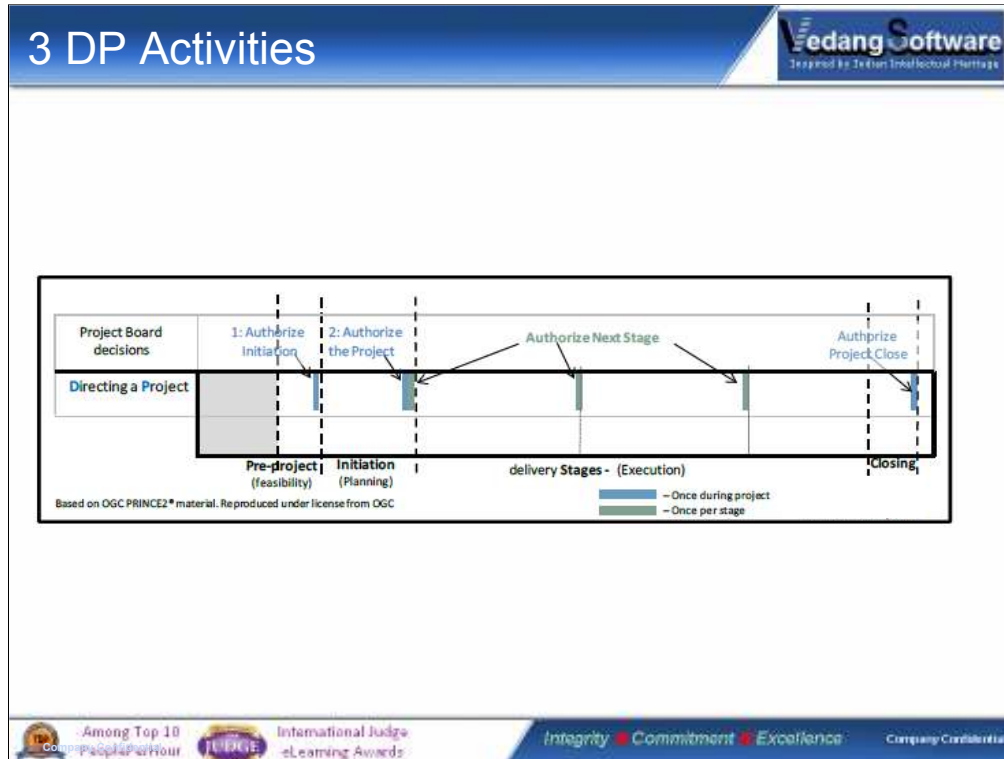
The Communication Management Strategy covers how often communication should be done between the Project Board and the Project Manager.

#### **What about advice?**

The Project Board provides guidance to the Project Manager throughout the project and the Project Manager can seek advice at any time.

#### **Business Justification**

The Project Board is responsible for ensuring that there is continued business justification and can decide to shut down the project if the Business Case is no longer viable, as this can change during the project.

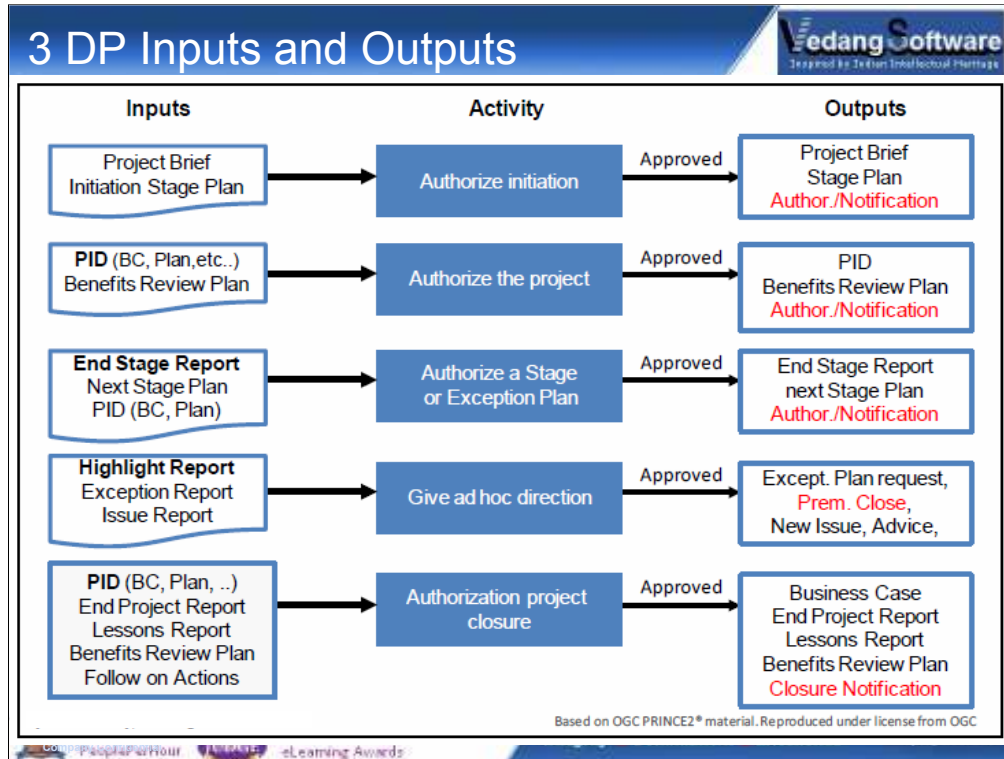


There are 5 activities within the Directing a Project Process; they are:

1. Authorizing Initiation – which is to allow the Initiation Stage to start
2. Authorizing the project – which is to allow the delivery stages to start.
3. Authorizing a Stage review the existing stage and authorize the next stage to begin, or to authorize exception plan to complete the current stage.
4. Giving *ad hoc* direction – Project Board provides guidance throughout the project.
5. Authorizing project closure – shut down the project after a number of checks.

The best way to show the Directing a Process activities is by using the Process Model Diagram.






As you read through the above diagram, remember the following,

- The Project Manager provides most of the information to the Project Board.
- Each Activity is a decision for the Project Board.
- The main outputs are Approvals, Authorizations and Notifications.


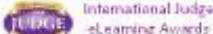
DP Roles and Responsibilities

Project Board takes All decisions

## 4 Controlling a Stage



- **Purpose**
  - for the Project Manager to assign the work to be done, monitor this work, deal with issues, report progress to the Project Board and take corrective action to ensure that the stage remains within tolerance.
- **Objective:**
  - to ensure that:
    - Attention is focused on the delivery of the products.
    - Keep Risks and Issues under control.
    - Keep the Business Case under review.
    - Deliver the products for the stage to the agreed quality within agreed cost and time and achieve the defined benefits.



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### Purpose

The purpose of the Controlling a Stage process (CS) is for the Project Manager to assign the work to be done, monitor this work, deal with issues, report progress to the Project Board and take corrective action to ensure that the stage remains within tolerance.

### Objective:

The objective of the Controlling a Stage Process is to ensure that:

- Attention is focused on the delivery of the products.
- Keep Risks and Issues under control.
- Keep the Business Case under review.
- Deliver the products for the stage to the agreed quality within agreed cost and time and achieve the defined benefits.

### Context

**Note:** Refer to the Process Model diagram when reading the following text.

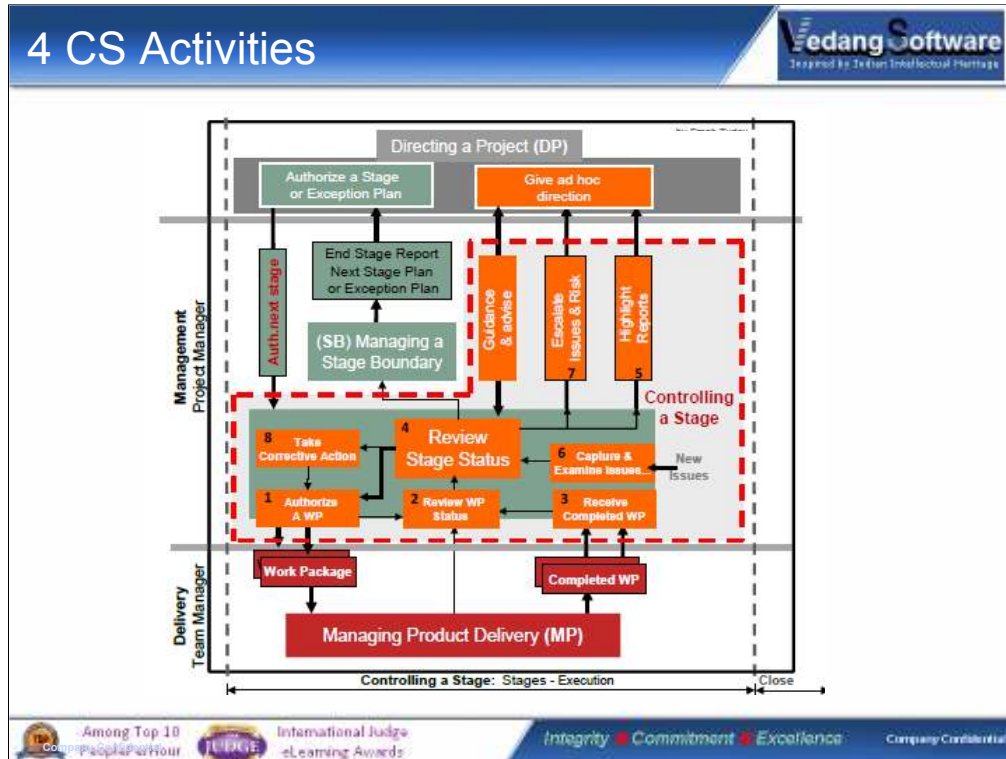
The Controlling a Stage process describes the work of the Project Manager as they do their day-to-day management of a stage, and it is where the Project Manager does most of their work.

During a stage the Project Manager will repeat the following tasks:

- Authorize the work to be done (give out work in Work Packages to the Team Managers)
- Monitor progress information for this work using Checkpoint Reports and Quality Register.
- Review the current situation in relation to the Stage Plan, sign off completed work and issue new Work Packages.
- Report to the Project Board using the Highlight Report.
- Watch for issues, assess issues and deal with issues and risks.
- Take any necessary correct action.

As mentioned above, the Project Manager will keep repeating these tasks until all the planned products for the stage have been completed and then start to prepare for the Stage Boundary process. This whole sequence of activities is again repeated for each stage in the project.

At the end of the last stage, the Closing a Project will be invoked and therefore, the Project Manager will start to prepare the project for closure.



There are 8 activities within the Controlling a Stage process and they are divided into 3 parts that also describe what the Project Manager does:

1. Work Packages
2. Monitoring and Report
3. Issues

**The Work Packages Activities are:**

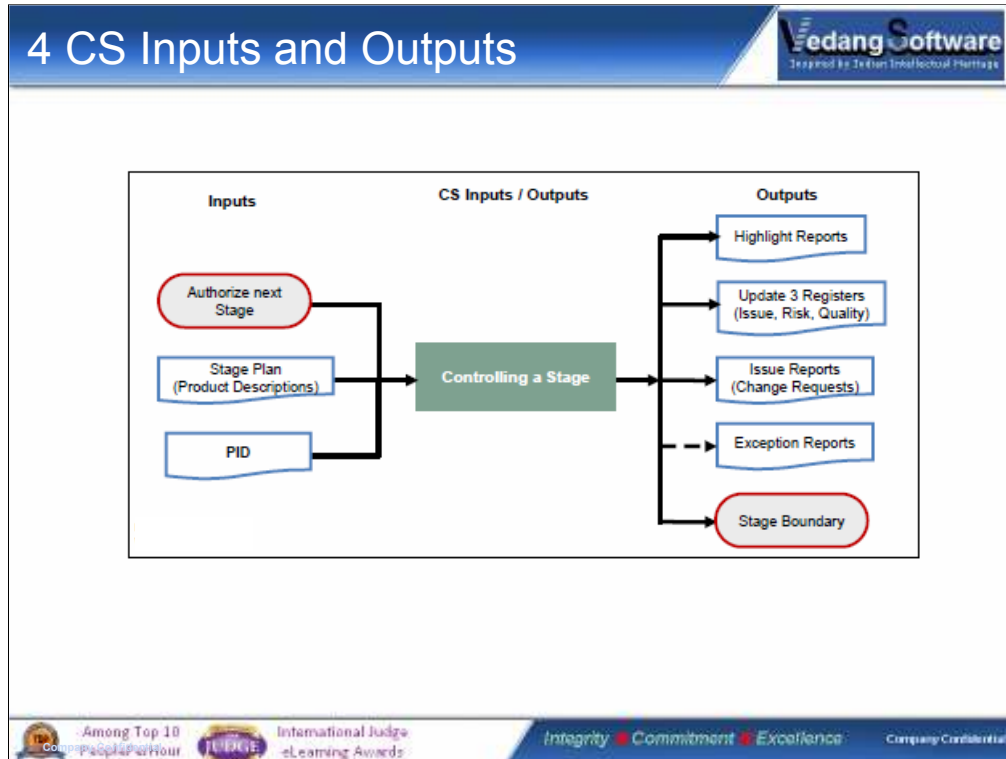
1. Authorize a Work Package – assign and agree with the Team Manager
2. Review Work Package Status – check on Work Package
3. Receive completed work package – check quality and Configuration Management

**The Monitoring and Reporting activities are:**

1. Review the stage status – continually compare status to Stage Plan
2. Report Highlights – regular reports to the Project Board

**The Issues activities are:**

1. Capture and examine issues & risks – categorizing and assess impact
2. Escalate issues and risks – create Exception Report and send to the Project Board
3. Take corrective action – solve issues while keeping stage within tolerance



### CS Inputs

- The trigger to start each CS process is the Authorization from the Project Board
- The main inputs are the Stage Plan and information in the PID

### CS Outputs


- Highlight Reports are used to keep the Project Board up to date on the stage progress
- The Project Manager constantly reviews Issues, Risk and Quality and therefore updates the Issue, Risk and Quality registers.
- Issue Reports (includes Change Requests) are used to escalate issues to the Project Board
- Exception Reports are used to report if the stage is or out of tolerance or is forecast to be.
- The Stage Boundary process is started near the end of the current stage

## 4 CS Roles and Responsibilities


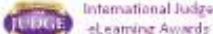



Role	Responsibilities
Project Board	<ul style="list-style-type: none"><li>• Give advice to Project Manager</li></ul>
Project Assurance	<ul style="list-style-type: none"><li>• Give advice to Project Manager</li></ul>
Project Manager	<ul style="list-style-type: none"><li>• All day-to-day activities are performed by the Project Manager</li><li>• Create or update all CS management documents</li></ul>
Team Manager	<ul style="list-style-type: none"><li>• Send Checkpoints reports (MP process)</li></ul>


## 5 Managing Product Delivery (MP)



- **Purpose**
  - to manage and control the work between the Project Manager and the Team Manager by placing certain formal requirements on the accepting, executing, and delivery of products.
- **Objective:**
  - to ensure that:
    - Products assigned to the team are authorized and agreed.
    - The team is clear about what has to be produced and understands the effort, time and cost.
    - The planned products are delivered to the expectations and within tolerance.
    - Accurate progress information is provided to the Project Manager by the Team Manager.





### **Purpose**

The purpose of the Managing Product Delivery Process is to manage and control the work between the Project Manager and the Team Manager by placing certain formal requirements on the accepting, executing, and delivery of products.

### **Objective:**

The objective of the Managing Product Delivery Process is to ensure that:

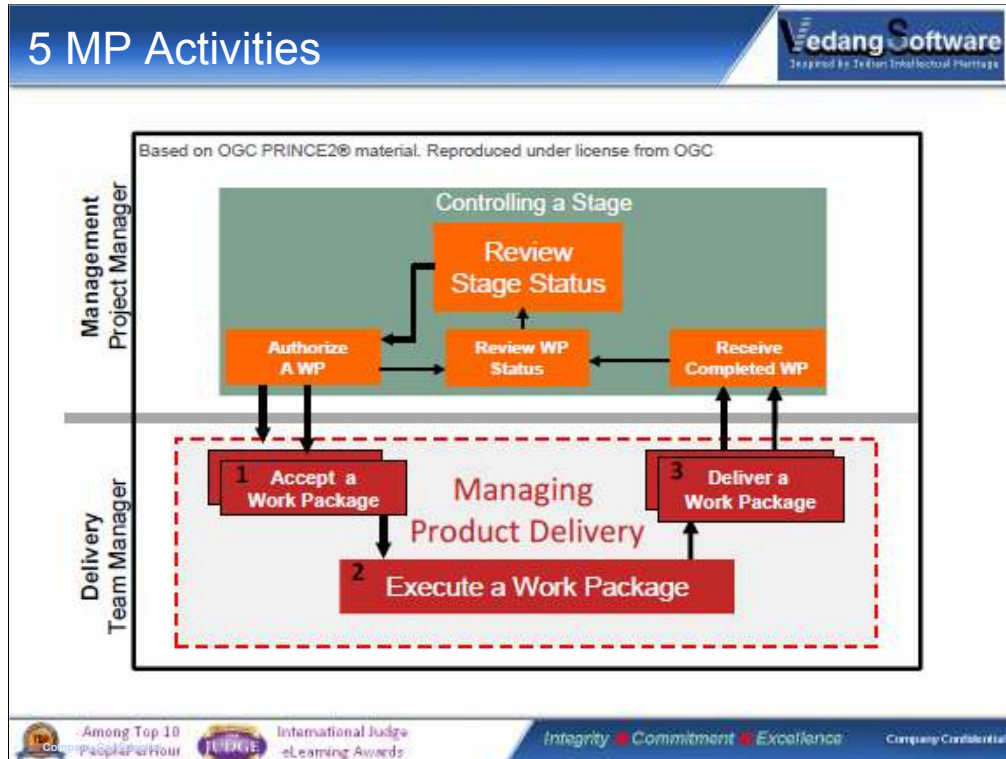
- Products assigned to the team are authorized and agreed.
- The team is clear about what has to be produced and understands the effort, time and cost.
- The planned products are delivered to the expectations and within tolerance.
- Accurate progress information is provided to the Project Manager by the Team Manager.

The Managing Product Delivery Process views the project from the Team Manager's point of view in the same way the Controlling a Project process is from the point of view of the Project Manager.

As you can see from the Process Model Diagram, the Managing Product Delivery Process only interacts with the Controlling a Stage process.

The Team Manager does the following to ensure that products contained in the Work Packages are created and delivered:

- Accepts and checks Work Packages from the Project Manager
- Creates a Team Plan to show how these products will be developed.
- Gets the products developed (executes the products)
- Demonstrate that products meet their quality criteria (**Tip:** Use Quality Review Meeting.)
- Obtains approval for each product.
- Delivers the completed Work Packages to the Project Manager.



There are just three activities in Managing Product Delivery, and they are:

1. Accepting a Work Package    Accept
2. Executing a Work Package    Do
3. Delivering a Work Package    Deliver

The Managing Product Delivery Process views the project from the Team Manager's point of view:

- Accepting a Work Package:

The Team Manager accepts the Work Package from the Project Manager and creates the Team Plan to manage the development of the products.

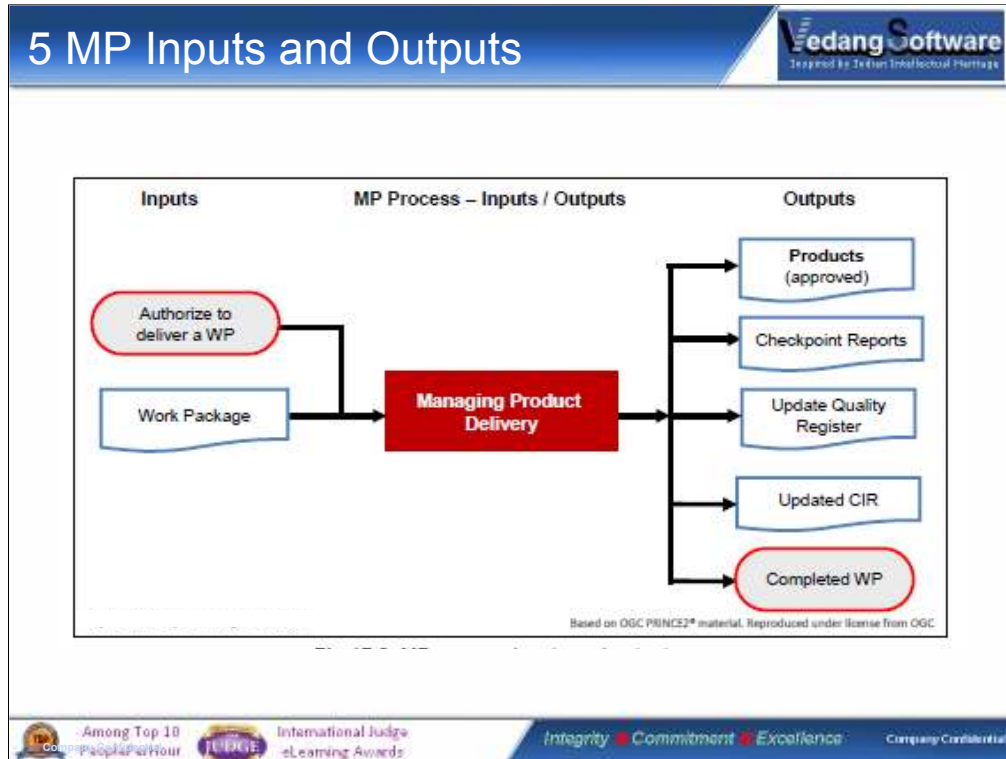
- Executing a Work Package:

The team produces the products, requests the quality checks, obtains approval, and reports to the Project Manager using the Checkpoint Report.

- Delivering a Work Package:

Deliver a Work Package is delivering proof that the products are complete.

This involves ensuring that the Quality Register is updated, that approvals are done, that products are delivered as described in the Configuration Management Document, and that the Project Manager is notified



### MP Inputs


- The Authorization to deliver a Work Package comes from the Project Manager.
- The Work Package contains the information required by the Team Manager (for example, Product Descriptions, which include the quality criteria, tolerances, description of work, etc.)

### MP Outputs


- **Checkpoint Reports** are created regularly by the Team Manager to keep the Project Manager informed on the progress of the Work Packages.
- **Quality Register** is updated when products have passed or failed their quality tests. The Project Manager can also view the Quality Register to check on the MP process.
- Update **CIR**: The status of products will change so the CIR documents must be updated (e.g., Status can change from “*To develop*” to “*Developed*” to “*Quality Tested*”, etc).
- **Approved Products**, these are the products that have been created and delivered. They will be handed over as described in the Configuration Management Strategy document.
- Completed Work Package is the notification sent by the Team Manager to the Project Manager to advise them the Work Package is complete



## 5 MP Roles and Responsibilities



- **Project Manager**
  - Authorizes Work Packages (CS process)
  - Reviews Checkpoint Reports and Quality Register (CS process)
- **Team Manager**
  - · Manages the development of the products
  - · Sends Checkpoints reports



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## 6 Managing a Stage Boundary (SB) Vedang Software Trusted by Indian Intellectual Property

- **Purpose:**
  - 1. The Project Manager has to provide the Project Board with an overview of the performance of the current stage, update the Project Plan and Business Case, and create a Stage Plan for the next stage.
  - 2. This information will enable the Project Board to review the current stage, approve the next stage, review the updated Project Plan, and confirm continued business justification.
- **Objective:**
  - Assure the Project Board that all products in the current stage are produced and **approved**.
  - Review and update, if necessary, the usual documents, which are the Project Initiation Documentation, **Business Case**, **Project Plan**, and Risk Register.
  - Record any lessons in the Lessons Log that can help in later stages or in future projects.
  - Prepare the Stage Plan for next stage and Request Authorization to start the next stage.

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**Purpose:** The purpose of Managing a Stage Boundary Process has two parts:

1. The Project Manager has to provide the Project Board with an overview of the performance of the current stage, update the Project Plan and Business Case, and create a Stage Plan for the next stage.
2. This information will enable the Project Board to review the current stage, approve the next stage, review the updated Project Plan, and confirm continued business justification.

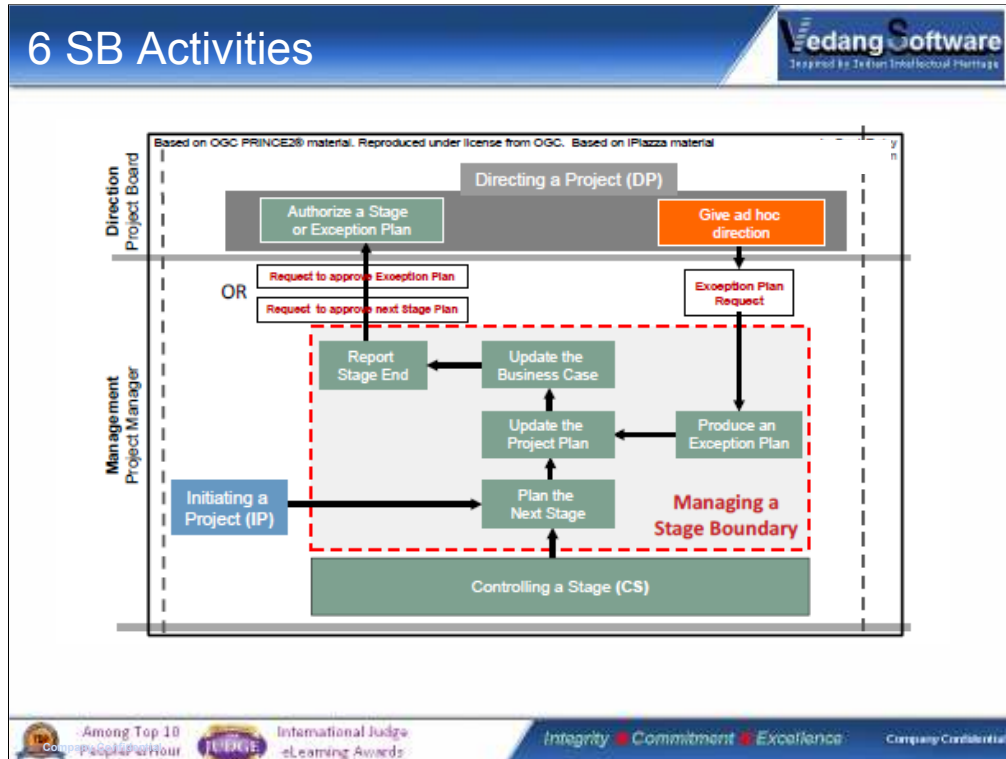
**Objective:** The objective of the Managing a Stage Boundary Process is to:

- Assure the Project Board that all products in the current stage are produced and **approved**.
- Review and update, if necessary, the usual documents, which are the Project Initiation Documentation, **Business Case**, **Project Plan**, and Risk Register.
- Record any lessons in the Lessons Log that can help in later stages or in future projects.
- Prepare the Stage Plan for next stage and Request Authorization to start the next stage.

Remember that Managing a Stage Boundary begins near the end of the current stage and before the next stage. If the current stage is forecast to go out of tolerance, then the Project Manager will create an Exception Plan instead of a next Stage Plan, and the Project Manager will request to complete the current stage instead of asking to continue with the next stage.

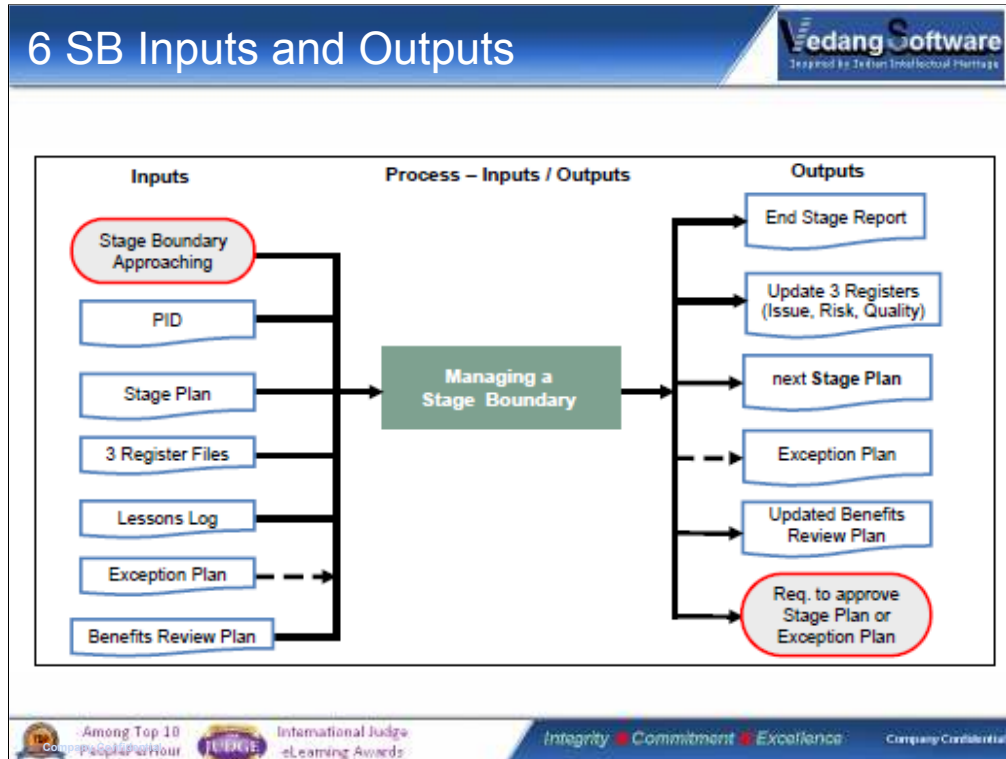
It is important to remember that a decision to shut down the project should not be seen as a failure.

It is the correct thing to do if the project becomes too costly, risky, unjustifiable, etc.



There are 5 activities within the Managing a Stage Boundary, and they are:

1. Planning the next stage
  - o Create the next Stage Plan and use Product-Based Planning
  - o Team Managers, specialists may help with products' descriptions, estimating, etc.
2. Update the Project Plan
  - o Confirm what has been done (actuals) and forecast planning for the next stage.
3. Update the Business Case
  - o Business Case must be updated with the latest costs of the last stage, plus up-to-date forecast for the next stage. It will be used by the Project Board.
4. Report Stage End or
5. Do the "Produce an Exception Plan" activity in this process



### SB Inputs

- **Stage Plan:** The End Stage is created from the current Stage Plan
- **Project Plan:** The Next Stage Plan will use the Project Plan (PID)

### SB Outputs

- The next Stage Plan or Exception Plan is created
- The End Stage Report gives an overview of how well the stage performed

### Request to Project Board

- The last thing the Project Manager will do is to send a request to the Project Board to continue with the next stage or go back and complete the current stage

## 6 SB Roles and Responsibilities



- **Project Manager**
  - Creates or Updates all SB documents
- **Team Manager**
  - Can assist Project Manager in all planning activities



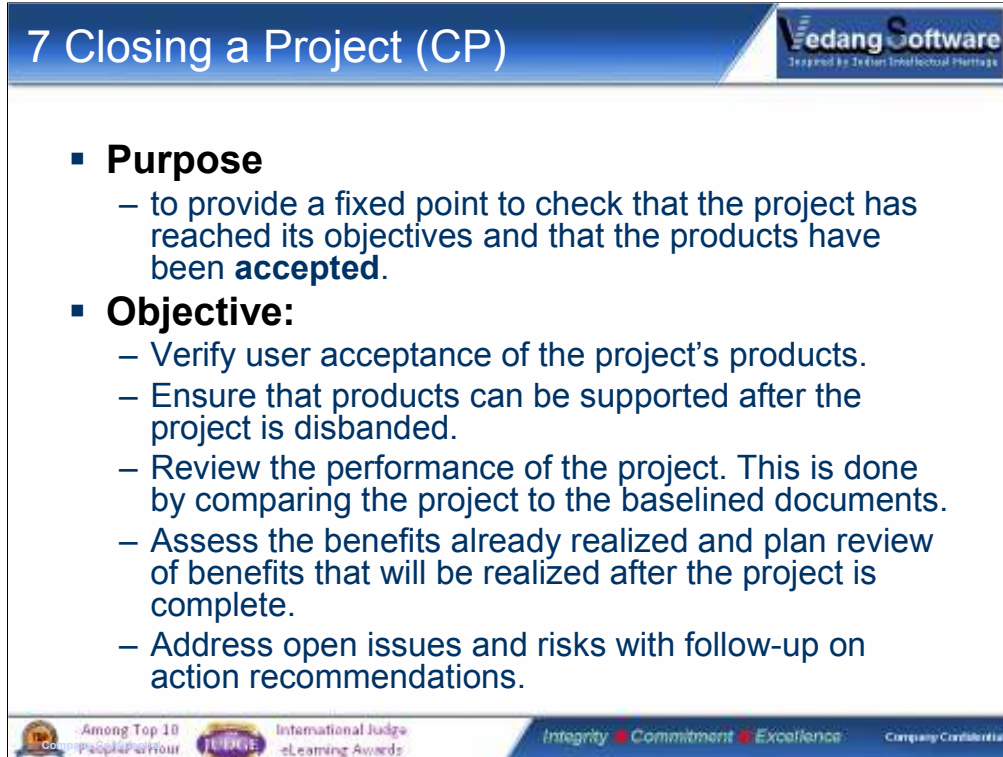
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## 7 Closing a Project (CP)

**Purpose**

- to provide a fixed point to check that the project has reached its objectives and that the products have been **accepted**.

**Objective:**

- Verify user acceptance of the project's products.
- Ensure that products can be supported after the project is disbanded.
- Review the performance of the project. This is done by comparing the project to the baselined documents.
- Assess the benefits already realized and plan review of benefits that will be realized after the project is complete.
- Address open issues and risks with follow-up on action recommendations.

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This information is then given to the Project Board, as it is the Project Board that closes the project; the Project Manager only *prepares* the project for closure. As you can guess, it is the Project Manager that does all the activities in the Closing a Project Process.

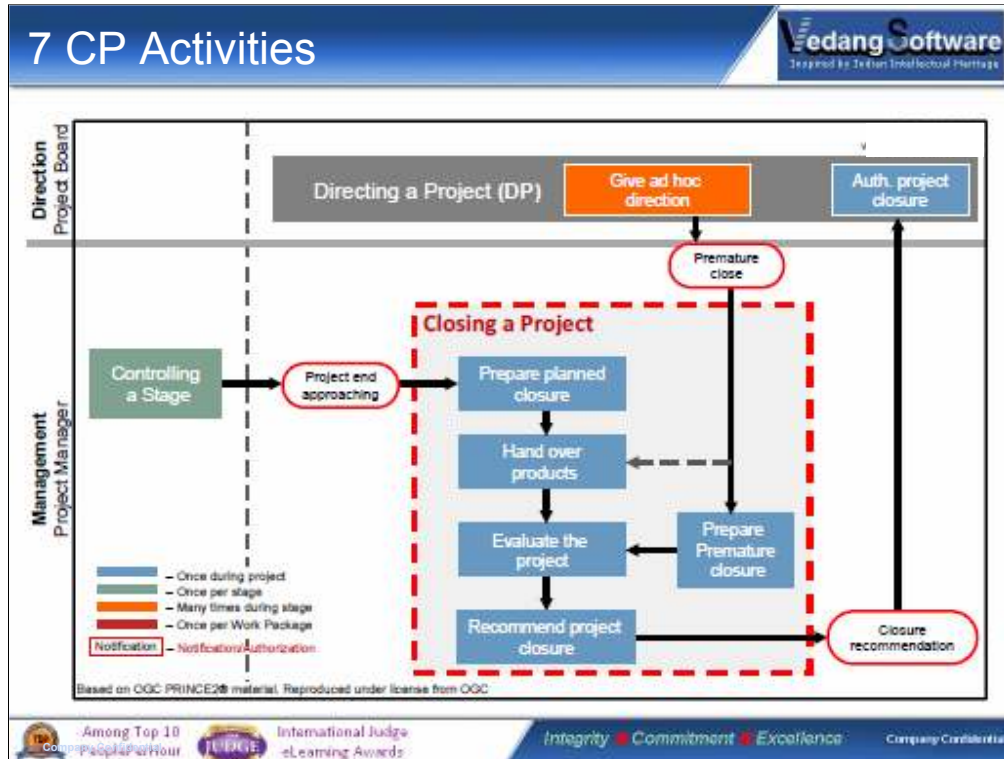
Projects can be closed naturally when all the work has been done, or the Project Board can request a Premature Close.

If you look at the Process Model diagram, you will see that the Closing a Project Process is the last process on the management level and therefore the last process for the Project Manager to work on. It is good to remember that the Closing a Project Process is the last part of the last stage of the project.

The project should have a clear end with a correct handover of information and responsibility. A clear end to the project means the following:

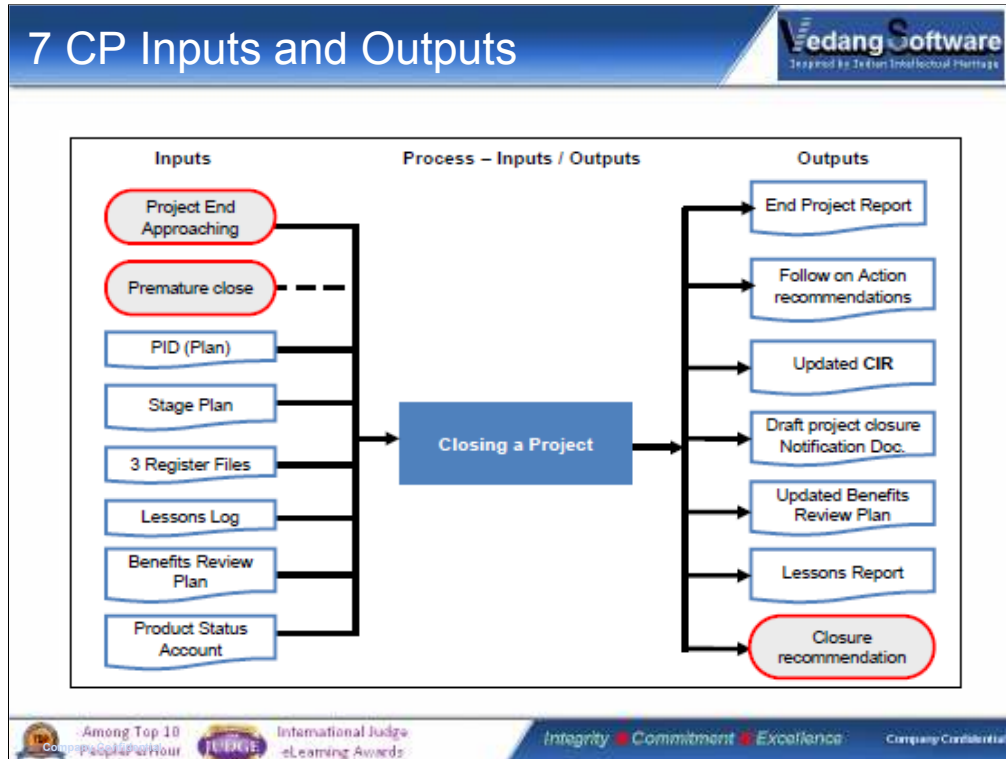
- Check that the original objectives have been met.
- Transfer ownership of products to the customer.
- Identify all unachieved objectives so that they can be addressed in the future.
- Disband the project team and make certain that costs can no longer be incurred by the project.

The Project Manager prepares for the project to be closed and provides the necessary information to the Project Board. It is the Project Board that then makes the decision to close the project. In fact, they call it “*Authorize Project Closure*.”



There are 5 activities in the Closing a Project Process for the Project Manager and they are:

1. Preparing planned closure
  - o Confirming the completion and acceptance of products.
2. Preparing premature closure (optional):
  - o Done instead of the “Prepare planned closure” if requested by the Project Board.
3. Handover of products:
  - o Hand over products to customer, as described in the Configuration Management Strategy document.
4. Evaluating the project:
  - o Compare the project objectives with the actuals and write the End Project Report.
5. Recommending project closure,
  - o Send a notification to the Project Board to close the project.



### CP Inputs


- As you can see, there are two triggers for the CP Process: a *natural close* towards the end of the project and a *premature close*, which comes from the Project Board.
- All other input documents are used (see the diagram), as the Project Managers wants to create an End Project Report and prepare the project for closure.

### CP Outputs


- Lessons Report:
  - o This information will come from the Lessons Log
  - o These lessons will be valuable to future projects and are given to the Project Board
- Follow on Recommendations
  - o These are comments that are given to the persons who will support the products
  - o The information comes from the Issue Log (outstanding comments, requests, etc.)
- Updated CIR (Configuration Item Records)
  - o Make sure the all product CIR documents are up to date
- Draft Closure Notification
  - o This is prepared by the Project Manager for the Project Board
  - o The Project Board will use this to notify stakeholders that the project is closed
- Updated Benefits Review Plan
  - o The Project Manager updates the plan to plan the Benefits reviews that should take place after the project is closed. Corporate or Programme Management will follow up on this Benefits Review.
- End Project Report
  - o This is a report on the performance of the project
  - o The Project Manager will use the Project Plan, Business Case and most other information in the baselined PID to create this End Project Report.



## 7 CP Roles and Responsibilities



- **Project Manager**
  - Create or update all CP management documents.
  - End Project Report, Lessons Report, Benefits Review Plan, etc.
- **Team Manager**
  - Assist the Project Manager (CIR documents, all records, etc.)



# Any Questions?

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graph TD; Q{Questions?} -- Y --> AK{Answer Known?}; Q -- N --> TA[Thank Audience]; AK -- Y --> A[Answer]; AK -- N --> WGBT[Will get back to you on this]; WGBT --> TA; TA --> L[Leave]; A --> Q;
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