

From: official information
Sent: Monday, 24 January 2022 10:29 am
To: [REDACTED]
Cc: official information
Subject: Final Response: LGOIMA 21423 - [REDACTED] - Primary source(s) of guidance used by project managers in the initiation and management of projects
Attachments: Hamilton City Council - Project Management Framework.pdf; HCC Project Management - Planning and Consenting Monthly Status Report Template.pdf; HCC Project Management - Planning and Consenting Framework.pdf

Kia Ora,

I refer to your **information request below**, Hamilton City Council is able to provide the following response.

1. *Could I please be supplied with your internal guidance to your project management framework? This could be a manual or other document explaining or otherwise setting out the wider process that Council projects go through from conception/idea to closure or evaluation/review.*

Please find attached a copy of Hamilton City Councils – Project Management Framework (PMF).

2. *Could you please supply me with the primary source(s) of guidance that your project managers use in the initiation and management of projects? I expect that when a new project is initiated there is some sort of checklist or list used to ensure that any relevant authorities, consents or notices are applied for or served on time. The document(s) that I am looking for would list and possibly provide guidance around things such as Heritage NZ Archaeological authority, LINZ crown-owned land use approval, resource consents, land entry agreements, private land sale & purchase agreements, surveying notices or tree/bush encroachment notices. The list would have been made as summary of legislation such as the Heritage NZ Pouhere Taonga Act 2014, Local Government Act 2002, Local Government Act 1974, Land Act 1948, Public Works Act 1981, Reserves Act 1977, Resource Management Act 1991, Wildlife Act 1954, Conservation Act 1987, Fencing Act 1978, as well as relevant regulations such as plans and national policy statements.*

Further to the guidance provided in the PMF, for projects and programmes of work which involve the creation of new assets like a pipe, park, building or road – please refer to the attached 'Planning & Consenting Status Report' and 'Planning & Consenting Framework'. Both provide further guidance to ensure that any relevant authorities, consents or notices are applied for or served on time throughout the project lifecycle.

You have the right to seek an investigation and review by the Ombudsman of this decision. Information about how to make a complaint is available at www.ombudsman.parliament.nz or freephone 0800 802 602.

Kind Regards,

Tatiyana | Official Information & Legal Support Advisor
Legal Services & Risk | People and Organisational Performance
Email: officialinformation@hcc.govt.nz



Hamilton City Council | Private Bag 3010 | Hamilton 3240 | www.hamilton.govt.nz

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From: [REDACTED]

Sent: Thursday, 23 December 2021 4:18 pm

To: official information <officialinformation@hcc.govt.nz>

Subject: Re: LGOIMA 21423 - [REDACTED] - Primary source(s) of guidance used by project managers in the initiation and management of projects

Hi [REDACTED]

I apologise about the timing of this request. I hope that you're looking forward to a break.

For the request, I am referring to capital projects. The sort of projects that create an asset like a pipe, park, building or road. If you do not use a single project management framework and/or checklist across Land & Transport, Parks, Property and Water & Drainage, etc teams please send all that meet the description of my original request.

All the best,
[REDACTED]

On Thu, Dec 23, 2021 at 1:59 PM official information <officialinformation@hcc.govt.nz> wrote:

Kia Ora,

As per our right under LGOIMA – we are requesting clarification around your request.

We are requesting clarification because Hamilton City Council is a large organisation consisting of many different teams and areas that carry out unique “projects”.

This means that there is no specific source for your request as it stands.

If possible, could you clarify exactly what kind of projects you are referring to? i.e. is there a specific project you have in mind?

Please note, if we cannot clarify your request this may be refused as per LGOIMA 17A.

Also note, under LGOIMA 13 (7) and (8) – our deadline date will be extended from the date that you reply to this request for clarification.

You have the right to seek an investigation and review by the Ombudsman of this decision. Information about how to make a complaint is available at www.ombudsman.parliament.nz or freephone 0800 802 602.

Kind Regards,

Official Information & Legal Intern

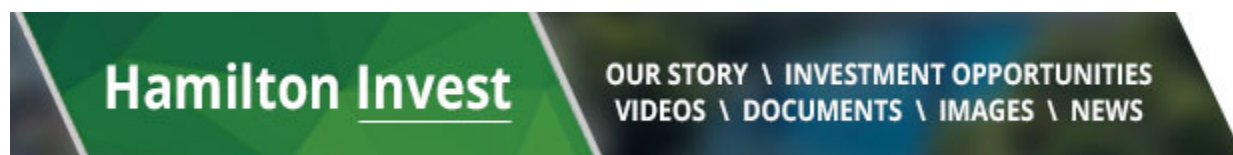
Legal Services & Risk | People and Organisational Performance

Email: officialinformation@hcc.govt.nz



Hamilton City Council | Private Bag 3010 | Hamilton 3240 | www.hamilton.govt.nz

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From: [REDACTED]
Sent: Wednesday, 22 December 2021 10:17 am
To: official information <officialinformation@hcc.govt.nz>
Subject: Project Manager Guidance Official Information Request

12/22/2021

Dear Hamilton City Council,

I hope that you're having a great day. I have two official information requests.

Could you please supply me with the primary source(s) of guidance that your project managers use in the initiation and management of projects? I expect that when a new project is initiated there is some sort of checklist or list used to ensure that any relevant authorities, consents or notices are applied for or served on time. The document(s) that I

am looking for would list and possibly provide guidance around things such as Heritage NZ Archeological authority, LINZ crown-owned land use approval, resource consents, land entry agreements, private land sale & purchase agreements, surveying notices or tree/bush encroachment notices. The list would have been made as summary of legislation such as the Heritage NZ Pouhere Taonga Act 2014, Local Government Act 2002, Local Government Act 1974, Land Act 1948, Public Works Act 1981, Reserves Act 1977, Resource Management Act 1991, Wildlife Act 1954, Conservation Act 1987, Fencing Act 1978, as well as relevant regulations such as plans and national policy statements.

Could I please be supplied with your internal guidance to your project management framework? This could be a manual or other document explaining or otherwise setting out the wider process that Council projects go through from conception/idea to closure or evaluation/review.

If you need any more information from me please let me know as soon as possible.

You can contact me via my email. wierda.andrew@gmail.com

All the best,

[Redacted signature]

Project Management Framework

HCC Guide to Project Management

CM document number: D-3196491

Document Control

Version	Author	Description of Change	Date
1.0			Dec 2019
2.0		Peer review changes	May 2020

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Using this framework

What is a framework?

A framework does *not* attempt to define every aspect of project management or offer a prescriptive step-by-step approach to the entire project lifecycle. Rather, a framework is designed to provide standards and guidance for the critical elements of project management, and to set the minimum requirements that senior management and project sponsors and business owners can expect from any project, regardless of size, cost or complexity.

Purpose of this document

The purpose of this document is to provide a standard approach in project management that incorporates best practice, HCC experience and current practice. Through purposeful application of the Framework, project delivery can achieve consistency and best practice across HCC. This document provides staff with an understanding of the fundamental project life cycle processes. It is supported by forms, templates, processes and training which can be accessed through the PMO's page on Velocity <http://intranet.hcc.govt.nz/our-business/groups-and-units/development/PMO/Pages/default.aspx> and through Promapp processes - see Appendix E.

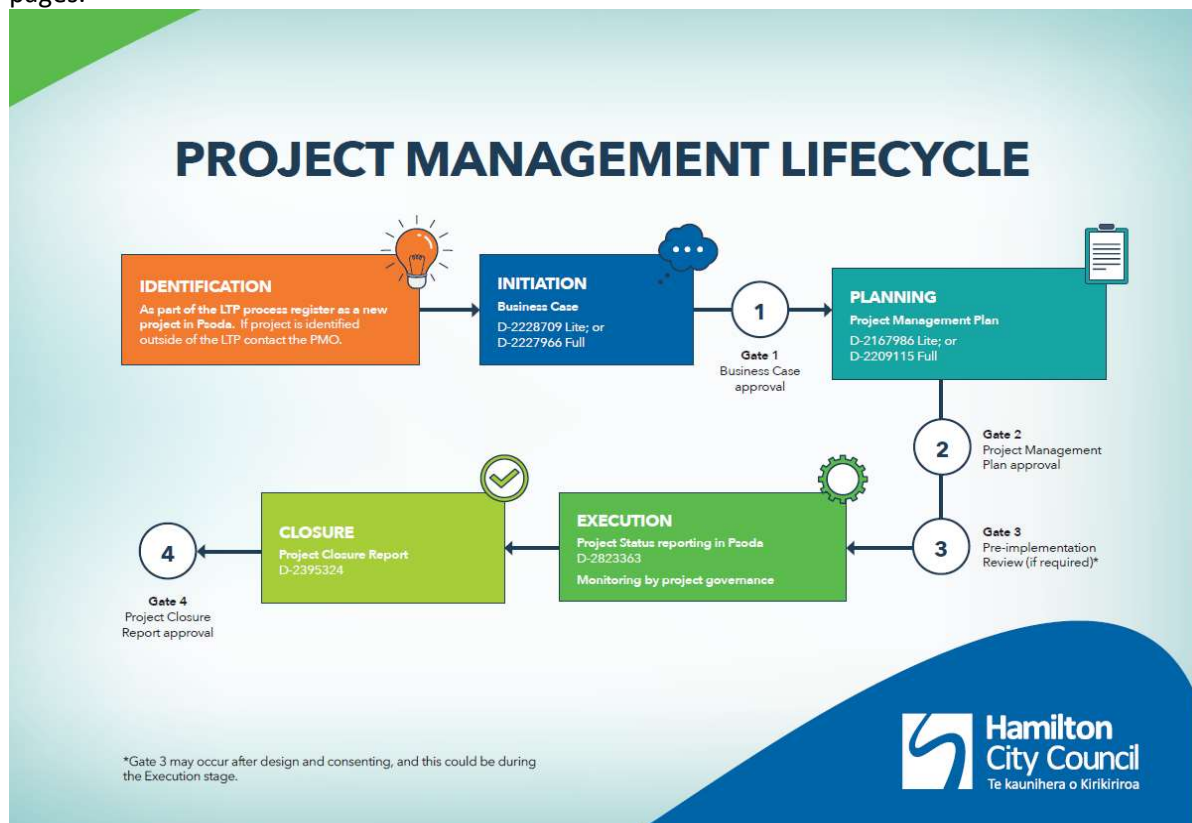
Scope

This manual includes guidance for:

- all Capital Projects
- all Operational Projects
- all work identified under the Renewals and Compliance Programme
- all work identified as new/emerging (break-in) i.e. outside the above categories

Project management methodology

The following diagram shows the lifecycle stages for projects and is the basis of HCC's project management methodology. Further information on stages and gates is provided in the following pages.



Project stages

The focus of each project stage is shown in this table and expanded further in the following pages. Roles and responsibilities by stage are summarised in Appendix A.

Stage	Activity focused on
Identification	The initial work to ensure the project is a likely strategic fit. At this stage, basic project information is registered in Psoda to ensure it is visible for decision makers. Most projects are identified and form part of the Long Term Plan (LTP).
Initiation	Covers what, why, when, who, how and how much (i.e. defining objectives, benefits identification, options assessment and funding requirements)
Planning	How will the project be delivered, what is the approach, scope and objectives, resourcing, timeframes, budget, risk and issues, governance
Execution	Delivering the project outcomes and project monitoring to ensure nothing unexpected has happened during the course of the project to threaten its continued viability or achievement of the expected benefits.
Closure	Ensure project/assets are accepted by stakeholders, and project closure is authorised. Realisation of benefits will continue after closure.


Tools and support

Definition of a project

A project is a temporary endeavour/activity with a beginning and an end. It creates a unique product, service or result. Business as usual or operational work on the other hand is ongoing i.e. has no end and is therefore not a project.

Support for Project Managers

The Portfolio Management Office (PMO) provides key project management (PM) resources to the organisation in the form of:

- best practice project and programme management
- application of tools
- training, support and mentoring
- governance participation
- project crisis management
- a community of practice ('PM Better Together')
- coordination and support for project managers.
- Promapp processes indicated by this symbol 

Roles and responsibilities

The main project roles at HCC are:

- Business Owner
- Project Sponsor
- Project Manager
- Steering Group
- Programme Manager/Unit Manager (optional)

Definitions of each role is provided in the HCC Roles and Responsibilities Definition document [D-3161943](#).

Project Management tool

HCC's project management tool is *Psoda* (pronounced soda) which is a NZ-owned software product. All capital projects are to be managed through Psoda, with significant operational projects currently having the option. User guides are available in [D-2823363](#) or contact the PMO for training.

Templates

A range of templates is available on the PMO webpage on Velocity <http://intranet.hcc.govt.nz/our-business/groups-and-units/development/PMO/Pages/default.aspx>

The templates can be modified to suit the project however most projects will require all sections to be completed. For support please contact the PMO team.

Lite and Full

When choosing between a Lite and Full Business Case consider the guidance in Appendix D. Default to the Full Business Case if several areas meet the Full criteria. The templates can be mixed and matched e.g. if the most areas of the project match with Lite, but there are some concerns in a particular area include more specific detail.

Standards

Accuracy of reporting

Reporting of relevant information is critical and project managers must operate in best faith by reporting openly and appropriately. For example it is more acceptable to report a risk that you can foresee than a major issue that could have been prevented. See your Programme Manager or the PMO for guidance.

Adaptation

Across HCC, projects vary considerably in size, complexity, risk, cost and public interest. We encourage the methodology to be tailored for the size of the project as long as minimum requirements are met as per this Framework. A project manager should judge the extent of documentation and management required against the project's risk factors.

Record keeping

All project documentation should be kept in Content Manager (CM), not just final documents. Project managers should not save documents on their personal drives (L: or W:) and should use a dedicated folder relating to the project. Large projects should consider a suitable folder structure so that document integrity and traceability is maintained. Contact the PMO for advice.

A standard naming convention should be applied to project documents – see the PMO webpage for guidance

<http://intranet.hcc.govt.nz/our-business/groups-and-units/development/PMO/Pages/Setting-up-a-Project.aspx>

Risk management

All projects require a risk register which is held on Psoda. A Project Risk Framework is available to guide project managers in assessing the consequence, likelihood and level of risk. Refer to [D-2729329](#) or download from the PMO website.

A Risk Identification Workshop Guide [D-3247909](#) provides information on hosting a session to identify an initial risk register. This is useful at the commencement of large projects in particular. Even if a workshop is not held, the project manager should create an initial risk register in Psoda.

Change management

The process to manage changes to a baseline/approved project document is outlined as follows:



Promapp process “Project Changes – identify and manage”.

Benefits management

A guide is under development. In the meantime please contact the PMO for advice.

Lessons learned

Lessons should be actively sought out by the project manager at each stage of the process. This ensures that we continue to learn from previous projects and avoid costly mistakes in the future. A template is available to guide discussions in a lessons learned workshop [D-2326779](#). These should also be recorded in Psoda.

Contract management

This document does not discuss contract management which is a separate discipline although we recognise that it can form a large part of a project manager's daily workload. For support with managing a contract, contact the Procurement team.

Approval processes

HCC's portfolio of projects is governed by Programme Steering Groups - see governance diagram [D-3255111](#). Some large projects also have a separate project board whose role is to manage (as opposed to govern) the project.

Terms of Reference (TOR) are available for Steering Groups in Content Manager. For a sample TOR see [D-2807806](#) or contact the PMO.

Steering Groups at HCC

A Steering Group is the governing body which ensures that the project/programme's objectives are being met. Each Steering Group has a focus area as follows:

1. Renewals and Compliance Programme plus sub-programmes:
2. Citywide Waters
3. Transport Improvement
4. Rototuna, Rotokauri and Ruakura
5. Citywide Community
6. Rubbish and Recycling
7. Peacocke Governance
8. City Planning

Steering Group responsibilities

- Ensure the goals of the programme are aligned to the organisation's strategic vision, and capital portfolio objectives and benefits
- Provide oversight and monitoring so programme benefits are planned, measured and achieved
- Authorise appropriate funding and resources across the programme
- Monitor opportunities for savings and revenue across the programme
- Escalate risks and issues outside the members' delegations to the Capital Investment Board
- Ensure engagement of key stakeholders and that stakeholder requirements are being met
- Approve project gate progression e.g. project management plans, Business Cases, procurement plans, project closure
- Approve escalated project changes
- Ensure appropriate project and programme risk and issue management
- Authorise Project Closure

Gates

A series of gates or approval stages has been created to support successful project execution/delivery. The purpose of the gates is to provide a quality assurance review and ensure that documentation has a formal sign off. See Appendix C for more information about the Gate process.

A summary of the gates at each stage is in Appendix B.

Project stages

STAGE 1 - IDENTIFICATION

Identification is the first stage in the establishment of a project. A project is required if it will deliver benefits the organisation requires and has a strategic fit. Most projects are identified during the long term planning process and therefore have an allocated budget in the Long Term Plan (LTP).



Occasionally projects arise outside of the Long Term Plan and will be funded outside of it through:

- Savings from other projects; or
- Annual Plan process; or
- Special approval from appropriate manager or Council.

Governance

The governance of the project should be identified including: business owner, sponsor, project manager and programme manager (optional). Fuller information on the governance structure will be required in the Planning stage however it is important to know who the key individuals are at the outset. A careful and considered approach to assigning roles and responsibilities is required to ensure that the right people are in place with the authority, responsibility and knowledge to make decisions on project matters and to provide control over the project in a timely manner.

The Full Project Management Plan template includes a section for the project governance structure. Also see Appendix F.

Documentation

A project identified during the LTP process will require project information including objectives and budget to be entered into the *planning* module of Psoda. The projects in Psoda will be assessed and some will require a lite Business Case as part the LTP approval process.

For a project identified outside of the LTP process, the project information will be included in the *delivery* module of Psoda before it is approved to proceed to the Initiation Stage. Talk to the PMO team for advice.

Gate

There is no gate between project identification and project initiation.

Roles and responsibilities for Identification stage

Business owner	Sponsor	Project Manager	Steering Group
Appointed to role	Appointed to role	Appointed to role	Appointed to role

STAGE 2 - INITIATION

During Initiation, the Business Owner develops the case for change by demonstrating the link to organisational strategic objectives and puts forward the potential options for delivering on the objectives of the project. This is communicated through the Business Case.



Refer to Promapp process “Project management procedure”

Governance

The roles and responsibilities proposed in the Identification stage should be reviewed at the start of this stage and any changes approved by the relevant Programme Steering Group or at least the Sponsor.

The main governance role at this stage is approval of the Business Case after:

- review by the project sponsor; and
- review by the business owner; and
- Gate Review Committee endorsement (see Appendix C).

Documentation

The **Business Case** is the key document and once it is approved it becomes a baseline document.

Renewals and Compliance projects – where a project involves a like for like replacement (even if the replacement is more modern than the old item), a Business Case is not required. If the replacement is at a higher level a Business Case will be required.

A Business Case should clearly show:

- Why should we do this project i.e. what is the issue that is being addressed?
- How will this project improve the wellbeing of Hamiltonians? What are the benefits?
- What is the community view of this project?
- What are the options including the status quo? What is the impact of each option in terms of costs, benefits and risks?

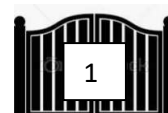
The Business Case should be referred back to and reviewed throughout the life of the project to ensure that the project’s validity remains. While there is justification for the project, it can (continue to) proceed, and when the justification is no longer valid, the project should not (or no longer) proceed.

The Business Case is usually written or delegated by the business owner (on behalf of the users) in conjunction with other relevant teams e.g. delivery, strategy, legal. Communication and agreement from stakeholders throughout the Business Case development is important and should be actively sought by the Business Case writer.

Two templates are available and a guide to selecting which one is appropriate can be found in Appendix D.

1. Lite [D-2228709](#)
2. Full [D-2227966](#)

Gate 1



Lifecycle Stage	Gate/Output	Approved for next stage by	Approved to
Initiation	Business Case – lite or full	Gate Review Committee to endorse; and Progress to the Business Owner, Project Sponsor and Programme Steering Group for approval	Proceed to Stage 3 <i>Planning</i>

Summary of roles and responsibilities for Initiation stage

Business owner	Sponsor	Project Manager	Steering Group
Create, or delegate creation of the Business Case to put forward the case for change & options and ensure the expected benefits are clear	Review roles and responsibilities		Approve roles & responsibilities proposed in stage 1, approve BC

STAGE 3 – PLANNING

During this stage, the project manager confirms exactly how, what, when and who will deliver the project. These aspects will guide the next phases (Execution and Closure). The purpose of the phase is to ensure that the project has a complete and sound basis before there is a major commitment to the project. It defines all major aspects of the project and forms the basis for its management and the assessment of overall success. Rigorous thinking and testing of concepts will assist with appropriate scoping. The quality and quantity of work completed during the planning phase is critical to the project's success, so it should not be rushed.



Refer to Promapp process “Project management procedure”

Governance

Any changes to the roles and responsibilities since the initiation stage should be approved by the Steering Group. The main governance role is approval of the Project Management Plan after:

- Approval by the Project Sponsor; and
- Approval by the Business Owner; and
- Gate Review Committee endorsement (see Appendix C)

Documentation

The **Project Management Plan (PMP)** is the key document at the planning stage and serves as the basis for the monitoring, controlling and reporting activities. It should clearly define how the project will be executed, monitored, controlled, and closed. It is an important planning document that includes subsidiary plans such as stakeholder and communication management and integrates them into a comprehensive plan.

The PMP is usually written by the project manager in conjunction with other relevant team members. Communication and agreement from stakeholders throughout the PMP development is important and should be actively sought by the project manager.

Two templates are available:

1. Lite [D-2167986](#)
2. Full [D-2209115](#)

As with the Business Case, the appropriate level should be selected depending on the complexity and risks associated with the project. A cross between lite and full can be developed to suit the project, see PMO for guidance.

The main sections of the full PMP are listed below. The lite PMP has most sections in an abbreviated form but any additional sections can be added by the project manager.

Governance structure including roles and responsibilities

See above.

Background, objective, strategic alignment, scope

These sections of the PMP are important to set the scene for the project. Maps and diagrams are useful to explain exactly what/where the project is located.

Scope definition is critical and if it is unclear at the beginning, the project is likely to fail or at least exceed its budget. If the project manager cannot get agreement from stakeholders (especially the business owner) at the outset, a workshop should be held. This cannot be emphasised enough as scope creep/lack of clarity are key reasons that projects fail.

Dependencies and assumptions

This section relates to the interrelationships between projects and the assumptions that are made for example it is assumed that NZTA funding will be provided at the rate of 51%, or that the growth cell will be opened up in 1 year. By documenting this, the project manager is recording his/her thinking at the time the plan is being written. These assumptions can also be recorded as risks as the impact of them would be significant to the project.

Benefits

The purpose of a project is to produce outputs which contribute to outcomes which form the benefits. The project's Business Case will provide the benefits and they can be transferred into the PMP. If there are no existing benefits, the project manager may wish to hold a benefits identification workshop with stakeholders to establish them. If a workshop is not held the project manager should develop a list of SMART (specific, measurable, achievable, realistic, timebound) benefits. It is suggested that the project manager talks to their programme manager as there will be programme-level benefits to guide this.

Planning

- **Product breakdown structure** - also called a work breakdown structure is best developed in MS Visio however it can be created in word. It should clearly show the outputs that the project will deliver as well as their components.
- **Milestones** are important indicators to a steering group that the project is on track so they should be monitored through monthly reporting. Changes to milestone achievement will require a change process.
- **Schedule** – this may be at a high level during the planning stage and evolve through the execution. The following table provides some guidance on timelines and contacts to help you build the project schedule.

Costs and resources

Some things to note when considering the costs and resources:

- Internal costs are to be estimated by number of hours and hourly rate. Some rates are available in [D-2996035](#) or contact your team's financial support person.
- External costs are the actual costs to deliver the project and may include investigation, design, contractor, consultants, consents etc.
- Contingency should be estimated and can range from 10-30+% of total. A bespoke/one off project should have a higher contingency.
- Allocated budget is as per the 10 year plan.
- Service provider coordination costs e.g. WEL
- Shortfall – explain the difference between the project costs and the allocated budget/revenue

The table below some of the activities that are commonly missed when considering the project timeline and budget requirements:

Activity	Timeframe, requirements	Cost	Contact Person
Engagement with iwi	Depends on stakeholder engagement plan	Varies	Muna Wharawhara
Procurement	TBA		Procurement Team
Consents	Planning assessment (within detailed design) – at least 4 weeks Consent application, lodging, securing – at least 3 months		Programme Manager

Activity	Timeframe, requirements	Cost	Contact Person
Comms activities	Comms plan required – to be approved by sponsor. Plan forms part of project management plan (planning stage) Allow 6-8 weeks for this to be drafted by comms and approved by the sponsor	Seek advice on costs specific to your project and include in the budget. It is likely to be in excess of \$10k for a standard project and significantly more for a major capital project or one with high public interest	Specific to each project, contact the comms team to find out who your allocated comms person is

Monitoring and control mechanisms, reporting

The monthly steering group process requires regular reporting. This is usually done through a Psoda report which is provided to the steering group. See note in Standards on Accuracy of reporting.

Risk register

A risk register is created, preferably in Psoda, at the planning stage by the project manager who is responsible for maintaining it. HCC's Risk Management Framework is available [D-2729329](#). A Risk Identification Workshop may be required for larger/complex projects– see Guide [D-3247909](#). If a workshop is not held the project manager should create the register which will evolve as the project progresses.

Issues register

An issues register is created, preferably in Psoda. This is a register which highlights the known issues at the commencement of the project. If an issue isn't managed, it can materially affect the successful completion of a project. When issues arise, they need to be resolved in a consistent and disciplined manner in order to maintain the quality of the deliverable, as well as to control the schedule and cost. The issue register should be used to handle technical problems or issues, as well as process, organisational and operational issues.

Change register

A register for project changes is created, preferably in Psoda. Changes are expected throughout all project phases and project managers should use the register to record agreed changes to ensure there is a history of how and when they were approved.

Quality management

The purpose of the quality management section is to identify what success looks like or how will we know the project's products have met the required standard. The schedule in the PMP should be completed with the future in mind – i.e. how will someone in the future know that product X whether that's a bridge or a park bench was to HCC's quality standard. In the schedule we record who and when sign off should occur.

Stakeholder management

A register of key stakeholders is crucial to good project communication. The project manager should evaluate who is important to the project and in what way and that will determine what information they should be provided with. The list of contact information is helpful if urgent communication is required.

Communication plan

The communication requirements of the project will have an internal (staff) and external (customer) approach. Depending on the stakeholders, communications will need to be tailored. The Comms Team can support the project manager in this very important area of project management. The Comms Team should review the Communications plan before the PMP is ready for approval.

Gates 2 and 3

Unlike other stages, there are **up to** two gates to pass through at this stage.



- Gate 2: Planning - approval of the PMP
- Gate 3: Pre-implementation risk review – required for projects with a capital cost of over \$1m. This provides additional assurance by reviewing pre-tender documentation e.g. risk and issues register, change summary, cost estimates, procurement plan and tender documentation, design/construction drawings.

Lifecycle Stage	Gate/Output	Approved for next stage by	Approved to
Planning	<u>Gate 2</u> Project Management Plan	Gate Review Committee to endorse; and Progress to the Business Owner, Project Sponsor and Programme Steering Group for approval.	Proceed to Stage 3b) <i>Pre-implementation Risk Review</i> if required by Programme Steering Group. If not required, proceed to Stage 4 <i>Execution</i>
	<u>Gate 3</u> Pre-implementation risk review may include: Revised PMP Risk and issues Procurement plan and tender documentation Drawings, designs, consents, cost estimates Other relevant documents	Gate Review Committee to endorse; and Progress to the Programme Steering Group for approval (as required).	Proceed to Stage 4 <i>Execution</i>

Summary of roles and responsibilities for Planning stage

Business owner	Sponsor	Project Manager	Steering Group
Approve Project Management Plan	Approve Project Management Plan	Create Project Management Plan including risk and issues registers	Approve Project Management Plan
Ensure benefits are SMART	Confirm benefits can be delivered		

STAGE 4 - EXECUTION

In this stage the plans created in the prior phases are put into action and monitored. This is the longest phase of the project and is also where the project is at greatest risk of failure. Consequently, it is crucial that discipline is exercised by following the approved plans and using the change control process if modifications are required.



Refer to Promapp process “Project management procedure”

Governance

This stage is characterised by monitoring and controlling the actual work on the tasks planned. It involves comparison of the actual performance with the planned performance and taking appropriate corrective action to get the desired output. All projects at HCC are required to provide monthly updates to the relevant steering group.

Risk management

The project manager is responsible for maintaining the risk register which was created in the planning stage. As the project evolves through the lifecycle, the ability to define and specify risks increases. This is attributable to the fact that more is known about the project and the associated issues. As the project progresses the risk register should be updated to reflect this increased knowledge. To ensure that new risks are added and resolved risks are eliminated, regular risk identification meetings may be held with the Project Team.

Risks will be reviewed on a regular basis by the Steering Group. A risk summary report of the top risks for the project will be provided by the administrator. A project manager should escalate risks to the programme manager when they are outside of their delegation.

Issue management

More issues will be evident as the project progresses. The project manager should update the register which was created in the planning stage. An issue is likely to trigger a change request if it cannot be managed within the existing scope, cost and time.

When the issue or problem has been resolved, the project manager should close the issue.

Schedule management

Because the original schedule represented the project manager’s best-guess it should be reviewed and updated with the current state of work that is completed and in progress. If it is not on track in terms of the original cost and duration estimates it will trigger the risk, issue, or change management processes. This should be reported accurately in the monthly update which is provided to the Steering Group.



Refer to Promapp process “Update project data in Psoda” and Psoda instructions [D-2823363](#)

Budget management

The project manager will review the budget on a regular basis and monitor project tasks requiring completion (not yet finished) against budget expended. The remaining work should be evaluated to see if the project will be completed within the original effort, cost, and duration estimates. If it is not on track corrective action is required. This may trigger the risk, issue, or change management processes. This should be reported accurately in the monthly update which is provided to the Steering Group.



Refer to Promapp process “Update project data in Psoda” and [D-3150169](#).

Benefits management

Benefits are often monitored at a programme level, however the project manager should regularly report on whether the project is on track to deliver the benefits as per the Business Case. Most benefits will be achieved after the project is closed, yet during project execution any deviation from delivery of the expected benefits and objectives may trigger the risk, issue, or change management processes. This should be reported in the monthly Steering Group update.

Communication and stakeholder management

Throughout the project's execution, the project manager should ensure that the expectations of anyone that has an interest in a project or will be affected by its deliverables, are managed based on the recommended stakeholder approach in the Project Management Plan. The aim is to monitor stakeholders over time and help them move towards a way of thinking that will help achieve the objectives of the project. Feedback received from stakeholders may indicate that a change in approach is needed and this will trigger a review of the engagement and communications plans.

Communication activities with stakeholders should be carried out in accordance with the communication plan including review of the plan throughout the phases.

Change management

Project managers must follow a change process when a change to the project's baseline is required. Changes may include:

- Budget changes – bring forward, delay, change within programme budget, budget insufficient
- Scope change
- Schedule change

Changes to a baseline or approved PMP must follow a formal approval process – refer to Promapp below. Changes which impact on time, scope and cost must be approved by the relevant Steering Group if they exceed agreed tolerances or are outside the Project/Programme Managers' delegations. The project manager should enter the change into Psoda however note that this **does not** action or approve the change. Approval will be through the Steering Group and the project manager should notify the relevant administrator to include the item in the next agenda. The CM reference of the relevant minutes recording the approval should be noted in Psoda.



Refer to Promapp process "Project Changes – identify and manage".

Documentation

Project updates are required on "Terrific Tuesday" which is the monthly update day advised by the PMO. The following are standard requirements:

1. Monthly reporting – in Psoda
2. Risk and issue management – in Psoda
3. Changes – actioned as per Promapp process (see Change management above) and recorded in Psoda
4. Updated PMP and Business Case if required

Documentation should be saved using good recordkeeping practices as outlined previously.

Accuracy of reporting

Reporting of relevant information is critical and project managers must operate in best faith by reporting openly and appropriately for example it is more acceptable to report a risk that you can foresee than a major issue that could have been prevented. The PMO provides reports to Steering

Groups and the Finance Committee extracted from Psoda. See your manager or the PMO for guidance.

Governance

There is no gate in this stage as the key control is provided by the Steering Group which has oversight of the project (and programme if relevant) through the regular meetings. If a project board and/or technical advisory group has been established additional reporting may also be required.

Gate

There is no gate at this stage as the project is controlled by the Steering Group and other governance mechanisms specified in the PMP and Steering Group terms of reference.

Summary of roles and responsibilities for Execution stage

Business owner	Sponsor	Project Manager	Steering Group
Receive updates on progress Monitor achievement of benefits	Actively monitor progress, has responsibility for successful delivery of outputs Continue to deliver benefits	Deliver project as per Project Management Plan Report on progress	Provide governance of project execution Oversee benefits achievement

STAGE 5 - CLOSURE

The purpose of this stage is to provide a fixed point at which acceptance for the project's products/outputs is confirmed and the objectives have been met. Once this occurs the project can be closed and resources can be directed onto other activities.



Another purpose of the closure activities is to harvest the maximum knowledge from a project in a way that can benefit future projects and handover to business as usual.

Occasionally a project may need to close earlier than expected due to the Business Case no longer being viable, or because the project has delivered all that it can. Early closure is not a reflection of the project manager's failure and is considered a responsible option to cease unnecessary spending.



Refer to Promapp process "Project management procedure"

Governance

Approval for the project manager to close the project is given by the Steering Group following approval of the Project Closure report. The Business Owner will review the project closure documentation and prepare for benefits realisation. The Sponsor must also give their approval to close the project.

Documentation

The following are standard requirements for the project manager to complete when closing the project:

Handover documentation - the key activity at this stage is for the business owner to accept that the products have been delivered to their satisfaction. This will include appropriate documentation, arrangements for training and other documents to enable the product(s) to be successfully transitioned to business as usual.

Quality register – the project manager should update the quality register to indicate that the products have met acceptable quality (once agreed by the business owner) and prepare for handover.

Benefits review documentation should be updated to indicate how and who will continue to measure the benefits. Ownership of the benefits belongs to the business owner.

Financial transactions – identify and action any financial account closure requirements by ensuring that all outstanding invoices are paid and finalise the project budget and review with the programme manager.

Contract closure – identify and action any contract closure requirements, ensuring there are no unrealised contract issues that could result in legal liability. See the Procurement team for support.

Lessons learned – capturing lessons learned from projects is critical as people quickly move from one project to the next. the project or programme manager should initiate a lessons learned workshop with stakeholders prior to seeking approval to close the project. The action and the lesson i.e. what we would do next time should be recorded in Psoda for other project managers to learn from. Start with gathering people's views on the key areas of the project e.g. design, project management, comms, investigation, risk, design, funding, health and safety, scheduling, construction. Then ask general questions such as:

- Overall, how successful do you think the project was?
- What worked well?

- What obstacles were encountered/didn't work so well?
- Based on what you know now, what should have been done differently in this project?

Summarise and include the lessons learned into the project closure report. Enter lessons into Psoda. Refer to [D-2326779](#).

Project closure report - this is the key document for approval by the Steering Group to confirm that the project has closed. The report could contain a summary of the performance of the project overall including actual performance against planned performance for the schedule, budget, resources, benefits and objectives. When the report is ready, the project manager should advise the administrator so that it can be added to the Steering Group agenda. The CM number for the minutes approving the closure should be recorded in Psoda. Once the Steering Group approves the Project closure report and all these steps have been completed, the project can be officially closed and documents should be made Final in Content Manager. Refer to [D-2395324](#).

Project records – the following actions should be undertaken by the project manager:

- Save project documentation clearly in Content Manager. Duplicates and previous versions of documents should be archived so that a full, unambiguous set of project documents is available.
- Close risks, issues and actions' registers, and assign outstanding items to a person in the business as usual team.
- Update the project status in Psoda to Closed and advise the PMO.

Celebrate/acknowledge the team.

Gate 4



Lifecycle Stages	Approved by	Gate/Output
Closure	<p>Business Owner accepts all deliverables from the project, and reviews the project closure documentation. They also prepare for benefits realisation.</p> <p>Sponsor endorses project closure documentation.</p> <p>Steering Group approves the Project Closure Report.</p>	Project Closure Report

Summary of roles and responsibilities for Closure stage

Business owner	Sponsor	Project Manager	Steering Group
Accept all products/deliverables. Review project closure documentation	Review and endorse project closure documentation	Create project closure documentation and hand over documentation to business owner.	Approve Project Closure report and approve project closure.
Own and manage benefits realisation post closure		Requests project closure from sponsor and Steering Group	Ensure project benefits realisation is ready for handover.

Appendix A - Summary of roles and responsibilities by stages

Stage	Business owner	Sponsor	Project Manager	Steering Group
Identification	Appointed to role	Appointed to role	Appointed to role	Appointed to role
Initiation	Create, or delegate creation of the Business Case to put forward the case for change and options Ensure expected benefits are clear	Review roles and responsibilities		Approve roles and responsibilities proposed in Identification stage Approve Business Case
Planning	Approve Project Management Plan Ensure benefits are SMART	Approve Project Management Plan Ensure benefits can be delivered	Create Project Management Plan including risk and issues registers	Approve Project Management Plan
Execution	Receive updates on progress Monitor achievement of benefits	Actively monitor progress, has responsibility for successful delivery of outputs Continue to deliver benefits	Deliver project as per Project Management Plan Report on progress	Provide governance of project execution Oversee benefits achievement
Closure	Accept all products/deliverables Own and manage benefits realisation post closure Review and endorse project closure documentation	Review and endorse project closure documentation	Create project closure documentation and hand over documentation to business owner. Requests project closure from sponsor and Steering Group	Approve Project Closure report and approve project closure. Ensure project benefits realisation is ready for handover.

Appendix B - Summary of Gates

Gate 1

Lifecycle Stage	Gate/Output	Approved for next stage by	Approved to
Initiation	Business Case – lite or full	Gate Review Committee to endorse progress to the Programme Steering Group for approval	Proceed to Stage 3 <i>Planning</i>

Gate 2 and Gate 3

Lifecycle Stage	Gate/Output	Approved for next stage by	Approved to
Planning	<u>Gate 2</u> Project Management Plan	Gate Review Committee to endorse Progress to the Programme Steering Group for approval	Proceed to Stage 3b) <i>Pre-implementation Risk Review</i> if required by Programme Steering Group. If not required, proceed to Stage 4 <i>Execution</i>
	<u>Gate 3 (projects over \$1m capex only)</u> Pre-implementation risk review may include: Revised PMP Risk and issues Procurement plan and tender documentation Drawings, designs, consents, cost estimates Other relevant documents	Gate Review Committee to endorse Progress to the Programme Steering Group for approval (as required)	Proceed to Stage 4 <i>Execution</i>

Gate 4

Lifecycle Stages	Approved by	Gate/Output	Approved to
Closure	Business Owner accepts all deliverables from the project. Sponsor approves closure. Steering Group to approve the Project Closure Report.	Project Closure Report	N/A

Appendix C - Gate Reviews

A gate review is a go/no go decision point during a project. By segmenting projects into stages and implementing gates, a steering group is able to assess, validate, analyse and make fact-based decisions on the progress of a project. If a project is not making progress it can be stopped early to reduce wasted resources.



What is the approval process?

The aim is for a project to pass through the approval gate. This occurs when the Steering Group has approved the document. Prior to this, the Gate Review Committee will provide its endorsement of a document. The Gate Review Committee does not have the mandate to provide approval as its function is to provide quality assurance i.e. check over a document and make sure it is fit for purpose. The Gate Review does not say whether a project should go ahead or not.

The role of the Gate Review Committee is to:

- Maintain a record of pipeline of project documentation that is expected to be reviewed
- Schedule reviews and invite relevant project and programme managers to attend
- Create the agenda and circulating to members
- Record actions from the meetings
- Advise the steering group administrators of documents which are due for steering group approval so they can add to the agendas

Approval steps

Before the meeting the Project Manager should ensure that the Business Owner and Project Sponsor have reviewed the document.

1. Gate Review Committee meeting

The PMO schedules the meeting and invites the project manager, programme manager/unit manager, Business Owner and Project sponsor to attend. The Committee members are the PMO Manager, PMO Advisor and Capital Projects Manager with external experts brought in as required.

2. Gate Review Committee endorsement

The Committee members ask the project manager questions about the project based on the document provided (PMP or Business Case). These can be detailed questions about how the project is intended to be delivered to ensure that it is well planned. At the end of the discussion, The document is endorsed as is; or

- a) The document is endorsed with agreed changes; or
- b) The document is not endorsed and requires re-submission following substantial changes – return to step 1.

3. After the meeting

- a) If endorsed or endorsed with changes (project manager to make changes immediately) the project manager adds the date of the Gate Review Committee endorsement to the document
- b) The project manager seeks approval from the Business Owner and Project Sponsor and once achieved advises the Steering Group administrator that the document is ready for the agenda.

4. Steering Group approval

The Steering Group will discuss and advise one of the following:

- a) The document has been endorsed and has now passed the Gate.
- b) The document has not been endorsed and requires further work before being re-submitted.

Gate Review Committee meetings are held as required. Contact the PMO for exact dates and to add an item to an agenda. The Steering Groups are held in the third week of the month.



Refer to the Promapp – “Project Gate Approval Process”.

Appendix D - Differentiating between Lite and Full Business Cases

Area	Lite	Full
Strategic importance	Low priority operational level project. Expected benefits are necessary but low in value relative to HCC's overall ambitions. Externally there is little political, media or public interest and failure would not have significant impact outside HCC.	Critical to delivery of policy, key strategic objectives or legal obligations, with very high expectation of benefits. High level political or public interest with strong media attention. Failure would have major impacts and consequences outside HCC.
Stakeholders/Influencers	Low number of stakeholders or level of influence. Stakeholders are aligned with the business objectives, supporting the project and agreeing on the expected outcomes. Key stakeholders and influencers are unlikely to change.	Significant number of stakeholders with high levels of influence and differing or misaligned objectives/ expectations. Stakeholders/influencers may change.
Requirements and benefit articulation	Requirements and expected benefits are clear and linked to business policy. Key performance measurements link to goals, vision and values.	Ambiguity around requirements and how the expected benefits contribute to the realisation of the goals, vision and values. High uncertainty on project impact.
Stability of overall context	Requirements, governance and delivery modes are clear and unlikely to change. No significant risk of change in scope, structure, external requirements or economic/political landscapes. High degree of confidence in planning, estimates and/or governance. Necessary approvals/investment already received or guaranteed.	High risk of scope, structure, external requirements or economic/political landscapes changing. Low level of certainty within key estimates, planning and/or governance. Uncertainty over whether necessary authorisations will be received.
Financial impact and value for money	Investment is not significant relative to HCC's capital expenditure, or comparable investments. Project is not material to key suppliers. Anticipated revenues, efficiencies or returns on investment are not fundamental to the business. High level of assurance over key estimates.	Investment is significant for HCC. Investment expected to deliver significant value for money, efficiencies or returns. Highly involved type/source of investment anticipated. Low level of assurance over key estimates.
Execution complexity (including technology)	No new or untested business practices or technologies form part of the scope. There is front end loading for phased implementation and piloting if required. HCC has past experience of all practices, key technologies and methods used.	New/untested business practices or technology is required. Wide scope and challenging objectives with limited scope for risk management such as phased implementation or piloting due to immovable deadlines and demanding targets.

Area	Lite	Full
Interfaces / Relationships	Project spans few boundaries (organisational, political, regional) and success is not dependent on relationships. Governance is not complex and supports decision-making and reporting. Success is not dependent on factors outside control of HCC.	Project spans many boundaries with internal and external partners. Success is dependent on factors mainly outside control of the organisation and is dependent relationship management. Governance is complex.
Range of disciplines and skills	Execution involves few specialist disciplines or skill requirements. Acquiring the skills for implementation is straightforward and readily available in the market.	Large number of disciplines and skills and/or potential for strain on the supply chain capacity and capability.
Dependencies	Project is not critical to the delivery of other projects.	Project is critical to the delivery of other projects.
Extent of change	Business as usual.	Large amount of organisational change required to deliver desired outcomes and benefits. Delivery represents a fundamental change for HCC.
Organisational capability: performance to date	Demonstrated capability to deliver project through delivery of similar successful projects.	Has not demonstrated key capabilities in delivering major projects and/or has not delivered under similar arrangements in the past.

Appendix E - Useful documents and processes

The PMO's Velocity page <http://intranet.hcc.govt.nz/our-business/groups-and-units/development/PMO/Pages/default.aspx> has links to many useful documents and templates including these:

Document name	Content Manager reference
HCC Project Risk Framework	D-2729329
HCC Risk Identification Workshop Guide	D-3247909
HCC Procurement Policy and Procedures Manual	D-2434504
HCC Risk Management Policy	D-2954495
Psoda instructions	D-2823363
HCC Roles and Responsibilities Definitions	D-3161943
Well-beings – measures and indicators	D-3093303
HCC Portfolio Management Structure	D-3255111
HCC Project charge out rates	D-2996035
Templates	
Business Case – full	D-2227966
Business Case – lite	D-2228709
Project Management Plan – full	D-2209115
Project Management Plan – lite	D-2167986
Project Closure Report	D-2395324
Lessons Learned Report	D-2326779
Processes in Promapp	
Create a Business Case	
Create a Project in Psoda	
Import and Reconciliation of Monthly Actuals	
Project Changes – identify and manage	
Project Gate Approval Process	
Project Management Procedure	
Project Risk Identification – guide to using Framework D-2729329	
Update Project Data in Psoda	

Appendix F - FAQs

What is a break-in project?

At HCC, break-in is the term used to describe unplanned projects. This does not mean that they are unauthorised as there may be several reasons why they were not included in the Long Term plan.

Why are break-in projects allowed?

Sometimes a project is initiated to meet a compliance requirement or unplanned failure of an asset which was unforeseen. Ideally all projects would be planned however in an organisation this size, this is unrealistic. Break-in projects still require appropriate document e.g. Business Case, project management plan.

Why don't we use a single methodology such as PRINCE2?

Over time HCC has evolved its maturity in project management (and continues to do so) and we have found that a range of things work for us. The aim is for projects to be successful and well managed however we do not want to impose unnecessary rules on project managers. Please contact the PMO if you need support.

What is a gate and why is it mandatory?

Passing through a gate is a formal way of applying assurance and ensuring that approvals are gained at the appropriate level and time. At the various gates, documents are reviewed by either the Gate Review Committee (provides assurance and endorsement) or the Steering Group (provides approval). The process provides protection for the organisation and the project manager that the project is being managed well and is considered likely to succeed. See Appendix C.

What is a baseline document?

An approved Business Case or Project Management Plan is a baseline document as it contains information that was agreed at a point in time. A baseline document forms an agreement between the parties to it e.g. the PMP is an agreement between the Steering Group and the project manager. If any element of the project does not match what was agreed in the document a change management is required. This can vary in size from a formal change approved by the Steering Group, to the project manager making a note in Psoda.

How do I handle a change within my project?

Throughout the life of the project there will be many changes that arise. Some will be small changes that fit within your delegation as the project manager, while others are significant and will impact on the project's outputs. Minor ones should be recorded in the change register in Psoda and actioned as appropriate. Major changes or financial changes will require the formal change approval process as per Promapp below:







Refer to Promapp process "Project Changes – identify and manage".

Appendix G – Definitions of project roles and responsibilities

[D-3161943](#) This forms part of the Full Project Management Plan [D-2209115](#)

HCC Project Roles & Responsibilities

<div>Project Sponsor</div> <p>Accountable for the successful delivery of the project</p> <ul style="list-style-type: none">• Ultimately accountable for delivery of the project, including quality and integrity of deliverables as per the Business Case• Authorise approved expenditure on the project• Select, approve and empower the Project Manager• Confirm the viability of the project approach• As part of the Steering Group the Project Sponsor will approve Business Cases, Project Management Plans, Change requests and Project closure	<div>Business Owner</div> <p>Driven by the needs for the project and represents the users</p> <ul style="list-style-type: none">• Take responsibility for the development of user requirements, and acceptance criteria through the development, review and submission of the Business Case. They are the owner of the Business Case• Ensure business resources are available and committed as required• Visibly champion and promote the project at SLT and CIB level• Ensure that deliverables meet user requirements and will generate the desired benefits (as per Business Case)• Advise on the impact on users from any changes• Reflect organisational change into operational roles• Own, promote and maintain focus on desired business benefits to ensure these are realised• As part of the Steering Group, the Business Owner will approve Business Cases, Project Management Plans, Change Requests and Project Closure.
<div>Programme Manager</div> <p>Oversee the delivery of the programme's projects, which together deliver a set of benefits and outcomes</p> <ul style="list-style-type: none">• Hold responsibility for ensuring the programme delivers the outcomes and monitors the benefits realisation for the next programme.• Provide exception information to the Programme Steering Group.• Escalate change requests that impact cope, time, cost and outputs of the project, or outcomes of the programme.• Make decisions on risks and issues within delegation and where outside the Project Manager's delegation• Approve expenditure of project contingency where there is a scope change or escalate to the Programme Steering Group• Recommend, form and chair a Project Board if required• Manage the programme budget and oversight of the project budget• Support the project manager on a day to day basis• Ensure that there is a cohesion between the projects within a programme and identify and advise the Programme Steering Group of opportunities for bundling work packages between projects.• Cascade information from Programme Steering Group to Project Board, Project Manager and Technical Working Group.	<div>Project Manager</div> <p>Lead the team and ensure the project achieves the agreed objectives and deliverables, within time, scope and cost</p> <ul style="list-style-type: none">• Daily management if the project including scope, value, time, risk/issues, cost, procurement, project team members, performance and quality.• Prepare and seek approval for the Project Management Plan• Prepare and seek approval for the Communication Plan• Identify, engage and manage stakeholder relationships and expectations• Use Psoda as the project information and management tool to manage risks and issues, budget, change requests and monthly reporting.• Follow relevant policies and standards and remain within approved delegation• Review the impact of issues and risks on continued viability of the business case• Defer to Programme Manager on issues outside of Project Manager's delegation or where scope, time, cost, time will be affected.• Ensure acceptance of project by Business Owner through the formal handover process.• Complete project closure activities including capitalisation, lessons learned and handover of appropriate documentation

Planning & Consenting - Best Practice Framework to inform Status Report

Project Phase	Expectations/Requirements During This Phase
Project Initiation and Planning	<p>High level planning assessment completed including review of project against current and upcoming policies and regulations.</p> <p>In accordance with relevant legislation, consideration to include consents required under the District Plan (HCC or relevant TA incl. designations); RMA & Regional Plan (WRC/HCC); Kiwirail (ie/ Deed of Grant); Heritage NZ (ie/ Archaeological Authority); DoC (ie/ wildlife permits); bylaws (ie/ speed management, parking etc); legalisation, stopping or closure of any road corridors; any relevant National Policy Statements; and any land procurement / easement / consent to enter / permit requirements.</p> <p>Required and/or potentially required consents identified in Project Management Plan (PMP), including strategy for obtaining and integration of requirements into baseline project scope, programme and cost estimate. Include consideration of lessons learnt from previous projects.</p> <p>Key planning and consenting risks identified and included in project risk register at time of PMP approval.</p>
Design	<p>Detailed planning assessment completed early in process - including peer review / endorsement from internal projects planning and consenting advisor.</p> <p>Ensure dependencies for any consents (ie/ land requirement plans, concept design, geotechnical investigation, detailed design etc) are understood to ensure consent/permit application can commence at appropriate times.</p> <p>Clear understanding of any permitted activity guidelines if relevant</p> <p>Monitoring of design and scope - identification of any changes to required consents</p> <p>Monitor timeframes/milestones for consent applications and approvals - including identifying any delays to applications, additional information requirements or approvals and impacts to overall project schedule.</p> <p>Obtain all relevant consents/approvals with relevant authorities including support/guidance from the projects planning and consenting advisor regarding appropriate development of applications, pre-application meetings, responses to information requests and review/acceptance of consent conditions.</p> <p>Upload all obtained consents and associated conditions to CS-VUE to enable ongoing compliance monitoring</p> <p>Gateway 3a review (including planning & consenting advisor + project governance) prior to commencing procurement.</p>
Construction Procurement & Award	<p>Ensure RfT includes appropriate clauses and provisions regarding identification of consents and mechanisms to monitor and ensure compliance with all relevant conditions - generally with onus on Contractor to demonstrate compliance with consent conditions (ie/ via CS-VUE) with appropriate oversight by MSQA and visibility to principal.</p> <p>Subject matter expert input to tender evaluation where appropriate regarding planning and consenting considerations.</p> <p>Gateway 3b review (including planning & consenting advisor + project governance) prior to contract award.</p> <p>Ensure roles, responsibilities and accountabilities for any further consent applications, management plans, monitoring and reporting are clear between the Contractor, Designer, MSQA (ie Eng Rep) and Principal - including clearly defining expectations for complaint responses, CS-VUE monitoring and monthly reporting (within monthly project/contract reports).</p> <p>Ensure all relevant management plans from Contractor are submitted, reviewed and approved (including review by projects planning and consenting advisor) prior to works commencement.</p>
Construction	<p>Ensure Contractor compliance (via MSQA / Contract Engineers) with all management plans and consent conditions via CS-VUE and monthly reports.</p> <p>Ensure MSQA / Contract Engineers have appropriate capability and capacity to ensure contractor compliance and performance, including understanding of environmental compliance requirements.</p> <p>Ensure regular contractor self-auditing plus minimum quarterly MSQA/Principal audit of planning/consenting/environmental compliance.</p>
Close-out	<p>Ensure clear hand-over process for permanent consents, with operational requirements well understood by new consent holder.</p> <p>Ensure all construction related consents which are no longer required are surrendered.</p> <p>Ensure lessons learnt (positive and negative) are identified, shared and input into Psoda for consideration on future projects.</p>

RAG Status

Red	Items not complete in accordance with requirements or major issues/risks. Advisor confidence is low. Urgent actions required to improve performance.
Amber	Opportunities for improvement against some requirements or some issues/risks. Moderate advisor confidence. Remedial or upcoming actions required.
Green	All aspects on-track, no issues or major risks. Advisor confidence is high. No intervention required.

Updates to status and commentary are to be completed monthly for each project within the programme - primarily by the Project Planning & Consenting Advisor (if relevant) or alternatively by the Project Manager.

Planning and Consenting Status Reports are to be presented to project governance meetings via project control groups (if relevant for project) or programme steering groups.

[illegible]