

**UNIVERSITY OF CAMBRIDGE
INFORMATION SERVICES COMMITTEE
PROJECT AND PROGRAMME GOVERNANCE:
“ROLE BASED QUICK GUIDES”**

Document Status:	Approved
Approving Body:	Information Services Committee
Last Update:	October2017
Author:	Chris MacLeod

CONTENTS

1. Purpose	3
2. Overview	3
ISC / Steering Group Member	5
Senior Responsible Owner (SRO)	6
Board Member	7
Project / Programme Manager	8
Steering Committee Member	9

1. PURPOSE

- 1.1 To provide an overview of what is expected from those undertaking particular roles within the Project and Programme Governance Framework. These overviews have been developed in support of the framework and can be used as guides to the process from a role-specific standpoint.
- 1.2 The guides have been developed for the following roles:
- a. ISC / Steering Group Member
 - b. Senior Responsible Owners (SRO)
 - c. Project / Programme Board Member
 - d. Project / Programme Manager
 - e. Steering Committee Member

2. OVERVIEW

- 2.1 The ISC Project and Programme Governance exists to provide a framework in which decisions to invest in, initiate and control IT projects and programmes in the University can be effectively made.
- 2.2 The framework provides a gated review process relating to significant¹ projects and programmes. It ensures good practice is applied consistently across the University and that investments will deliver value for money.
- 2.3 The decisions are to be made by the [Project or Programme] Board, reporting to the Steering Group (the Information Services Committee (ISC) or one of the ISC’s sub or system committees², where the ISC has devolved some or all of its decision making powers). The Board shall seek Steering Group approval to progress through the stage gates identified below. Steering Groups and Boards may have multiple projects and programmes reporting to them simultaneously.
- 2.4 This process applies to all University institutions seeking to undertake a significant IT project or programme, whether using internal resource and/or external services or consultancy.
- 2.5 The process, consisting of six decision making points, is:

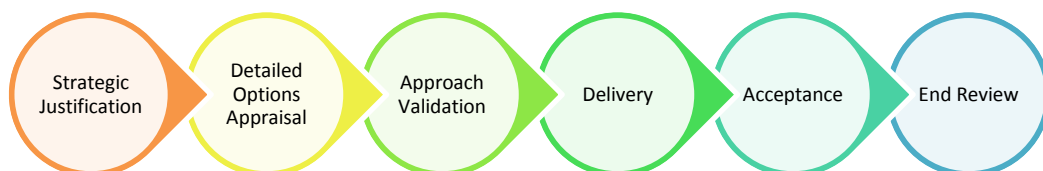


Figure 1 – ISC Project and Programme Governance Decision Points

- 2.6 The table below provides further information on what is expected at each stage as well as the supporting documentation required to enable a decision to be made.

¹ ‘Significant’ – as defined in “ISC Projects and Programmes: FRAMEWORK”

² Information on Boards, and Steering Groups/role of ISC and its sub and systems committees can be found in the document: “ISC Projects and Programmes Governance: STRUCTURE”

Decision Making Point		Purpose	Required Documentation
1.	Strategic Justification	<p>Assessment of the strategic context of the proposal against the wider aims and objectives of the University. Consideration of a long list of options to agree an optimum short-list for analysis in the next Stage.</p> <p>Provisional approval of the estimated timescales and funding envelope. Approval of further work being undertaken to move to decision point 2.</p>	Strategic Outline Case (SOC)
2.	Detailed Options Appraisal	<p>Assessment of the short-list of options to identify a preferred option based on cost benefit analysis. This will include assessment of risk, procurement approach, commercial and contractual issues, initial designs, hosting approaches and Data Protection Impact Assessment (DPIA) screening questions and plans.</p> <p>Approval of further work being undertaken to move to decision point 3.</p>	Outline Business Case (OBC)
3.	Approach Validation	<p>Assessment of the effects of the preferred option (cost, timeframe, risks, deliverables) to test the validity of the approach. This should incorporate a whole life consideration of cost and risk beyond the life of the project or programme to ensure any resulting service is sustainable in the longer-term. Consideration of more detailed designs and plans covering future Stages and a full Data Protection Impact Assessment (DPIA).</p> <p>Approval of further work being undertaken to move to decision point 4.</p>	Full Business Case (FBC)
4.	Delivery	<p>Assessment of work undertaken in the previous Stage to monitor progress and expenditure against the approved budget. An assessment of the work planned for the next Stage will also be undertaken.</p> <p>This decision point can occur multiple times (ideally every 6-9 months) within one project or programme to enable progress against defined milestones to be monitored and decisions made on future work.</p>	End Stage Report
5.	Acceptance	<p>Assessment of the deliverables against the project or programme's original objectives with a view to deciding whether to 'accept' them and enabling them to transfer into service.</p>	End Stage Report
6.	End Review	<p>Assessment of what was delivered by the project or programme against that which was originally agreed. An opportunity to consider lessons learnt.</p> <p>Approval to close the project or programme.</p>	End of Project/ Programme Review

ISC / STEERING GROUP MEMBER

- i. This guide is relevant to individuals who are members of the ISC or one of the ISC's sub or system committees where accountability for a specific project or programme has been devolved; the "Steering Group". The ISC or Steering Group will be accountable for the successful delivery of 'significant' projects and programmes.
- ii. As an ISC or Steering Group member, your role is primarily to review submissions in order to inform your decision making on new proposals requiring investment and to assess progress and continuing business justification for in-flight projects and programmes.
- iii. Documentation relevant to the decision making point the project or programme has reached in the process (see table on page 5) will be submitted to the ISC or Steering Group for consideration. Documents concerning decision making points 1-3 (Strategic Justification, Detailed Options Appraisal and Approach Validation) will be in the form of a business case seeking to justify investment, whereas those supporting decision making points 4-6 will focus on reporting on progress to date and seeking approval to proceed to the next stage.
- iv. The business case documents relating to the first three decision making points (the Strategic Outline Case (SOC), Outline Business Case (OBC) and Full Business Case (FBC)) will assess the following five aspects in ever increasing levels of detail respectively:
 - a. Strategic Case
 - b. Economic Case
 - c. Commercial Case (except where the proposal is based solely on an in-house solution)
 - d. Financial Case
 - e. Management Case
- v. Further information on the construct of the documents required to support the decision making process can be found in the accompanying document entitled "ISC Project and Programme Governance: DOCUMENTATION GUIDE".
- vi. For decision making points 1-3, you will be required to assess submissions and consider their merits in terms of strategic fit within the aims of the wider University, value for money, criticality and available funding. The ISC or Steering Group is responsible for identifying the source of funds to invest in the proposals that are approved and for making such monies available to the project or programme to draw down from.
- vii. When considering end stage reports at decision making points 4-5, you will need to consider the progress made against that expected within the FBC to ensure the project or programme remains aligned to agreed scope, plans and spend. The decisions required at these points will be to approve the formal end of a particular stage and progress onto the next one, including the release of funding, as required.
- viii. When the project or programme has come to an end and a review document is submitted to the ISC or Steering Group, you will be required to review the assessment of what has actually been delivered against that originally agreed within the FBC and approve its formal closure. Such a report will also highlight lessons learnt that the ISC or Steering Group (and delivery teams) can utilise when overseeing other projects and programmes.
- ix. An assessment of significant live risks and issues must be undertaken at decision making points 1-5 to ensure appropriate approaches are in place to manage them effectively. For particularly serious risks and issues, direct support and intervention from the ISC or Steering Group may be required.

SENIOR RESPONSIBLE OWNER (SRO)

- i. This guide is relevant to individuals undertaking the role of Senior Responsible Owner (SRO), or 'sponsor', in relation to a 'significant' project or programme. The SRO role is defined within the accompanying document entitled "ISC Project and Programme Governance: BOARDS".
- ii. The SRO will be a member of the Board and will be required to work closely with its members as well as with the project or programme manager, Steering Group and stakeholders.
- iii. You will be responsible on behalf of the Board to the Steering Group and be required to present relevant documents seeking their approval at the six decision making points. You will need to review documentation prior to submission to ensure appropriateness and quality.
- iv. Documentation relevant to the decision making point the project or programme has reached in the process (see table on page 5) will be submitted to the ISC or Steering Group for consideration. Documents concerning decision making points 1-3 (Strategic Justification, Detailed Options Appraisal and Approach Validation) will be in the form of a business case seeking to justify investment, whereas those supporting decision making points 4-6 will focus on reporting on progress to date and seeking approval to proceed to the next stage.
- v. The business case documents relating to the first three decision making points (the Strategic Outline Case (SOC), Outline Business Case (OBC) and Full Business Case (FBC)) will assess the following five aspects in ever increasing levels of detail respectively:
 - a. Strategic Case
 - b. Economic Case
 - c. Commercial Case (except where the proposal is based solely on an in-house solution)
 - d. Financial Case
 - e. Management Case
- vi. Further information on the construct of the documents required to support the decision making process can be found in the accompanying document entitled "ISC Project and Programme Governance: DOCUMENTATION GUIDE".
- vii. For decision making points 1-3, you will be required to ensure the submissions effectively consider strategic fit within the aims of the wider University, value for money, criticality and available funding within the context of the five cases highlighted above. In submitting such documentation, the project or programme is seeking a decision from the ISC or Steering Group to invest enabling progression to future stages.
- viii. End stage reports supporting decision making points 4-5 will need to consider the progress made against that expected within the FBC to ensure the project or programme remains aligned to agreed scope, plans and spend. In submitting such documentation, the project or programme is seeking approval to formally end particular stages and progress onto the next one, including the release of further funding, as required.
- ix. When the project or programme has come to an end, a review document is submitted to the ISC or Steering Group. This document must enable the assessment of what has actually been delivered against that originally agreed within the FBC and approve its formal closure. Such a report will also highlight lessons learnt.
- x. Documentation submitted at decision making points 1-5 must highlight significant risks and issues as well as the approaches proposed to manage them effectively. For particularly serious risks and issues, direct support and intervention from the ISC or Steering Group should be sought.

BOARD MEMBER

- i. This guide is relevant to individuals who are members of a Board³ responsible for the delivery of a 'significant' project or programme. Boards will report into the ISC or Steering Group.
- ii. Your role is primarily to support the project or programme manager in the delivery of what has been agreed. In particular, you will assist in the effective management of significant risks and issues and guide the project or programme to meet its aims and realise expected benefits.
- iii. The Board will be instrumental in progressing through the six decision making points by formally reviewing and approving documentation before submission to the Steering Group.
- iv. Documentation relevant to the decision making point the project or programme has reached in the process (see table on page 5) will be submitted to the ISC or Steering Group for consideration. Documents concerning decision making points 1-3 (Strategic Justification, Detailed Options Appraisal and Approach Validation) will be in the form of a business case seeking to justify investment, whereas those supporting decision making points 4-6 will focus on reporting on progress to date and seeking approval to proceed to the next stage.
- v. The business case documents relating to the first three decision making points (the Strategic Outline Case (SOC), Outline Business Case (OBC) and Full Business Case (FBC)) will assess the following five aspects in ever increasing levels of detail respectively:
 - a. Strategic Case
 - b. Economic Case
 - c. Commercial Case (except where the proposal is based solely on an in-house solution)
 - d. Financial Case
 - e. Management Case
- vi. Further information on the construct of the documents required to support the decision making process can be found in the accompanying document entitled "ISC Project and Programme Governance: DOCUMENTATION GUIDE".
- vii. For decision making points 1-3, you will ensure submissions effectively consider strategic fit within the aims of the wider University, value for money, criticality and available funding within the context of the five cases highlighted above. Such documentation is seeking a decision from the ISC or Steering Group to invest enabling progression to future stages.
- viii. End stage reports supporting decision making points 4-5 will need to consider the progress made against that expected within the FBC to ensure the project or programme remains aligned to agreed scope, plans and spend. In submitting such documentation, the project or programme is seeking approval to formally end particular stages and progress onto the next one, including the release of further funding, as required.
- ix. When the project or programme has come to an end, a review document is submitted to the ISC or Steering Group. This document enables the assessment of deliverables against those originally agreed and approves formal closure. Lessons learnt will also be highlighted.
- x. Documentation submitted at decision making points 1-5 must highlight significant risks and issues as well as the approaches proposed to manage them effectively. For particularly serious risks and issues, direct support and intervention from the ISC or Steering Group should be sought.

³ 'Board' refers to a Project or Programme Board

PROJECT / PROGRAMME MANAGER

- i. This guide is relevant to project and programme managers responsible for the delivery of a 'significant' project or programme. Project and programme managers will report into a relevant Board and to the SRO.
- ii. Your role is primarily to manage the project or programme successfully and enable the realisation of the expected benefits. You will also guide the project or programme through the six decision making points by facilitating the preparation of required documentation for submission to the Board and Steering Group. You will work closely alongside the SRO, Board and stakeholders.
- iii. Documentation relevant to the decision making point the project or programme has reached in the process (see table on page 5) will be submitted to the ISC or Steering Group for consideration. Documents concerning decision making points 1-3 (Strategic Justification, Detailed Options Appraisal and Approach Validation) will be in the form of a business case seeking to justify investment, whereas those supporting decision making points 4-6 will focus on reporting on progress to date and seeking approval to proceed to the next stage.
- iv. The business case documents relating to the first three decision making points (the Strategic Outline Case (SOC), Outline Business Case (OBC) and Full Business Case (FBC)) will assess the following five aspects in ever increasing levels of detail respectively:
 - a. Strategic Case
 - b. Economic Case
 - c. Commercial Case (except where the proposal is based solely on an in-house solution)
 - d. Financial Case
 - e. Management Case
- v. Further information on the construct of the documents required to support the decision making process can be found in the accompanying document entitled "ISC Project and Programme Governance: DOCUMENTATION GUIDE".
- vi. For decision making points 1-3, you will ensure submissions effectively consider strategic fit within the aims of the wider University, value for money, criticality and available funding within the context of the five cases highlighted above. Such documentation is seeking a decision from the ISC or Steering Group to invest enabling progression to future stages.
- vii. End stage reports supporting decision making points 4-5 will need to consider the progress made against that expected within the FBC to ensure the project or programme remains aligned to agreed scope, plans and spend. In submitting such documentation, the project or programme is seeking approval to formally end particular stages and progress onto the next one, including the release of further funding, as required.
- viii. When the project or programme has come to an end, a review document is submitted to the ISC or Steering Group. This document enables the assessment of deliverables against those originally agreed and approves formal closure. Lessons learnt will also be highlighted.
- ix. Documentation submitted at decision making points 1-5 must highlight significant risks and issues as well as the approaches proposed to manage them effectively. For particularly serious risks and issues, direct support and intervention from the ISC or Steering Group should be sought.

STEERING COMMITTEE MEMBER

- i. This guide is relevant to individuals who are members of a Steering Committee (or Subsidiary Committee or Working Group) in relation to the delivery of a 'significant' project or programme. Steering Committees will report into a relevant Board.
- ii. Your role is primarily to support the project or programme manager in the delivery of a specific part or parts of the project or programme. In particular, you will provide specialist or expert advice to the project or programme manager and Board to inform its decision making.
- iii. The Steering Committee may be required to input into the documentation required to progress through the six decision making points. The type and level of input will be dependent on the Steering Committee's function and the decision making stage being considered.
- iv. Documentation relevant to the decision making point the project or programme has reached in the process (see table on page 5) will be submitted to the ISC or Steering Group for consideration. Documents concerning decision making points 1-3 (Strategic Justification, Detailed Options Appraisal and Approach Validation) will be in the form of a business case seeking to justify investment, whereas those supporting decision making points 4-6 will focus on reporting on progress to date and seeking approval to proceed to the next stage.
- v. The business case documents relating to the first three decision making points (the Strategic Outline Case (SOC), Outline Business Case (OBC) and Full Business Case (FBC)) will assess the following five aspects in ever increasing levels of detail respectively:
 - a. Strategic Case
 - b. Economic Case
 - c. Commercial Case (except where the proposal is based solely on an in-house solution)
 - d. Financial Case
 - e. Management Case
- vi. Further information on the construct of the documents required to support the decision making process can be found in the accompanying document entitled "ISC Project and Programme Governance: DOCUMENTATION GUIDE".
- vii. For decision making points 1-3, a Steering Committee may be asked to contribute to justifying the case for investment by providing input on specific issues, such as benefit to users, procurement approach etc. Such documentation is seeking a decision from the ISC or Steering Group to invest enabling progression to future stages.
- viii. End stage reports supporting decision making points 4-5 will need to consider the progress made against that expected within the FBC to ensure the project or programme remains aligned to agreed scope, plans and spend. Steering Committees may be asked to contribute to such documentation to demonstrate progress or effectiveness of a solution. In submitting such documentation, the project or programme is seeking approval to formally end particular stages and progress onto the next one, including the release of further funding, as required.
- ix. When the project or programme has come to an end, a review document is submitted to the ISC or Steering Group. This document enables the assessment of deliverables against those originally agreed and approves formal closure. A Steering Committee may be called upon to assist the project or programme in the measurement of expected benefits.