## Change Control Table

<table>
<thead>
<tr>
<th>Version</th>
<th>Amendment</th>
<th>Description</th>
<th>Release Date</th>
<th>Updated by</th>
</tr>
</thead>
<tbody>
<tr>
<td>0.1</td>
<td>First Draft</td>
<td></td>
<td>15/10/215</td>
<td>Helen</td>
</tr>
<tr>
<td>0.2</td>
<td>Feedback</td>
<td>Review feedback</td>
<td>21/10/2015</td>
<td>Shelim</td>
</tr>
<tr>
<td>0.3</td>
<td>Updated document</td>
<td>Final draft for review</td>
<td>21/10/2015</td>
<td>Shelim</td>
</tr>
<tr>
<td>0.4</td>
<td>Update</td>
<td>Updated based on Project Group feedback</td>
<td>28/10/2015</td>
<td>Shelim</td>
</tr>
<tr>
<td>0.5</td>
<td>Update</td>
<td>Review with project team</td>
<td>04/11/2015</td>
<td>Gita</td>
</tr>
<tr>
<td>0.6</td>
<td>Update</td>
<td>Review by Katie Friis</td>
<td>06/11/2015</td>
<td>Katie</td>
</tr>
<tr>
<td>0.7</td>
<td>Update</td>
<td>Updated based on Katie’s review</td>
<td>06/11/2015</td>
<td>Ian</td>
</tr>
<tr>
<td>0.8</td>
<td>Update</td>
<td>Formatting updates</td>
<td>06/11/2015</td>
<td>Helen</td>
</tr>
<tr>
<td>0.9</td>
<td>Update</td>
<td>Updates following ITLT review</td>
<td>12/11/2015</td>
<td>Helen</td>
</tr>
<tr>
<td>0.10</td>
<td>Update</td>
<td>Gateway diagram updated</td>
<td>16/11/2015</td>
<td>Helen</td>
</tr>
</tbody>
</table>

### Reviewers:
- Ian Wappat, Project manager
- Helen O’Connor, PMO team Leader
- Stefan Milik, Project Manager
- David Cooper, Corporate Applications Technical Manager
- Mahesh Pancholi, Head of Research Applications and Teaching Support
- Gita Singham-Willis, Quality Assurance Consultant
- Craig Elliot, Quality Assurance Consultant
- Sally Measures, Projects Communications Manager
- Brad McQuarrie, Project Manager
- David Nye, Service Transition & Acceptance Manager
- William Mordaunt, Project Manager
- Amina Ahmed, Project Support Officer

### Policy Owner:
- Name/Position

### Authorisation:
- Name / Position
- Signature
- Date
Contents

1. Introduction .............................................................................................................. 4
2. Governance Structure ............................................................................................ 4
3. IT Strategy Board ................................................................................................... 4
4. Project Board .......................................................................................................... 5
5. Risk & Issues .......................................................................................................... 7
6. Exception ................................................................................................................ 9
7. Change .................................................................................................................... 10
8. Quality Assurance .................................................................................................. 11
9. Project & Change AD Roles and Responsibilities ................................................... 13
10. PMO Roles and Responsibilities ............................................................................ 13
11. Project Executive Roles and Responsibilities ....................................................... 14
12. Project Manager Roles and Responsibilities ......................................................... 14
13. Glossary ................................................................................................................ 15
1. Introduction

QMUL delivers a large number of capital and business-as-usual IT projects to and for our customers within the university. To ensure that projects are delivered within budget, cost, time and quality a governance framework must be in place, consisting of policies, process and templates.

These activities will typically be managed by Projects and Change working closely with the Service Management team to ensure best practise and good governance is implemented across all projects.

2. Governance Structure

The Governance Structure for Projects consists of IT Strategy Board (ITSB) which oversees the delivery of Projects. ITSB provides the budget and approves the initiation of all projects in IT Services. Project Boards are convened to oversee the delivery of projects and disbanded once the project has been delivered. Project managers are responsible for delivering the project and handover to business as usual (BAU).

The Programme Management Office (PMO) supports the delivery of projects and ensures that each project adheres to the governance outlined in this and all other associated documents.
3. IT Strategy Board

The aim of the IT Strategy Board (ITSB) is to provide overall governance of all IT projects to maximise the delivery of a successful outcome through the provision of a responsive, decisive and supportive environment in which IT Services can operate.

The ITSB is made up of the senior members of QMUL who have a vested interest in the delivery of IT projects.

The ITSB delegates authority and agrees the tolerance for the Project Board to operate within and helps to resolve any risks, issues or conflicts that are escalated.

More information on the ITSB can be found in the QMUL IT Governance Framework document.

4. Project Board

The Project Board oversees the project delivery and provides the governance required to ensure the project manager is responsible for the delivery of the project. The key members of the Project Board are the Project Executive, the Senior User(s) and the Senior Supplier(s).

The Project Board is accountable for the success of the project by ITSB and the owner of the business case (Project Executive).

The Project Board approves the project plan, stage progression, project expenditure and provides direction to the project manager, the Board is also the route for escalating risks and issues to the ITSB.

Roles and Responsibilities for the Board can be found in the Project Board Terms of Reference (ToR) document.

The Project executive chairs the Project Board and is responsible for selecting the members of the project board with the help of the project manager.

The Board should be kept to a minimum and should consist of the key stakeholders who are able to steer the project and make decisions.

The Project Executive will arbitrate in any matters between the Project Board members, issues outside of the Project Board where arbitration is required will be handled by ITSB.
The diagram below illustrates the reporting channels for the project structure.

The Project Manager reports to both the Project Board for the deliverables and day-to-day operational line management to the AD for Projects and Change. They are also expected to provide status and finance updates to the PMO.

The PMO collates these updates and provides an update of the overall programme to the AD for Project and Change.

The AD for Project and Change reports back to the IT Lead Team (ITLT) on the progress, financial status and operational activities, highlighting any areas of concern or deviation of any project benefits or programme outcome.

The ITLT, via the IT Director, reports to the ITSB on the status of the IT Capital programme, the financial position and highlights any concerns or deviation from the intended outcome of the programme.
5. Risk & Issues

All Project Managers must update and maintain a risk register, these risks registers are the responsibility of the project manager and should ensure these risks are managed within the Project Boards. Each risk that falls outside of the project tolerances should be escalated to the programme risk register. Those risks that are over and above the risk appetite of the programme will be escalated to the ITS Risk Register. This is shown to ITSB for awareness and escalated through the corporate risk management process. All risks are to be actively managed by the assigned risk owner. The Risk Management Strategy and the Risk Policy outlines the risk appetite, roles and responsibilities of risk management within QMUL.

![Diagram showing risk escalation process]

- Escalate Risks outside of Project Tolerance
- Escalate Risks impacting the Programme/ IT Strategy
- Escalate Risks above the risk appetite/ impacting the QMUL Strategy
- Escalate Risks impacting the programme re AA

Audit Risk Committee

ITSB

IT Risk register

Programme Risk register

Project Risk Register

Professional Services Risk Register

Strategic Risk Register
All project managers must log and manage issues within a project issue register. All issues are to be made clear to board members and actively managed by the issue owner. Issues that fall outside of the project tolerances should be escalated to the programme issue register by the Project Manager. These programme level issues are then shown to ITSB for awareness.
6. Exception

All projects must have clearly defined tolerances, as agreed between the Project Board and the project manager e.g. 5% (where suitable). It is expected that where any project goes outside of the tolerances set at the start of a project that an exception report be produced for approval by the board. Exceptions can be accepted or rejected, if it is expected that an exception goes outside of the governance threshold of the Project Board, then an exception is escalated to the ITSB for decision. In many cases this may also require the production of a Change Request, this is usually done for exceptions relating to time and cost.
7. Change

Any change to a project or programme’s original scope must be formally logged through a change request. Tolerance levels for time, money and scope are set at the start of the project or programme, if the change is outside of these tolerances they must be approved by the ITSB.

N.B. The business change process, when projects move from test into production, it is managed through the IT Services Change Manager. The details of this process can be found on the ITS Wiki page.
8. **Quality Assurance**

Quality assurance for projects is managed through the PMO during the lifecycle of the project. It is responsible for making sure that all projects are managed against the defined processes and that all relevant project documentation is completed at the appropriate time.

The Project Board has a responsibility to make sure that the project it is managing delivers the products or services as set out in the business case.

The ITLT is accountable for the overall quality assurance of all aspects of IT Service including those products and services implemented through projects. It also makes sure that the benefits of new products and services are realised and align to the IT Services Strategy.

ITSB is accountable for making sure that IT Services projects implementing products or services align to the QMUL Strategy, and is also accountable for the management of risk that may affect the delivery of the strategy.

The transition of the projects into BAU is controlled through the Service Management team, compliance with its processes makes sure that the products that are delivered are aligned to the central IT Services support model and are functional for the users.

The Project Gateway review process examines projects at key decision points in their lifecycle and takes a snapshot at a point in time to provide a suitable level of assurance to the Project Board that the project is on the right track and has completed all the necessary process and documentation. It also looks ahead to provide assurance that sufficient planning has been undertaken to progress successfully to the next stage.

The project manager would need to factor in the reviews within the project plan, ensuring that they happen in between each of the designated stages of the project lifecycle.

A diagram of the Gateway can be found below which illustrates the review points and the stages of the project:
Each key decision point has been highlighted where the Project Manager will arrange meetings with a suitable panel, which is made up of members of the Project Board, Service Management and Programme Management team members to ensure the project documentation, plans and logs have been completed. The Project Panel members will forward their recommendations to the Project Board approving the progression onto the next stage of the project or reject the progression and outline the recommended actions required to move forward.

The individual Panel members should be selected by the Project Manager in conjunction with the PMO.

The Project Board makes the decision as to whether to progress the project at each gateway and release the budget for the next stage.

9. Project & Change AD Roles and Responsibilities

The AD of Projects and Change is responsible for managing the portfolio of IT Service projects, programme risks, escalate and report to ITSB.

The AD of Projects and Change responsibilities include, but are not limited to, the following:

- Providing steer and direction to the PMO
- Managing the Projects and Change revenue budget
- Forecasting and Bidding for Capital funding
- Managing and securing the relevant resourcing levels
- Ensuring programme governance, compliance and quality assurance.
- Reporting programme/project status and escalate to the ITLT and ITSB as appropriate

10. PMO Roles and Responsibilities

The PMO provides the governance over all the projects and is responsible for making sure that they comply with the governance frameworks that are in place, as well as supporting the AD of Project and Change to deliver the portfolio of project.

The PMO responsibilities include, but are not limited to, the following:

- Managing the capital finances,
- Ensuring project processes and governance frameworks are followed.
- Making sure Project Managers comply with the processes and auditing project delivery.
- Providing administration, support and guidance to the Project Managers.
- Configuration management and document control
- Quality assurance, reviewing and capturing programme level risks and issues.
- Reporting and escalating to the AD of Projects and Change and tracking benefits delivered by the projects
- Supporting Gateway review process, including providing input towards recommendation of Go/ No Go
11. Project Executive Roles and Responsibilities

The Project Executive owns the business case and is ultimately accountable to ITSB for the success or failure of the project. The Project Executive role must be vested in one individual who is appointed at a very early stage in the lifetime of the project by the ITSB. There must never be more than one Project Executive at any point during the lifetime of the project.

Project Executive responsibilities include, but are not limited to, the following:

- Appointing Project Board members and typically chairing Project Board meetings
- Making sure the business case is still relevant and meets the business needs
- Making sure that the project risks and issues are being managed
- Escalating major risks and issues to ITSB
- Steering the Project Board and overseeing project delivery
- Making sure the project benefits are still viable
- Agreeing the project organisation, roles and reporting structure
- Approving key project deliverables
- Resolving conflict and removing obstacles in the way of project progress
- Holding the Project Manager accountable for the project delivery

12. Project Manager Roles and Responsibilities

The Project Manager has day-to-day responsibility to manage the project delivery and is accountable to the Project Board. The Project Manager role is appointed by the AD of Project and Change at an early stage of the project.

The Project manager is responsible for delivering to time, cost and quality as set out by the project mandate and holds the following responsibilities:

- Preparing and maintaining the business case
- Managing the project budget,
- Managing the project risks and issues and escalating where necessary
- Maintaining the high level project plan and detailed stage plans and advising the Project Executive and Project Board of significant deviations from the agreed plans
- Making sure the project adheres to all the governance processes
- Preparing reports for the Project Board
- Preparing weekly updates to the PMO
- Preparing reports for the ITSB
- Setting up the project board alongside the Project Executive and managing resources where applicable.
## 13. Glossary

<table>
<thead>
<tr>
<th>Term</th>
<th>Meaning</th>
</tr>
</thead>
<tbody>
<tr>
<td>ITS</td>
<td>IT Services – A department within Professional Services that provides IT Support services to both student and staff in QMUL.</td>
</tr>
<tr>
<td>ITSB</td>
<td>IT Strategy Board – Team of Executive managers consisting of Vice Principals and Directors and Assistant Directors, who oversee the delivery of the IT Strategy.</td>
</tr>
<tr>
<td>ITLT</td>
<td>IT Lead Team – Team of Senior Managers consisting of the Deputy Director of IT, Assistant Directors of IT, Faculty Relationship Managers and Chaired by the IT Director.</td>
</tr>
<tr>
<td>CAB</td>
<td>Change Advisory Board – A group of individuals who provide technical advice and guidance on proposed changes to the IT infrastructure.</td>
</tr>
<tr>
<td>TDA</td>
<td>Technical Design Authority – a group of individuals in IT Services who meet to set technical standards for the IT architecture.</td>
</tr>
<tr>
<td>DTL</td>
<td>Domain Team Leads – A group of individuals in IT Services who meet ensure the technical standards set by the TDA are adhered to. This group reviews and approves all technical design documents.</td>
</tr>
<tr>
<td>ToR</td>
<td>Terms of Reference is a document that sets out the objectives, roles and responsibilities and structure of a group.</td>
</tr>
<tr>
<td>AD</td>
<td>Assistant Director – a role within IT Services.</td>
</tr>
<tr>
<td>PMO</td>
<td>Project/Programme Management Office – team of individuals who support Project managers and the Assistant Director of Project and Change in delivering and managing projects and programmes.</td>
</tr>
</tbody>
</table>