### Policy Checklist

<table>
<thead>
<tr>
<th>Name of Policy:</th>
<th>ICT Project Management Policy</th>
</tr>
</thead>
<tbody>
<tr>
<td>Purpose of Policy:</td>
<td>To ensure Projects are managed in a controlled process which align with the appropriate governance structures to control the project. This will identify and manage risks associated with projects and ensure roles and responsibilities are clearly identified.</td>
</tr>
<tr>
<td>Directorate responsible for Policy</td>
<td>Performance &amp; Reform</td>
</tr>
<tr>
<td>Name &amp; Title of Author:</td>
<td>Catherine Weaver, Head of ITS Programme Management</td>
</tr>
<tr>
<td>Does this meet criteria of a Policy?</td>
<td>Yes</td>
</tr>
<tr>
<td>Trade Union consultation?</td>
<td>Yes</td>
</tr>
<tr>
<td>Equality Screened by:</td>
<td></td>
</tr>
<tr>
<td>Date Policy submitted to Policy Scrutiny Committee:</td>
<td>22 September 2014</td>
</tr>
<tr>
<td>Members of Policy Scrutiny Committee in Attendance:</td>
<td>Vivienne Toal, Head of Employee Engagement &amp; Relations (Chair), Anita Carroll, Assistant Director of Acute Services – Functional Support Services, Dawn Ferguson, Practice Education Co-ordinator (Acting), Carmel Harney, Assistant Director of Allied Health Professionals, Governance &amp; Workforce Planning, Melanie McClements, Assistant Director of Older People’s Services, Stephen McNally, Director of Finance &amp; Procurement, Stephen Wallace, Project Manager, Medical Directorate, Catherine Weaver, Head of ITS Programme Management</td>
</tr>
<tr>
<td>Policy Approved/Rejected/Amended</td>
<td>Approved</td>
</tr>
<tr>
<td>Policy Implementation Plan included?</td>
<td></td>
</tr>
<tr>
<td>Any other comments:</td>
<td></td>
</tr>
<tr>
<td>Date presented to SMT</td>
<td></td>
</tr>
<tr>
<td>Director Responsible</td>
<td>Mrs Paula Clarke</td>
</tr>
<tr>
<td>SMT Approved/Rejected/Amended</td>
<td></td>
</tr>
<tr>
<td>SMT Comments</td>
<td></td>
</tr>
<tr>
<td>Date received by Employee Engagement &amp; Relations for database/Intranet/Internet</td>
<td>22 September 2014</td>
</tr>
<tr>
<td>Date for further review</td>
<td>2 year default</td>
</tr>
</tbody>
</table>
| **Title** | Title: ICT Project Management Policy  
Version: V1.0  
Reference number/document name: |
| --- | --- |
| **Supersedes** | Supersedes: N/A  
Description of Amendments(s)/Previous Policy or Version: |
| **Originator** | Name of Author: Catherine Weaver  
Title: Head of ITS Programme Management |
| **Scrutiny Committee & SMT approval** | Referred for approval by:  
Date of Referral:  
Scrutiny Policy Committee Approval (Date)  
SMT approval (Date) |
| **Circulation** | Issue Date:  
Circulated By:  
Issued To: As per circulation List (details below) |
| **Review** | Review Date: July 2016  
Responsibility of (Name): Catherine Weaver  
Title: Head of ITS Programme Management |
Table of Contents

1. INTRODUCTION TO POLICY ........................................................................................................ 5
2. PURPOSE AND AIMS .................................................................................................................... 5
3. POLICY STATEMENT ..................................................................................................................... 5
   • All ICT projects implemented within Trust will utilise appropriate Prince 2 methodology and tools to support the management of projects including the realisation of associated benefits. ........................................................................................................ 6
4. SCOPE OF POLICY ...................................................................................................................... 6
5. LEGISLATIVE COMPLIANCE, RELEVANT POLICIES, PROCEDURES AND GUIDANCE .......................................................................................................................... 7
6. EQUALITY AND HUMAN RIGHTS CONSIDERATIONS .............................................................. 7
7. ALTERNATIVE FORMATS ............................................................................................................ 7
8. RECORDS MANAGEMENT .......................................................................................................... 8
9. SOURCES OF ADVICE AND FURTHER INFORMATION ............................................................. 8
1. INTRODUCTION TO POLICY

It is recognised that ICT projects within the Southern HSC Trust must be controlled in a manner which provides a governance structure with the appropriate authority and controls to identify and manage risks and ensure projects are delivered within timescale and budget.

This policy provides a summary of the required principles, values, structures and roles and responsibilities of all staff to support the on-going implementation of ICT Projects.

This policy should be read in conjunction with other related Trust ICT Policies.

2. PURPOSE AND AIMS

The purpose of this policy is to provide clear information to staff about the management of ICT projects within the Trust. This policy is designed to support staff to ensure projects are delivered within agreed timescales and budget.

3. POLICY STATEMENT

- Requests for ICT Project Management will be assessed following receipt of a Project Brief from the service.
- The TEC Programme Board will develop a prioritised list of key ICT Projects / initiatives that they require to be implemented over the course of the financial year.
- The TEC Programme Board will submit proposals and recommendations to SMT for approval.
- The assigned ITS Programme Manager will develop a Project Initiation Document and Project Mandate following prioritisation by the TEC Programme Board and approval by SMT.
• All Project Mandates are reviewed by the TEC Programme Board and when approved will trigger the project planning phase and subsequent resource allocation.
• All approved projects will be planned with the requesting service. Planning of ICT Projects is informed by the anticipated effort and cost of the required change and the capacity of the ITS Programme Management and IT Departments.
• The TEC Programme Board reports progress and risks to SMT and also the Information Governance Committee.
• All ICT projects implemented within Trust will utilise appropriate Prince 2 methodology and tools to support the management of projects including the realisation of associated benefits.
• Projects require a Business Case to be documented and approved with the Service Director.
• A Senior Responsible Officer (SRO) must be nominated from the Service area for the duration of the project.

4. SCOPE OF POLICY

This policy applies to all Trust staff that avail of ICT Project Management resources within the Trust.

RESPONSIBILITIES

Chief Executive
The Chief Executive has overall responsibility for ensuring the aims of this policy are met.

Director of Performance & Reform
The Director with responsibility for ICT Project Management is the Director of Performance & Reform.

Assistant Director of Informatics
The Assistant Director of Informatics is responsible for ensuring the ICT projects are allocated in line with the annual ICT Business Plan and progress
is monitored at the Technology Enabled Change Programme Board.

**Head of ITS Programme Management**

The ITS Programme Manager is responsible for ensuring that projects are managed within scope, and ensuring that relevant operational areas within ICT are kept informed regarding implications and demands of project.

**ITS Programme Manager**

The ITS Programme Manager assigned to the project is responsible for developing, in concert with the IT Department, the appropriate Business Cases to justify associated ICT investment and managing the day to day management of the projects assigned within Prince 2 methodology.

5. **LEGISLATIVE COMPLIANCE, RELEVANT POLICIES, PROCEDURES AND GUIDANCE**

Guidance on the implementation of Projects is outlined in a separate document entitled “Programme and Project Management Procedure”.

6. **EQUALITY AND HUMAN RIGHTS CONSIDERATIONS**

This policy has been screened for equality implications as required by Section 75, Schedule 9, of the Northern Ireland Act 1998. Equality Commission for Northern Ireland Guidance states that the purpose of screening is to identify those policies which are likely to have a significant impact on equality of opportunity so that greatest resources can be targeted at them. Using the Equality Commission's screening criteria; no significant equality implications have been identified. This policy will therefore not be subject to an equality impact assessment. This policy has been considered under the terms of the Human Rights Act, 1998, and was deemed to be compatible with the European Convention Rights contained in the Act.

7. **ALTERNATIVE FORMATS**

This document can be made available on request in alternative formats, e.g. plain English, Braille, disc, audiocassette and in other languages to meet the needs to those who are not fluent in English.
8. RECORDS MANAGEMENT

The supply of information under the Freedom of Information does not give the recipient or organisation that receives it the automatic right to re-use it in any way that would infringe copyright. This includes, for example, making multiple copies, publishing and issuing copies to the public. Permission to re-use the information must be obtained in advance from the Trust.

9. SOURCES OF ADVICE AND FURTHER INFORMATION

For further advice or information, the Head of ITS Programme Management can be contacted.
Procedure for the management of ICT projects within the Southern HSC Trust

Version 0.2 Draft
18\textsuperscript{th} July 2014
Document History

Document Owner  The owner of this document is: Catherine Weaver

Document Location  This document is only valid on the day it was printed and the electronic version is located on the Project SharePoint site.

<table>
<thead>
<tr>
<th>Versions</th>
</tr>
</thead>
<tbody>
<tr>
<td>Version</td>
</tr>
<tr>
<td>0.1</td>
</tr>
<tr>
<td>0.2</td>
</tr>
</tbody>
</table>

Distribution List
Informatics Governance Meeting

Approved By  Date
# Table of Contents

- **Introduction** .................................................................................................................. 12
- **Circulation List** ............................................................................................................... 12
- **TEC Project Board membership** .................................................................................... 13
- **Project Process** ............................................................................................................... 14
- **Project Templates** .......................................................................................................... 15
- **Project Request** ............................................................................................................. 15
- **Process Description** ...................................................................................................... 16
- **Preparation of Project Mandate** ...................................................................................... 16
- **Submission to TEC Project Board** ................................................................................ 17
- **Project Documentation** .................................................................................................. 17
- **Project Stages** .............................................................................................................. 19
- **Scope project** ................................................................................................................ 19
- **Appendix A** ................................................................................................................... 24
- **Appendix B** .................................................................................................................... 25
Introduction

This document defines the programme and project management procedures used within the Informatics division, and provide guidance on the application of Project Methodology. The programmes and projects undertaken by the Informatics division are guided by the Trust’s Technology Enabled Change Strategy and IT business plan which is developed in line with the Trust’s corporate plan.

The implementation of the TEC strategy is directed by the TEC Project Board. All Projects are conducted and documented using Prince 2 methodology commensurate with the size and impact of the project.

Circulation List

This is a controlled document when printed document and must be authorised and approved by the Assistant Director of Informatics. The Head of ITS Programme Management within the Informatics Division is responsible for control and circulation of this document. This document is held centrally on the Trust Sharepoint site and is available to all personnel required to access it. Hard copies of the document may be printed but will be treated as uncontrolled and must be verified against the main copy held on the network.
**TEC Project Board membership**

The Southern Trust’s Senior Management Team has recently approved a Technology Enabled Change Strategy which is a 3 year ICT strategy for the Trust. The purpose of the Technology Enabled Project Board is to provide strategic advice and guidance on the recommendations emerging from the strategy and to ensure that the recommendations are delivered in a timely and efficient manner. The membership of the Board is as follows:

<table>
<thead>
<tr>
<th>Name</th>
<th>Job Title</th>
</tr>
</thead>
<tbody>
<tr>
<td>Siobhan Hanna (Chair)</td>
<td>Assistant Director of Informatics</td>
</tr>
<tr>
<td>Brian McKeown</td>
<td>Assistant Director, Health &amp; Social Care Board</td>
</tr>
<tr>
<td>Stephen Hylands</td>
<td>Head of IT</td>
</tr>
<tr>
<td>Mark Toal</td>
<td>Head of Technology Innovation</td>
</tr>
<tr>
<td>Catherine Weaver</td>
<td>Head of ITS Programme Management</td>
</tr>
<tr>
<td>Darren Meade</td>
<td>ICT Security Manager</td>
</tr>
<tr>
<td>John McCambridge</td>
<td>ICT Infrastructure Manager</td>
</tr>
<tr>
<td>Edith Doyle</td>
<td>IT Service Support and Design Manager</td>
</tr>
<tr>
<td>Joanne McEvoy</td>
<td>ITS Programme Manager</td>
</tr>
<tr>
<td>Martin Murphy</td>
<td>ITS Programme Manager</td>
</tr>
<tr>
<td>Barrie Meeney</td>
<td>ITS Programme Manager</td>
</tr>
</tbody>
</table>
Project Process

The process for project assignment follows the flow of bidding for funding from the regional HSCB ICT Programme Board and also from the Trust CRL, the allocations cycle and the Trust’s ICT Business Plan.

Project Initiator develops approved service improvement proposal and identifies funding for any recurrent costs.

Submit proposal to TEC Programme Board for approval

Rejected

Inform Project initiator

Approved

ITS resource allocated to assist develop Project Mandate supported by IT Technical

TEC programme Board consider the Project Mandate

Rejected

Inform Project initiator

Approved

TEC Programme Board recommends Project for SMT Approval

Rejected

Inform Project initiator

Approved

Allocate Project Resource to develop PID and initiate the project

Monitor project progress at TEC programme board meetings and report progress to SMT.
Project Templates

Templates for all aspects of project documentation are taken from the Appex toolset (Aiming for Programme and Project Excellence) and are based around Prince 2 Project Management methodology.

In order to ensure that the Informatics team have visibility of all Project Requests all Project Requests for ICT Projects will be directed towards the Assistant Director for Informatics.

Project Request

For Directorate Project Requests, the primary responsibility for the development of the Project Brief will reside within the Directorate / business side who will outline the business need and the strategic context for the request. These project requests are assimilated in the last quarter of the financial year in preparation for the new financial year.

All new Project Requests will be reviewed by the Informatics TEC Project Board. These project are prioritized in line with the criteria set out in Appendix A. Project Management and, where appropriate, local IT Technical resource may be assigned to facilitate the scoping of the proposed project with the goal of translating the request into an associated Project Mandate.
Process Description

Project Initiator

Departmental guidance (DAO(DFP) 33/03) stipulates that any staff member that requires the implementation of an ICT Project must justify his/her requirement in the form of an appropriate Service Development proposal / Business Case. Commensurate effort regarding the detail of the business case should be applied, relative to the scale of proposed project (time/cost/effort).

The TEC Project Board will require assurance that any proposal submitted to them has an appropriate business justification which will be outlined in the Project Brief. On approval at the TEC Project Board, the Project Request and associated Service Development proposal / Business Case originating from Trust Directorates is to be channelled to the Head of ITS Programme Management to assign Project Management resources.

Detail on the scope of the proposed ICT Project shall be added to the ITS Programme Management SharePoint list.

Preparation of Project Mandate

At this point the Project Initiator (from the Service), nominated ITS Programme Manager and other appropriate ICT Technical resource will collaborate to develop a Project Mandate.

Contents of project mandate document are:-
- Background
- Scope of Project
- Project Objectives
- Corporate Plan
- Constraints
- Interfaces
- Outline Business Case – including Financial Considerations
- Reference to any Associated Documentation
- Executive / Project Manager (indicative only)
• Outcome Approval of mandate (Hold, or proceed with scoping)

**Submission to TEC Project Board**

Project Mandates reviewed by the Informatics Senior Management Team will be subsequently brought to the next TEC Project Board meeting by the Assistant Director for prioritization (prioritization based on criteria in Appendix A).

Project Mandates will be reviewed with consideration of the following criteria:

- Proposed Projects must be aligned to the Trust ICT Business Plan
- Proposed Projects must be financially viable (Capital and Revenue)
- Resources to implement proposed projects must exist
- Resources to support and maintain systems implemented must exist

The outcome of the review will be either:

- Approval of Project Mandate for inclusion into the portfolio of ‘Approved Projects’ requiring implementation by the ITS Programme Management Department. Project Implementation timescales will then be developed by a nominated ITS Programme Manager in collaboration with the relevant service side representative.
- Requirement for Revision – the project mandate will be returned to the associated author for revision.
- Project Mandate Rejected - The Project Initiator will be advised on the reasons for the non-approval of the proposed projector (e.g. strategic fit, finance).

**Project Documentation**

Project documentation required for small scale managed projects is as follows:

- Project Mandate
- Risk & Issue Log
- Project Plan - Gantt Chart
- End Project Report (including finalised Risk Log and Lessons Learned Report) — what went well, what went not so well, etc
- Highlight Status Reports
All other projects require the documentation mentioned in the following pages detailing the project stages (although this may be at the discretion of the Project Board).

Appendix B outlines the standard format for all project board meetings to ensure all aspects of the project are considered and risks and issues are assessed at every Project Board meeting.
Project Stages

STARTING UP A PROJECT

All mandates approved by the TEC Project Board are brought to the Head of ITS Programme Management for allocation of internal resource to begin scoping the project.

Scope project

The assigned ITS resource scopes the project and keeps an ongoing record of the project history within ITS Sharepoint site.

Prepare and QA Business Case

Content of Business Case to include:-

- Introduction/Background
- Existing Service
- Options For each Option - Cost/Programme/Advantages/Disadvantages
- Investment appraisal - evaluation of options against doing nothing
- Preferred Option
- Project Management Arrangements
- Service Users
- Post Project Evaluation
- Affordability

Authorising Initiation (Sign Off of Business Case)

Business Cases of values less than £100K are approved by the Director with responsibility for ICT, the Director of Performance and Reform. Business Cases of values of value £100K must be approved by the Senior Management Team of the Trust. Business Cases of value greater than £250K must have DHSSPS approval.
INITIATING A PROJECT

Prepare PID & Project Plan

Content of PID:-

- Background
- Project Definition
- Project Objectives
- Project scope
- Constraints
- Interfaces
- Key Assumptions
- Project Organization Structure
- Project Assurance
- Communication Plan
- Training Requirements
- Project Tolerances
- Project Controls
- Benefits
- Attachments
- Outcome

QA PID and Project Plan (Gantt Chart) And Authorizing a Project (Sign off of PID & Project Plan)

The Project Board are responsible for the approval of the PID and Project Plan; this initiation document outlines the scope, risks, timescales and quality assurance expected during the life of the project. The Senior Responsible Office or Project Sponsor must approve the PID.

CONTROLLING A STAGE

Monthly Highlight Status reports are to be created by Project Manager within Sharepoint and shared with the Project Board and will reflect:
- Achievements this period
- Achievements planned not completed
• Achievements planned for next period
• Reporting Period
• PM RAG Status
• Cost RAG Status
• Benefits RAG Status
• Time RAG Status
• Issues RAG Status
• Risk RAG Status
• If associated RAG status are not Green the Project Manager is required to provide a qualification for assigning an Amber/Red status.

Where things are not progressing in line with the agreed project plan due to risks or issues, or there is deviation from plan, the Project Manager must produce an Exception report, create and save on Sharepoint and notify the Head of ITS Programme Management. This report will also be circulated to the project board for consideration.

Exception Reporting should include:

• Date
• Description of the problem
• Consequences of the problem
• Available options to redress the problem and impact of options
• Recommendations of project manager to Programme Manager for Approval
• Modification of stage plan

Managing Stage Boundaries - Prepare and update Project Plan

The Project Plan (including the PID, Risk Log, Issue Log and Gantt Chart) should be updated to reflect the next stage of the overall Project.

If the Project has reached its last stage then the Project Manager should prepare for hand over to Operational Services and also prepare the STAP document for CAB approval. This will consider:

• Training guides
• List of key users & groups
• Contract/SLA's/Maintenance Agreements  
• Specification documents  
• Policies & Procedures - (configuration, backup, contingency)  
• Training requirements of Business Services staff  
• Consider updating of associated Quality documentation, including:  
  • Controls Assurance Standard  
  • Procedures Manual  
• Check if ICT Security or Strategic Policy requires updating  
• Check if On Call needs reviewed.  
• Business Continuity Plans

Authorising a stage plan (Sign off of Next Stage plan)

• Project Board (or Programme Manager and requestor) sign-off next stage plan.

CLOSING A PROJECT

Handover to ICT Operational Services

• Liaise with ICT Operations to confirm criteria for handover and provide required documentation STAP documentation, SLA, Contract and Business continuity Plan etc.

Prepare and QA of End Project Report

• Achievement of Objectives  
• Attach:-  
  o Lessons Learned  
  o Updated Risk Log  
  o Business Continuity Plan  
  o Post Project Evaluation supported by Performance Management reports
Confirm project closure

- Confirm with original requestor that Project can be closed.
- Notify the Project Board and provide project closure documentation.
- Release Informatics Resource(s) for reallocation to another project.
- Confirm Project Closure within Sharepoint.
### Appendix A

#### Project Prioritisation

<table>
<thead>
<tr>
<th>Priority</th>
<th>Description</th>
</tr>
</thead>
</table>
| Priority 1 – High Priority | Projects that are:  
  - Statutory / Legally Driven  
  - Informed by Regional policy (e.g. TYC, BSTP)  
  - Critical to support service continuity (including infrastructure) |
| Priority 2 – Medium Priority | Projects that are:  
  - Aligned to the Trust Corporate Plan / local ICT Strategy e.g. SQE  
  - Aligned to Regional ICT Strategy (e.g. eHealth Strategy - e.g. Mobility / Access)  
  - Aligned to Directorate Management Plan  
  - Potentially high impact upon quality of care  
  - Service Developments that afford high return in terms of Benefits v Cost/Time profile  
  - Service Innovation that have potential for replication across Trust – org impact. |
| Priority 3 – Low Priority | New service innovation that require testing                                                   |
Appendix B

Checklist for Project Managers

- Project Brief to be developed by the Service
- Business Case
- Project Mandate
- Procurement Route Agreed
- PID
- Project Plan
- Risk / Issue Log
- Work Packages
- Communication Strategy
- Benefits Plan
- Post Project Evaluation
- Business Continuity Plan

Standard Agenda Template for Project Board Meetings

1. Apologies
2. Minutes and Matters arising from previous meeting
3. Progress Update Report –(to include progress against project plan and work package progress) Project Manager
4. Issues and Risks
5. Communication
6. Planned work in next Phase