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The following resource documents and bodies of knowledge have been heavily relied on for development of this framework:

- 'A Guide to the Project Management Body of Knowledge (PMBOK Guide)' – Project Management Institute
- 'Guide to Governance of Project Management' - International Project Management Association
- 'Project Governance Guide' - Victorian Government's Department of Treasury and Finance
- 'Guidance on Project Management' - International Standard ISO21500
- 'Project, Programme and Portfolio Management – Guidance on Portfolio Management' - International Standard ISO21504
- 'Guide to Project Steering Committees' - Law and Justice Foundation of NSW
- Tasmanian Government's Project Management Framework
- 'The Social Project Manager: Balancing Collaboration with Centralised Control in a Project Driven World' - Peter Taylor. Gower 2015

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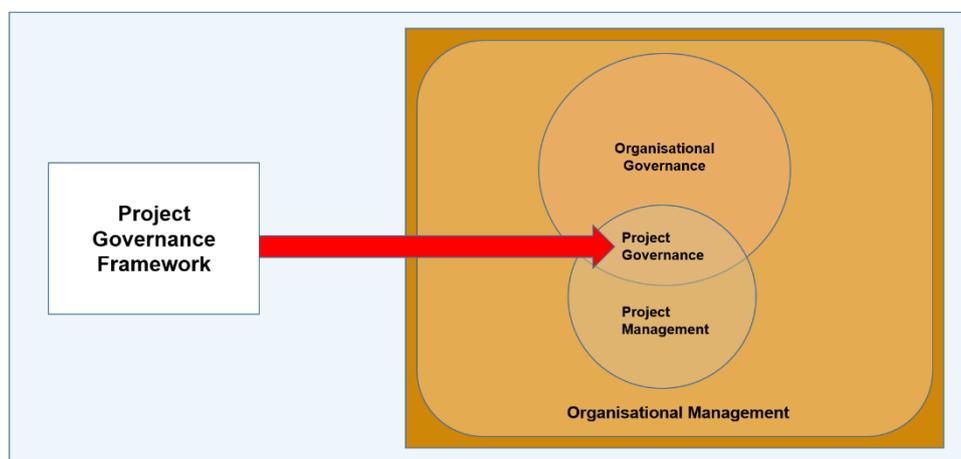


## 1. INTRODUCTION & EXECUTIVE SUMMARY

This document has been prepared by the University of Otago (The University) and outlines the Governance framework and structures for project governance at the University. The intended audiences for this document are: members of governance committees, Project Sponsors, Project or Programme Managers, and those who are involved in University project work.

Effective governance of project management ensures that the organisation's Project Portfolio remains aligned to organisational objectives, and is delivered efficiently and effectively, in a sustainable manner.

- **Corporate Governance** is the system of rules and practices which dictates how organisations are directed and controlled.
- **Project Governance** focuses more specifically on project activities.



*Figure 1: Project Governance in Context*

The purpose of this framework is to: provide coherence between corporate governance and project governance, provide a guide for those involved in projects, and to ensure that project roles and responsibilities are well understood.

This is a reference text, designed to be consulted when appropriate. It is not meant to be read in a linear fashion. This document is organised in the following way:

**Part A** provides information about the overall context in which University projects operate. This section outlines the University's governance structure in terms of: strategic documents, organisational governance committees, and specific roles which have a responsibility for projects.

**Part B** provides specific guidelines for how an individual project should be set up to ensure good governance.

**Part C** identifies governance structures and processes at a portfolio level (several projects making up a programme of work).

**Part D** include templates, tools, checklists and a glossary of terms is included on page 48.

The University of Otago Project Management Office (UOPMO) is always available to assist you in using this Governance Framework. The UOPMO OURDrive site supplements this document with the most up-to-date version of any tools and templates as well as helpful tools.

## 1.1.How to use this Framework

This framework will be of most use to University staff when starting a new project, or when reviewing an established project.

### 1.1.1. Starting a project

When starting a project, University staff are encouraged to consult this document.

- Section 1.2 will help you decide if the work you are about to start is actually a project.
- Section 4 will help you establish the size of your project. Project size dictates how the Governance Framework will be applied to your work.
- Part B of the framework will provide you with guidance on setting up the governance structures for your project.

### 1.1.2. Reviewing a project

It is always wise to review projects on a regular basis.

- The Governance Framework provides checklists for reviewing a project.
- Browsing this Governance Framework may provide Steering Committees, Project Managers, or anyone involved in projects with some helpful hints and reminders.

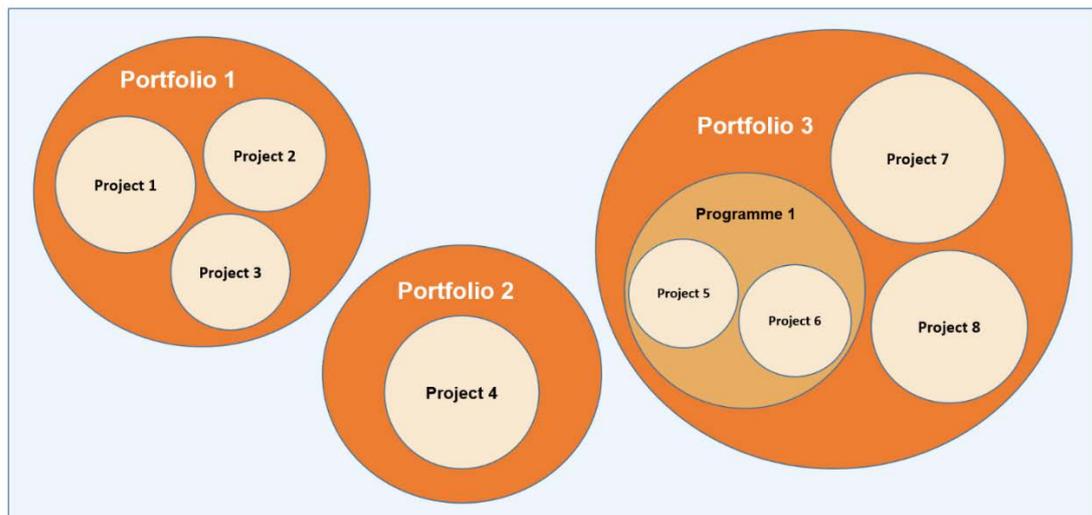
The UOPMO is available to assist any staff in making decisions on application of the framework. The UOPMO will also assist in providing or developing training materials, tools and checklists.

## 1.2.Scope

This document focuses on the Governance of University's **Projects, Programmes** and **Portfolios**.

<b>Project</b>	<ul style="list-style-type: none"><li>• A <b>Project</b> is temporary; in that it has a defined beginning and end in time, and therefore defined Scope and resources.</li><li>• A <b>Project</b> is unique; in that it is not a routine operation, but a specific set of operations designed to accomplish a singular goal.</li><li>• A <b>Project Team</b> often includes people who don't usually work together.</li></ul>
<b>Programme</b>	<ul style="list-style-type: none"><li>• A group of related projects managed in a coordinated way, to obtain benefits and control not otherwise available from managing them individually.</li></ul>
<b>Portfolio</b>	<ul style="list-style-type: none"><li>• A Portfolio consists of Projects, Programmes, sub-Portfolios, and operations managed as a group to achieve strategic objectives.</li></ul>

The following diagram is an illustration of how the University's overall portfolio of projects can be seen in terms of different Portfolios, Programmes, and Projects.



*Figure 2: Examples of University Projects, Programmes and Portfolios*

The framework applies to **all types of projects**, including but not limited to construction, technology, or other business change. This document will clearly note where elements of the framework are specific to one type of project, e.g. construction or ICT. Where there is no specific exclusion, the framework applies to all types of projects.

All University ICT and construction projects are required to adhere to this framework.

Section 4 outlines how the framework can be tailored depending on project size and complexity.

### 1.2.1. Scope Exclusions

Academic research projects are excluded from the scope of the Project Governance Framework, although many of these tools will be useful to researchers undertaking projects.

University staff often conduct 'project-like work', e.g., a periodic review process that is conducted on a regular basis, or regularly updating a system each month with a standard release package. In these instances, while project management tools and techniques may well be helpful to this work, full compliance with the framework is not mandatory, and the work will not be monitored by the UOPMO.

This Governance Framework:

- is not a detailed project management methodology.
- does not seek to duplicate or replace existing standards of corporate governance.
- does not provide guidance for non-project (operational) areas of business.

### 1.3. Compliance

Project Sponsors, Project Managers and members of Project Steering Committees hold primary responsibility for compliance to this framework.

Directors within the University are responsible for ensuring that their Division's projects comply to this framework.

The general principle is for staff involved with projects to be self-auditors of their compliance with the framework. Projects are always however, subject to internal or external audits as part of the University audit process.

#### 1.4. Causes and Consequences of Project Governance Failure

A good governance framework and structure does not guarantee good outcomes, however, the lack of a framework, or a bad structure, is known to diminish the likelihood of project success. Reviews and case studies group the major causes of major infrastructure projects' failure into two categories:

- Inadequate project governance structure.
- Unclear or poorly defined roles, responsibilities and accountabilities.

More specific causes of governance failure are:

- Excessive, or inappropriate committee membership.
- Weak leadership or lack of Governance skills.
- Poor Project Team cohesion leading to confusion, team turn-over and low morale.
- Lack of understanding of the project governance role by the project team. This results in inadequate or inappropriate support for effective project governance (e.g. lack of transparency, poor communication, withholding of 'bad news').
- Lack of considerations of whole-of-life impacts on project decisions (e.g. decisions made to reduce initial project costs by compromising sustainability, or increasing future operational costs).
- Confusion between the project and organisational decision-making structures.
- Committees can be overly risk-averse, insisting on consensus in decision making, which can in turn:
  - Result in delays.
  - Compromise outcomes through unnecessary input from peripheral interests.
  - Distract from the best value result by reducing the impact of the essential facts.
  - Confuse accountability for the decision.
  - Failure to communicate fully and appropriately on a timely basis.
  - Failure to specify or accept decision-making authority and responsibilities.
  - Indecision, lack of project direction and control.

If Governance issues are left unchecked, projects risk the following outcomes:

- Non-alignment of key stakeholders.
- Cost and time over-runs.
- Inappropriate probity practices.
- Over emphasis on rote reporting, reducing meetings to status updates rather than appropriate decision-making.

- Poor contract management.
- Failure to deliver benefits to the organisation.

### 1.5. Strategic Intervention and Termination

Often, when a project is under stress, early and decisive intervention will result in the best outcome for the University.

The Project Steering Committee (PSC)<sup>1</sup> is responsible for identifying the need for remedial actions and/or strategic intervention, and for termination where appropriate. The PSC is responsible for escalating the need to Capital Development Committee (CDC) or University Council as appropriate, and on a timely basis.

Individuals or groups who have issues/concerns about a project should raise these concerns with the Project Manager or to the Chair of the PSC. It is expected that most project issues will be resolved by the Project Managers and the PSC. However, where necessary, issues can be escalated through Operational management paths e.g. COO, VCAG, and/or to the CDC for resolution.

The University of Otago Project Management Office (UOPMO) provides a point of escalation for any individuals or groups who have a project-related concern which they would like to discuss, and are not sure of the appropriate escalation path.

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<sup>1</sup> Refer to Section 6.1 for more information about the PSC.

# PART A: GOVERNANCE AT THE UNIVERSITY OF OTAGO

## 2. CONTEXT FOR GOVERNANCE OF PROJECTS AT UNIVERSITY OF OTAGO

This section provides useful context for all University projects.

### 2.1. University of Otago Vision

A research-led University with an international reputation for excellence.

### 2.2. University of Otago Mission

The University will create, advance, preserve, promote and apply knowledge, critical thinking and intellectual independence to enhance the understanding, development and well-being of individuals, society and the environment. It will achieve these goals by building on foundations of broad research and teaching capabilities, unique campus learning environments, its nationwide presence and mana, and international links.

### 2.3. Strategic Documents

The University's main strategic guiding documents that relate to projects are:

- Strategic Direction to 2020.
- Capital Expenditure Plan.

### 2.4. Organisational (University) Governance

**Organisational or Corporate Governance** is the 'ongoing activity of maintaining a sound system of internal control by which the directors and officers of an organisation ensure that effective management systems, including financial monitoring and control systems, have been put in place to protect assets, earning capacity and the reputation of the organisation' (TSO, 2009).



*Figure 3: Contextual Relationship of Organisational Governance*

The following sections detail University Organisational Governance as they relate to project management and governance.

#### 2.4.1. University Council

The University Council is the governing body of the University.

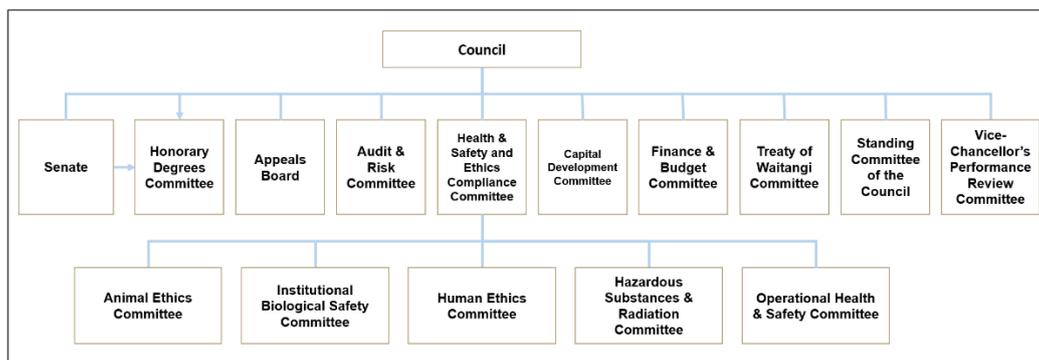
The functions, duties and powers of the Council are prescribed in the Education Act 1989, sections 180, 181 and 193. The functions which have the strongest implications for project governance include:

- To prepare and submit a proposed plan and to ensure that the institution is managed in accordance with that plan.
- To determine the policies of the institution in relation to the management of its affairs.
- To undertake planning relating to the institution’s long-term strategic direction.
- To ensure that the University operates in a financially responsible manner that ensures the efficient use of resources and maintains the University’s long-term viability.

Specific committees report directly to Council on matters including financial management and performance, audit and risk, capital development, ethics and safety compliance.

The University Council has a Treaty of Waitangi committee with equal membership from Ngāi Tahu, and the University may from time to time establish special working parties to examine particular issues.

The University Council is chaired by the Chancellor, and comprises elected, appointed and co-opted members representing key Stakeholders, including students and staff.



*Figure 4: Committee Organisation Structure*

The following Council Committees undertake key roles in the project governance framework.

#### 2.4.1.1. Capital Development Committee (CDC)

The Capital Development Committee (CDC) terms of reference are as follows:

- To advise Council on the physical design, development and maintenance of the University including campus landscaping elements.
- To advise Council on planning issues relating to its campuses.
- To advise Council on the capital buildings Programme of the University and the acquisition or disposal of any property.
- To advise on capital expenditure priorities for capital development including information technology development.
- To consider and recommend to Council on all capital expenditure proposals over \$1.5 million.
- To receive progress reports on approved projects.

#### 2.4.1.2. Health and Safety and Ethics Compliance Committee

The Health and Safety and Ethics Compliance Committee Terms of Reference are as follows:

1. To review and recommend to the University Council on all matters relating to Health and Safety and ethical approvals, including related statutory compliance.
2. To ensure that the University Council is regularly provided information in order that its members:
  - a) are kept up-to-date with knowledge of work Health and Safety matters.
  - b) maintain an understanding of the operations of the University, and generally of the hazards and risks associated with those operations.
  - c) can be satisfied that the University has in place, and is using, appropriate resources and processes:
    - i. to eliminate or minimise health and safety risks; and,
    - ii. for complying with its other Health and Safety duties and obligations.
  - d) can be satisfied that the University has appropriate processes in place for receiving and considering information regarding incidents, hazards, and risks and for responding in a timely way to that information.
  - e) can verify the provision and use of the resources and processes referred to in paragraphs (c) and (d).

Health and safety must be a key focus in all project activities.

#### 2.4.1.3. Audit and Risk Committee

The Audit and Risk Committee's role is to strengthen the University's control environment and management of risks, and to assist Council to discharge its leadership and control responsibilities for financial reporting and risk management.

The Audit and Risk Committee has a key role in project governance in terms of:

- Monitoring the functioning and adequacy of internal control systems and processes.
- Reviewing policies related to audit and risk management.
- Monitoring compliance with the University's Fraud Policy and investigations and outcomes relating to the policy.

- Assisting in promoting a culture of compliance and taking an active interest in ethical issues associated with the University's business activities.

The Audit and Risk Committee provide oversight of the Risk Management Framework as well as the specific risks associated with individual projects.

#### 2.4.1.4. Finance and Budget Committee

The Finance and Budget Committee reports to the University Council. The Terms of Reference are as follows:

1. To consider University financial policy, strategy and planning and make recommendations to the Council.
2. To monitor the financial position and performance of the University and make recommendations to the Council.
3. To consider the annual budget and budget review and make recommendations to the Council.
4. To consider financial forecasts and make recommendations to the Council.
5. To consider student tuition fees and make recommendations to the Council.
6. To review the monthly financial statements and reports and provide recommendations to the Council.
7. To review the annual accounts and annual report and make recommendations to the Council.
8. To consider the financial sustainability of projects in the context of the University's annual and projected budgets.

#### 2.5. Organisational Management

The boundary between governance and management is not always hard and fast, however organisational management primarily concerns the day-to-day operations of the organisation within the context of the strategies, policies, processes and procedures that have been established by the governing body.



Figure 5: Contextual Relationship of Organisational Management

The University's organisational structure is outlined in Figure 6 below.

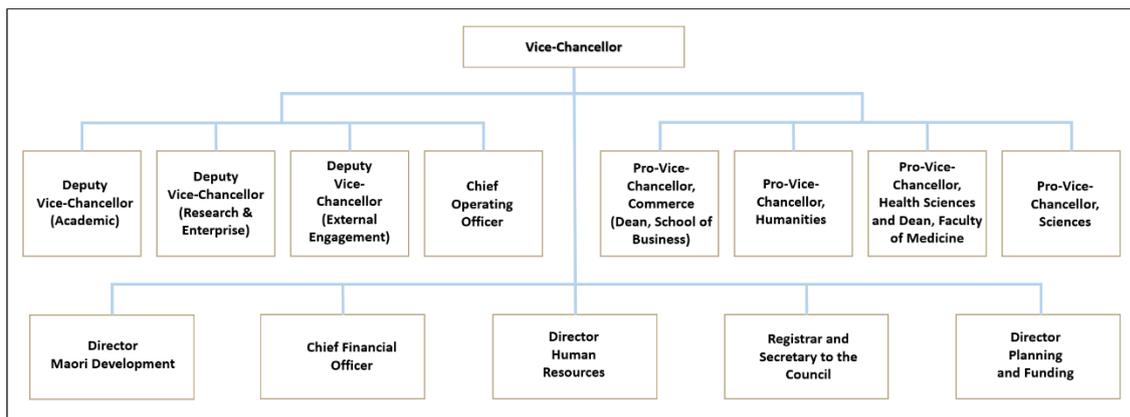


Figure 6: University of Otago Organisational Structure

### 2.5.1. Vice-Chancellor (VC) and Vice-Chancellor's Advisory Group (VCAG)

The Vice-Chancellor is appointed by the University Council and is the Chief Executive and employer of all other staff. The Vice-Chancellor is the academic and administrative head of the University.

The Vice-Chancellor chairs the Vice-Chancellor's Advisory Group (VCAG) which comprises the University's Senior Management Team. VCAG meets twice monthly to consider strategy, policy, current projects and issues.

### 2.5.2. Chief Operating Officer (COO)

The Chief Operating Officer (COO) reports directly to the Vice-Chancellor. The COO provides strategic leadership, and planning and management across the University's operational functions and capital developments.

The COO leads a team of senior managers responsible for sustainability, risk management, compliance and assurance, project management, campus development, property services, information technology, health and safety compliance, shared services, campus and collegiate life, and student services.

The majority of projects within the Operations Division will be managed by the Divisions of Campus Development, ITS and Property Services.

### 2.5.3. Chief Financial Officer (CFO)

Reporting to the Vice-Chancellor, the Chief Financial Officer (CFO) is the senior officer responsible for the Financial Services Division for the University. This division includes Financial Accounting, Strategic Accounting, and Procurement.

With respect to governance and management of projects, the Financial Services Division provides assistance and guidance with respect to financial matters associated with budgeting, project accounting, and financial review of project proposals.

## PART B: PROJECT GOVERNANCE

**Project Governance** is how the organisation directs and controls its Projects. A key objective of project governance is to efficiently, effectively and transparently, make decisions.

A **Project Governance Framework** (i.e. this document), sets a firm framework which guides project success, creates transparency and confidence in decision making and clarity on roles and responsibility.



*Figure 7: Contextual Relationship of Project Governance*

**Project Governance** includes but is not limited to, those areas of **Organisational Governance** that are specifically related to project activities. The figure above illustrates the relationship between project governance, organisational governance, and organisational management.

University governance interacts with project roles, responsibilities, accountabilities and controls in the following way. NB: The numbers in the chart relate to the sections of this document which provide more detail about these group and individual roles.

Sections 8 and 9 detail the reporting that occurs between these groups and individuals.

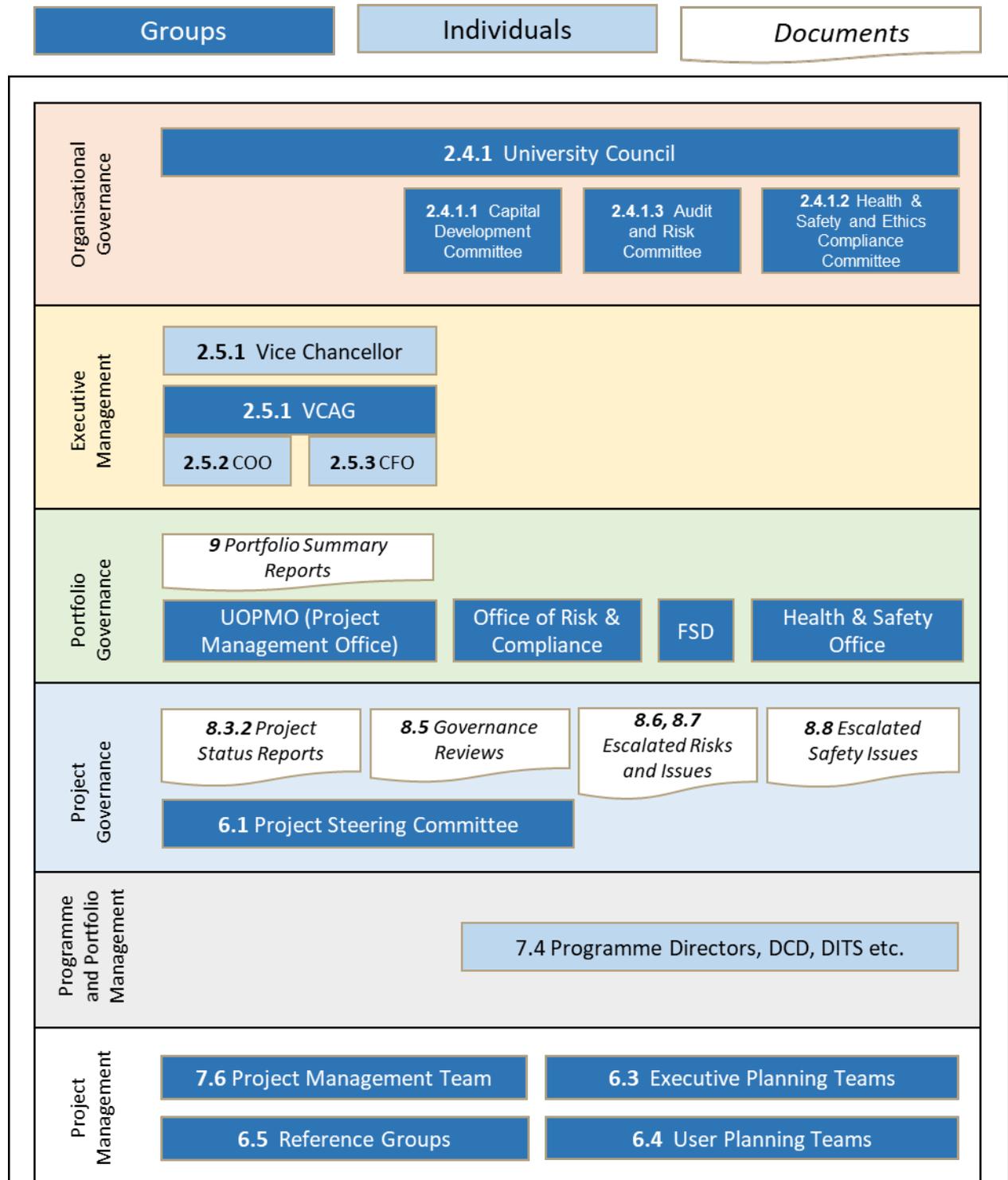


Figure 8: University Governance Committees, Groups, and Reporting

### 3. PRINCIPLES OF PROJECT GOVERNANCE

The principles for governance are much the same at a Project, Programme and Portfolio level. The roles, responsibilities and processes outlined in this document provide a solid governance framework for all University Projects, Programmes and Portfolios.

Project governance decisions should reflect the Strategic Case and identified benefits that existed when the Project Business Case was first approved, funded and resourced.

Project governance should operate across the Project Life Cycle from proposal through the range of decision points and milestones through to project closure. Project governance must be characterised by clarity of roles, responsibilities, accountabilities and controls.

The following are highlighted as key foundation principles which apply to all Projects, Programmes and the Portfolio.

<b>Roles and Responsibilities</b>
Roles and responsibilities for all committees and individuals must be clearly defined in every project.
Governance roles and responsibilities must be always be clearly defined.
Committees or other authorisation bodies must have sufficient representation, competence, authority and resources to enable them to make appropriate decisions.
Disciplined Governance arrangements, supported by appropriate methods, resources and controls, must be applied throughout the Project Life Cycle.
A single point of accountability must exist for all projects.
Projects must be structured and governed in a way that is logical, robust, and that supports repeatable management decision-making processes and structures.
Project governance structures must be clearly distinguishable from organisational structures.
Every Project must have a sponsor.
The Project Owner must be the person who is responsible for delivering services from the building or system.
Stakeholders should be engaged at a level that is commensurate with their importance to the organisation and in a manner that fosters trust.
Projects must plan and allow sufficient resource to ensure a smooth transition to a fully operable state. This will include change management, training and transition management.
<b>Capability, Processes and Systems</b>
Project management capability and systems must exist, and be fit for purpose.
Projects must be well-managed.
Projects should be managed in a way that allows them to be fluid and move ahead, without being hindered by too much red tape.
There should be a clear distinction between projects and non-project-based activities.
Decisions made should clearly align to organisational objectives and the Project Business Case.
Decisions made at authorisation points must be recorded and communicated.
<b>Business Cases and Project Plans</b>
Projects must be supported by an appropriate and compelling Business Case that clearly outlines objectives and scope.
Project Business Cases must be supported by accurate, relevant and realistic information that provides a reliable basis for making decisions.
Project benefits must be clearly identified in the Business Case and reported against throughout the Project Life Cycle, and also after the project has been completed.
All projects must have an approved Project Management Plan containing authorisation points at which the Business Case, inclusive of cost, benefits and risk will be reviewed.
Project Management Plans must span all project stages, and must be kept up-to-date.
<b>Project Reporting</b>
Projects should implement the structures and processes in this document to support a system of accurate status and progress reporting.

There must be clearly defined criteria for reporting project status and for the escalation of risks and issues.
Project reporting must be appropriate, full, timely and accurate.
Project activities and reporting should provide visibility and transparency.
A central document repository should exist. Projects must maintain a good historical record of all project activities and decisions.
A process for management and resolution of issues must exist.
A process for management and reporting of risks must exist.
<b>Health and Safety</b>
Processes for managing issues and risks must fully include consideration of health and safety
Health and safety is a core responsibility of all people involved in a project, and must be considered from the project initiation and planning stages, and then throughout all aspects of the project.
Acceptance of health and safety criteria need to be incorporated into the hand-over process for new buildings/facilities.
<b>Sustainability</b>
Sustainability is a critical consideration to all projects and must be considered from the project initiation and planning stages.
<b>Specific to the Portfolio</b>
Portfolio-level reporting will be summarised to facilitate Governance decision-making. However, the ability to drill down into specific projects will also be put in place.
There must be a demonstrably coherent and supporting relationship between the Project Portfolio and the University's overall strategic direction.
The University Council (or its delegated agents or sub-committees) decides when independent scrutiny of projects or project management systems is required, and will implement such scrutiny accordingly.
The University fosters a culture of continuous improvement, and of frank internal disclosure of project management information.
If a project can no longer be justified as part of the organisation's portfolio it will be closed.

## 4. CATEGORISING A PROJECT

University Projects will vary in size and complexity from small to large. Project management disciplines, project governance, and reporting requirements will vary according to the size of the project.

The size of the project should be determined by the Project Sponsor in conjunction with the relevant Operations Division Director, the Project Manager, the Project Owner and the PSC. The project size should be determined as early as possible after project initiation.

The following project size scaling matrix should be used as a guide to determine the project size. As a general rule: **A project should be categorised as the larger size when two or more characteristics are shown.** For example, a project mandated by University Council AND with significant impact to people or any impact to University business would be categorised as a large project, regardless of other characteristics.

The UOPMO can assist with classification in cases where there is doubt about the correct classification of project size, or if application of the sizing matrix provides an anomalous result.

Characteristic	Small <i>(If two or more apply)</i>	Medium <i>(If two or more apply)</i>	Large <i>(If two or more apply)</i>
Strategic Importance	Project goals and objectives are operational in nature.	Project goals and objectives are tactical and support enacting the strategic intentions of the University, or the Project is mandated by VCAG as very high priority.	Project has been mandated by Council, or is a cornerstone in University Strategic Direction.
Change Impact	Little or no impact on any aspects of University Business.	Moderate impact to people or any aspect of University business.	Significant impact to people or any aspect of University business.
ICT Change Impact	Implementing, upgrading or replacing a standalone system restricted to a school or department. No expected impact on groups outside of the implementing school or department.	Implementing, upgrading or replacing a system which will affect at least one other department beyond the implementing school or department.	Implementing, upgrading or replacing a system which will affect many departments or schools or across divisions.
Complexity	Scope and tasks are easily enacted and readily achievable. There is minor risk for increases in costs or Scope	Scope or tasks are not easily achievable. Some challenge in achieving. There is moderate risk for the Project to increase in cost or Scope.	Scope and tasks are difficult to define or highly challenging to achieve. There is high risk or certainty that the Project will increase in cost or Scope.
Risk	The Project is unlikely to cause disruption to University business, or there is little likelihood of failure to deliver anticipated outcomes.	There is some likelihood that the Project could cause disruption of University business, or to fail to deliver anticipated outcomes.	It is extremely likely that the Project will cause disruption to the University, or to fail to deliver anticipated outcomes.
Construction Project Cost	\$1-\$5 million	\$5-\$10 million	>\$10 million
ICT Project Cost	<\$250,000	\$250,000-\$1 million	>\$1 million

Characteristic	Small <i>(If two or more apply)</i>	Medium <i>(If two or more apply)</i>	Large <i>(If two or more apply)</i>
Size of Project Management Team	0-1	1 to 2	>2
External PMs required	No	Unlikely	Likely
Project Duration - Construction	<6 months	6-12 months	>12 months
Project Duration - ICT	<3 months	3-6 months	>6 months
Time Constraints	Programme can vary without causing notable flow-on effects.	Some Programme variations/delays can be accommodated.	Project is constrained to firm deadlines.
Inter-Project Dependencies	No significant dependencies or interrelated projects.	Some significant dependencies or interrelated projects. None are high-risk.	Major high-risk dependencies or interrelated projects.
Campus Development/ITS Level Lead	Senior Project Officer, or Assistant Project Manager (PM).	PM or Senior PM.	Senior PM.

The following sections on roles and responsibilities will refer back to this matrix on project size.

As a general rule, **medium** and **large** projects will:

- Comply with all parts of this governance framework.
- Be monitored by the UOPMO.
- Project Status Reports will be provided to VCAG and CDC.

People working on **small** projects, or **project-like work**, will find the governance framework helpful in establishing and managing their projects. However, their compliance with the framework can be tailored to fit the size and risk of their project.

The UOPMO is available to assist staff with applying the framework to small projects or project-like work.

## 5. PROJECT STRUCTURE

All University projects will have a standard underlying structure which provides strong governance according to this framework. The UOPMO can assist the Project Sponsor and the Project Manager to tailor this structure to their Project.

Figure 9 outlines a standard governance structure which can be tailored to suit a small, medium or large project. For large projects, particularly in construction, a more complex structure is required, although the standard structure is still apparent. An example of a more complex structure is outlined in Figure 10.

Points to note about this structure:

- This is a fundamental project structure that can be applied to all projects: construction, IT or organisational.
- For larger projects which have many User Planning Teams (UPTs) or reference groups, an Executive Planning Team (EPT) an Organisational Change Manager is required. Each of these roles is explained more fully in the following sections.
- The responsibility for Health and Safety is written into specific role descriptions. However, it is stated here for the sake of clarity, Health and Safety is the responsibility of each committee and individual outlined in the framework.

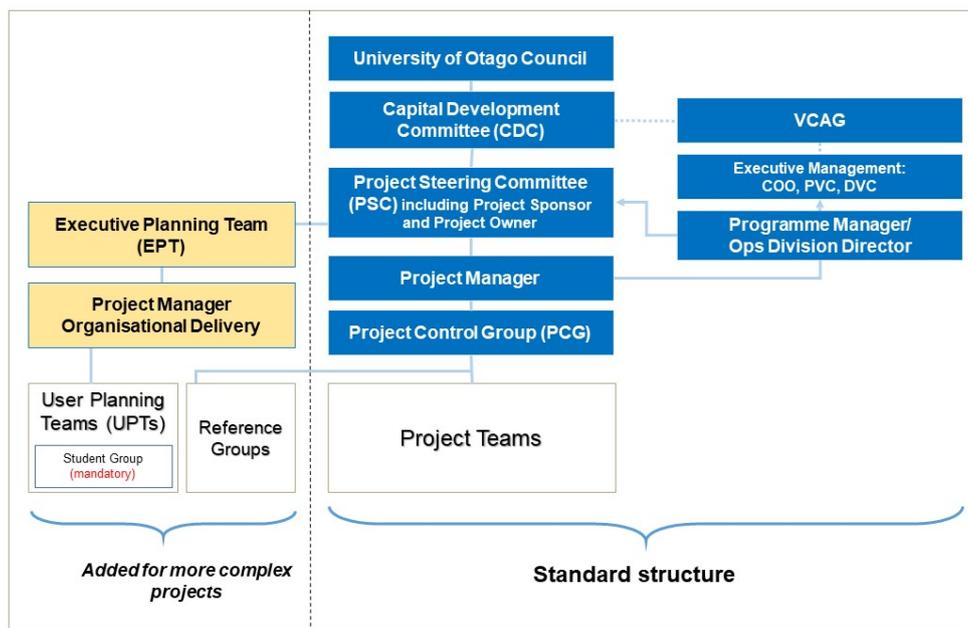


Figure 9: Fundamental Project Structure

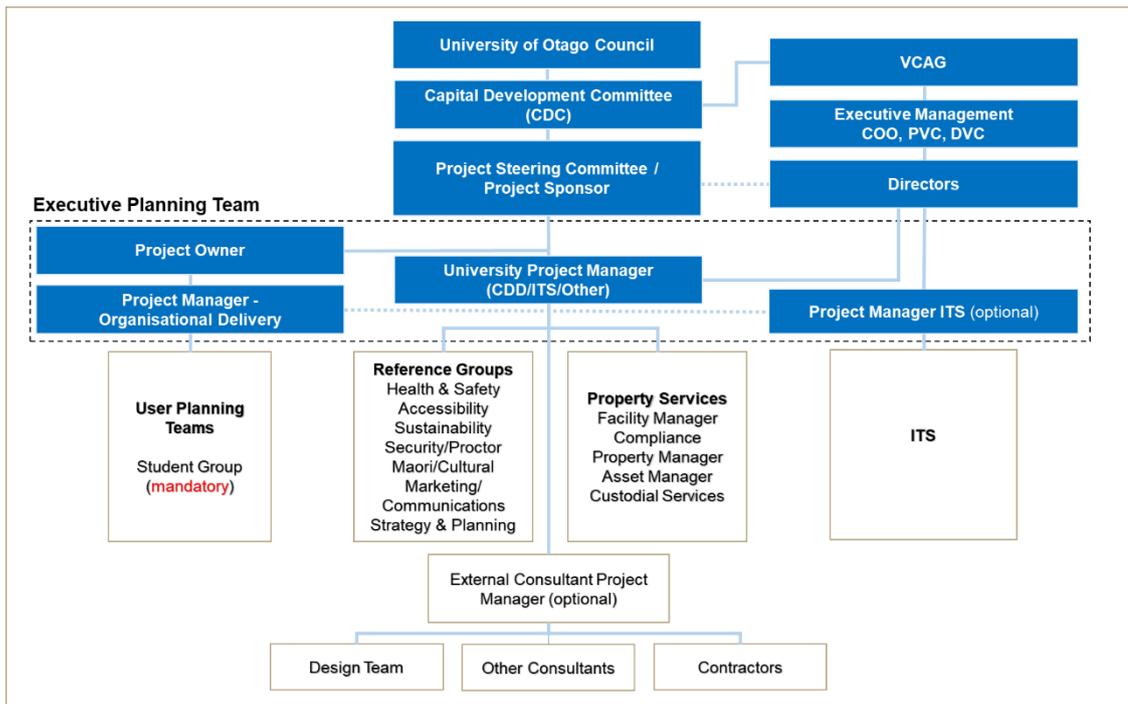


Figure 10: Example of a Complex Structure for Large Projects

Sections Six and Seven of this document provide more detailed information about the specific roles of each committee and person in the project structure.

## 6. COMMITTEE ROLES AND RESPONSIBILITIES

This section details project committee roles and responsibilities.

### 6.1. Project Steering Committee (PSC)

A Project Steering Committee (PSC) must be established at initiation stage for all projects categorised as medium or large. The PSC steers a project from start to completion.

It is strongly recommended that a PSC is also considered for projects categorised as small. In smaller projects, it may be appropriate to combine or delegate roles. The UOPMO can assist with scaling the PSC to a more appropriate nature for small projects.

The PSC is responsible for the issues associated with the project that are essential to ensuring the delivery of the project outputs and the attainment of project outcomes. The PSC is clearly concerned about the specifics of the project, however the committee should also focus more broadly to monitor any impacts on the project's value and viability, as well as business readiness.

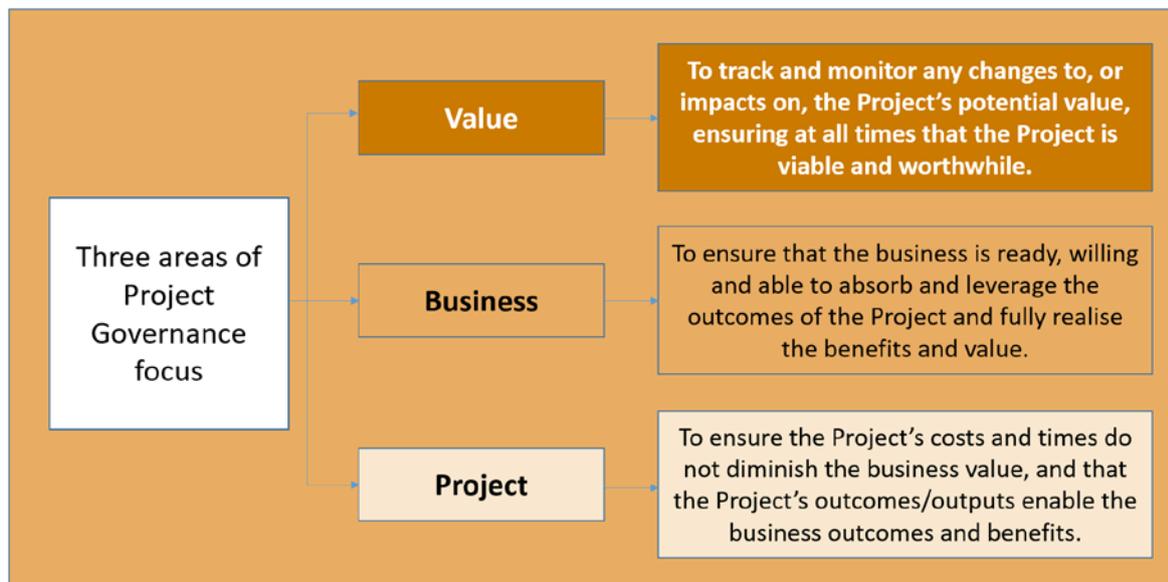


Figure 11: The Broad Focus of a PSC

The role of the PSC is to:

- Be the key strategic decision-making body for the project.
- Proactively monitor, mentor, challenge and support the Project Manager and team on the project's progress.
- Oversee planning, design, construction and commissioning.
- Accept and decide on matters escalated from the EPT or other groups.
- Set direction for the project and ensure the project delivers its intended benefits and objectives.
- Provide those directly involved in the project with guidance on project business issues.
- Ensure effort and expenditure are appropriate to Stakeholder expectations.
- Monitor & manage issues and risks, including Health and Safety. This includes, but is not limited to:

- Ensure potential risks to project success are identified, managed and regularly assessed.
- Address any issue which has major implications for the project.
- Ensure the Health and Safety risk register is completed, and that monitoring of compliance with controls to mitigate risks are reported.
- Keep the Project Scope under control as emergent issues force changes to be considered.
- Ensure the project is integrated into other University projects as appropriate.
- Reconcile differences in opinion and approach and resolve disputes arising from them.
- Provide advice and act as a conduit to and from the University Executive Management, e.g., VC, COO, CFO and relevant Committees, e.g., VCAG and CDC.

#### 6.1.1. Responsibility of the PSC:

- On establishment, three months' post-establishment and annually thereafter, conduct governance checks and report in accordance with the governance establishment reporting requirements (refer Section 8.5).
- Define the project outcomes, and help the Project Team to achieve these outcomes.
- Identify and monitor potential issues and risks and their treatment.
- Monitoring of Project Health and Safety issues, and ensuring their effective management.
- Monitor progress of the project and intervene where necessary to ensure the best outcome for the University.
- Monitor timelines.
- Monitor the project budget and cost management.
- Approve all substantive cost and time variations to the overall programme of works.
- Monitor and control scope change.
- Provide advice and make decisions about changes to the project as it develops.
- Monitor the quality of the project as it develops.
- Provide a decision-making forum with the authority to respond to requests for decisions or recommendations received from the Project Manager and/or the EPT.
- Ensure the interests of the client are adequately protected and represented.
- Receive and endorse monthly Project Status reports.
- Ensure that any organisational and/or work practice changes desired as an outcome of the programme are identified and achieved.
- Review and approve any reports, drawings and relevant documentation at the completion of each phase (seeking endorsement from EPT).
- Ensure adequate communication, consultation and organisational engagement and change management strategies are in place.
- Ensure the PSC Terms of Reference (TOR) and membership remains effective.
- Provide monthly reports to VCAG and CDC for all projects categorised as large (refer Section 4 for scaling matrix).
- Ensure requirements of this framework are fulfilled throughout the life of the project.

### 6.1.2. Responsibility for Strategic Intervention or Termination of a Project

Often when a project is under stress, early and decisive intervention can result in the best value outcome for the University.

The PSC is responsible for identifying the potential need for remedial actions and/or strategic intervention, and termination where appropriate and escalating this as appropriate on a timely basis.

### 6.1.3. Membership of the PSC

Membership of the PSC should be considered carefully. The right people must be involved for the committee to work effectively, and the size of the committee membership needs to be fit-for-purpose.

Individuals with the necessary leadership and management skills, knowledge and attributes should be selected for PSC membership. Members may maintain their membership of a PSC even if their role within the organisation changes. In some instances, it may be appropriate to include specific expertise on the PSC during particular phases of the Project Life Cycle, for example, a design expert in the early phases of a project.

As a guide, the PSC membership would expect to include:

- Project Sponsor (refer Section 7.1)
- The Project Sponsor will usually chair the PSC. (Section 7.3. outlines the role of the PSC Chair). At times it may be appropriate to appoint another member of VCAG, or a suitably qualified external person to the role of PSC Chair, this should always be approved by VCAG.
- Project Owner (service delivery owner), refer to Section 7.2.
- Member with relevant, related project governance experience/expertise, e.g., building or IT.
- Representative(s) from key stakeholders (e.g. senior end users).
- Representative from Financial Services Division.
- The Office of Risk, Assurance and Compliance is to be a standing (non-voting) invitee to all PSCs and receive all circulated documents for all projects.
- A representative from Health and Safety Compliance is to be a standing (non-voting) invitee to all PSCs and receive all circulated documents for all projects.
- UOPMO is to have a standing (non-voting) invite to all PSCs and receive all circulated documents for all projects.

Further Information and Tools related to PSC:

- For Monthly reports that the PSC is required to complete, refer to Section 8.2.3.
- For a Checklist for Establishing Project Governance, refer to Section 11.
- For '6 Key Questions for Every Governance Committee to Ask', refer to Section 12.
- For PSC Terms of Reference, refer to OURDrive link:  
[https://ourdrive.otago.ac.nz/ou-projects/\\_layouts/15/WopiFrame.aspx?sourcedoc=/ou-projects/ProjectDocumentTemplates/Project%20Steering%20Committee%20\(PSC\)%20Terms%20of%20Reference.docx&action=default](https://ourdrive.otago.ac.nz/ou-projects/_layouts/15/WopiFrame.aspx?sourcedoc=/ou-projects/ProjectDocumentTemplates/Project%20Steering%20Committee%20(PSC)%20Terms%20of%20Reference.docx&action=default)

- For PSC Committee Agenda Template, refer to OURDrive link:  
[https://ourdrive.otago.ac.nz/ou-projects/\\_layouts/15/WopiFrame.aspx?sourcedoc=/ou-projects/ProjectDocumentTemplates/Project%20Steering%20Committee%20\(PSC\)%20Agenda.docx&action=default](https://ourdrive.otago.ac.nz/ou-projects/_layouts/15/WopiFrame.aspx?sourcedoc=/ou-projects/ProjectDocumentTemplates/Project%20Steering%20Committee%20(PSC)%20Agenda.docx&action=default)
- For an Information Sheet for PSC Members, refer to Section 13.
- For a Project Sponsor's Checklist for Establishing a PSC, refer to Section 14.
- For PSC Health Check tool, refer to Section 15.

## 6.2. Project Control Group (PCG)

A Project Control Group (PCG) must be established at initiation stage for all projects categorised as medium or large. The PCG is the primary working group which coordinates the management of the project on a day-to-day basis from start to completion.

The Role of the PCG is to:

- Coordinate the management of the project on a day-to-day basis.
- Provide recommendations to the PSC relating to all aspects of the project and undertake actions on behalf of the PSC, within delegated limits.
- Provide a key forum for the co-ordination of activities between the Project Team, the Project Manager, and key consultants (architects, services engineers, quantity surveyors).

### 6.2.1. Responsibilities of the PCG

- Monitor progress against the overall Project Programme, and take action to address delays where they occur.
- Develop and review the project planning frameworks, prioritised timelines and responsibilities.
- Monitor financial progress against budget, taking action as required, within delegated limits, to maintain progress within budget.
- Resolve project scoping issues at a detailed level, reporting to the PSC as required.
- Ensure close liaison between key client representatives, the Project Managers, and the key consultants, and provide clarity on respective roles and responsibilities when required.
- Identify, manage and monitor risk management activities across the project.
- Monitor Health and Safety activities and ensure compliance and reporting with University safety systems occurs across the project.
- Monitor quality activities across the project.
- Overview the briefing, engagement and management of the vendors, full consultant team, and construction contractors within levels of delegation.
- Perform actions and respond to the requests as directed by the PSC.
- Contribute to monthly status reporting and status updates.

### 6.2.2. Membership of Construction PCGs

PCG membership for construction or building projects should include:

- University Project Director or Project Manager.
- External Project Manager (if engaged for Project).
- Organisational Delivery Project Manager (if appointed) or senior client/owner's representative.
- Project Manager – ITS (if appointed) or ITS representative.
- Architect.
- Services engineers.
- Quantity surveyor.

- Other core consultants.
- Strategy and Planning member of Campus Development Division.
- Construction Health and Safety Manager / Asbestos Manager.
- Managing contractor (once engaged).

In construction projects, consideration should also be given to the following members to ensure integration:

- ITS Project Manager or representative from ITS (ICT services are often critical to project success and require close coordination through planning, design, construction and commissioning).
- Health and Safety Compliance representative(s) as appropriate to the nature of the project.

### 6.2.3. Membership of PCG for ICT Projects

PCG membership for ICT Projects should include:

- University Project Director / Project Manager.
- External Project Manager (if engaged for project).
- Organisational Delivery Project Manager (if appointed).
- Senior representatives from the service delivery area (or areas if the system will affect more than one part of the University).
- Other senior IT staff involved with the project (e.g. Operations Services, Systems Services, Network Services, and The Information Security Office).
- Representative from ITS Customer Services.
- Subject matter experts.
- Change Manager if appointed.

Further Information for PCG:

- For details on the records that the PCG is required to complete, and outlines how the PCG should update the project registers, refer to Section 8.2.3.
- For PCG Terms of Reference, refer to OURDrive link:  
[https://ourdrive.otago.ac.nz/ou-projects/\\_layouts/15/WopiFrame.aspx?sourcedoc=/ou-projects/ProjectDocumentTemplates/Project%20Control%20Group%20\(PCG\)%20Terms%20of%20Reference.docx&action=default](https://ourdrive.otago.ac.nz/ou-projects/_layouts/15/WopiFrame.aspx?sourcedoc=/ou-projects/ProjectDocumentTemplates/Project%20Control%20Group%20(PCG)%20Terms%20of%20Reference.docx&action=default)

For PCG Agenda template, refer to OURDrive link:

[https://ourdrive.otago.ac.nz/ou-projects/\\_layouts/15/WopiFrame.aspx?sourcedoc=/ou-projects/ProjectDocumentTemplates/Project%20Control%20Group%20\(PCG\)%20Agenda.docx&action=default](https://ourdrive.otago.ac.nz/ou-projects/_layouts/15/WopiFrame.aspx?sourcedoc=/ou-projects/ProjectDocumentTemplates/Project%20Control%20Group%20(PCG)%20Agenda.docx&action=default)

### 6.3. Executive Planning Team (EPT)

An Executive Planning Team (EPT) is expected in complex projects with numerous or varied planning teams. This would typically apply to projects categorised as medium or large.

The success of the project is dependent on significant operational preparedness and change to operations, business processes and systems, and the EPT is a critical element in ensuring strong commissioning and operational readiness.

Establishment of an EPT is at the Project Steering Committee's (PSC) discretion. The decision on whether or not to establish an EPT should be outlined in the Project Management Plan and discussed with the PSC as part of the establishment of project governance. Although every project is different, as a general rule the EPT option should be adopted if there are multiple User Planning Teams (UPT: *refer section 6.4* for more information about UPTs) with potentially competing demands, or a complex operating environment.

The EPT can effectively deal with operational and design-related issues escalated from the planning teams to avoid the PSC needing to get involved or bogged down with matters that can distract focus from their core role.

At completion of design and commencement of construction, the EPT can transition into the Commissioning Committee.

The Role of the EPT is to:

- Determine the core services that are to be delivered as a result of the project.
- Oversee and review all service and functional design briefs.
- Oversee operational aspects of design.
- Ensure Health and Safety in design is embedded into the design briefs, relevant to the project.
- Overview of the Health and Safety management throughout the life of the project including Health and Safety risks and ongoing management requirements are documented for hand over
- Reconcile differences in opinion and approach and resolve disputes arising from them.
- Act as the vehicle for operational and faculty related decision making on the project; overseeing the work of the individual UPTs, and making recommendations to and seeking decisions from the PSC as required.
- Ensure facility/system is operationally commissioned.

#### 6.3.1. Responsibility of the EPT

- Recommend/approve UPTs' framework.
- Ensuring both student and staff requirements are represented throughout project.
- Ensuring Health and Safety is considered throughout the design, build and commissioning phases of the project. This includes the Health and Safety any ongoing operational and maintenance requirements.
- Ensure health and safety risks and hazards related to the completed product are documented within Vault with the appropriate controls recorded.

- Respond to operational or business-related issues as they arise from each of the UPTs, resolving conflict and providing guidance as required.
- Plan or establish sub-committee or working groups to ensure facility/system is operationally commissioned when required.
- Construction projects only: Facilitate the development of strategic brief and functional design brief for the project.
- Construction projects only: Review schedules of accommodation, designs, equipment schedules and proposals as they are progressively prepared by the consultants (following their initial review at planning teams).
- Construction projects only: Review and approve interior design schemes and finishes and furniture, fittings and equipment (FF&E).

### 6.3.2. Membership of the EPT

- Project Owner (Chair).
- Organisational Delivery Project Manager (if appointed) or senior client/owner's representative.
- Project Director (if appointed).
- ITS Project Manager (if appointed) or ITS representative.
- Faculty Business Manager.
- Student representative.
- Health and Safety Compliance Representative.
- Other representatives nominated by the Project Owner.

#### Further Information on EPT:

- For EPT Terms of Reference, refer to OURDrive link:  
[https://ourdrive.otago.ac.nz/ou-projects/\\_layouts/15/WopiFrame.aspx?sourcedoc=/ou-projects/ProjectDocumentTemplates/Executive%20Planning%20Team%20\(EPT\)%20Terms%20of%20Reference.docx&action=default](https://ourdrive.otago.ac.nz/ou-projects/_layouts/15/WopiFrame.aspx?sourcedoc=/ou-projects/ProjectDocumentTemplates/Executive%20Planning%20Team%20(EPT)%20Terms%20of%20Reference.docx&action=default)
- For EPT Agenda template, refer to OURDrive link:  
[https://ourdrive.otago.ac.nz/ou-projects/\\_layouts/15/WopiFrame.aspx?sourcedoc=/ou-projects/ProjectDocumentTemplates/Executive%20Planning%20Team%20\(EPT\)%20Agenda.docx&action=default](https://ourdrive.otago.ac.nz/ou-projects/_layouts/15/WopiFrame.aspx?sourcedoc=/ou-projects/ProjectDocumentTemplates/Executive%20Planning%20Team%20(EPT)%20Agenda.docx&action=default)
- For EPT Sub-Group Report template, refer to OURDrive link:  
[https://ourdrive.otago.ac.nz/ou-projects/\\_layouts/15/WopiFrame.aspx?sourcedoc=/ou-projects/ProjectDocumentTemplates/Executive%20Planning%20Team%20\(EPT\)%20Sub-Group%20Report.docx&action=default](https://ourdrive.otago.ac.nz/ou-projects/_layouts/15/WopiFrame.aspx?sourcedoc=/ou-projects/ProjectDocumentTemplates/Executive%20Planning%20Team%20(EPT)%20Sub-Group%20Report.docx&action=default)

## 6.4. User Planning Teams (UPTs)

A User Planning Team (UPT) is a group which includes faculty, students or other occupants of the proposed building / users of the proposed system. They are included in the project to ensure effective input into the planning and design process. A student UPT is mandatory in cases where a facility or system will have student impact.

The role of each UPT is to:

- Ensure appropriate involvement *at all levels within the organisation*, and to ensure staff and student 'ownership' of the design of the new facilities or systems.
- Ensure that key services and operational objectives of the project are achieved at the detailed planning level, through constructively working with the Project Team Members as plans and other documents are prepared. In construction or building projects this would be working with the architect and Design teams. In ICT projects this would be working with the ITS Project Manager and system design teams.

The User Planning Team will escalate operational issues generated by the planning and design process which they cannot resolve, or which require a decision at the EPT or senior level. This would be done by informing the EPT, or where no EPT is established, the senior faculty representative or Project Owner would be informed.

### 6.4.1. The responsibilities of each UPT is to:

- Identify and define user requirements which will be reflected in the project.
- Provide information to the Project Managers, the architect/designer and engineers which ensures that the design (for facilities or system) meets the agreed user needs.
- Review and comment on the design and documentation as it is produced, bearing in mind the operational implications inherent in the approved designs.
- Review and provide comment on the health and safety risks and requirements in relation to the operational implications. A Health and Safety representative is required on user groups, (additional Health and Safety resources are available from the Health and Safety Compliance team).
- Consider and evaluate opportunities for achieving service delivery efficiencies.
- Ensure that there is appropriate communication of group decisions and recommendations to all staff in the relevant department or service division the planning team is established to represent.
- Assist the EPT, or the EPT's Commissioning Committee, with planning for operational commissioning of the facility.

Specific to construction projects

- Review and sign off on samples and prototypes etc. during the construction phase of each project.
- Review the detailed schedule of accommodation and the detailed Room Data Sheets prepared by the consultants, which will set the standard upon which the facilities will be developed, acknowledging that the outcomes must fall within the boundaries of cost and space set by the project budget, and as approved ultimately by the PSC.

- Prepare proposed changes to the functional design brief upon which the consultants work is based for approval by the EPT.

#### Specific to ICT Projects

- Review the detailed implementation plan and future state specifications, which will set the standard upon which the systems will be developed; acknowledging that the outcomes must fall within the boundaries of cost and function set by the project budget, and as approved ultimately by the PSC.

#### For more information about User Planning Teams

- For User Planning Team Terms of Reference, refer to OURDrive link: [https://ourdrive.otago.ac.nz/ou-projects/\\_layouts/15/WopiFrame.aspx?sourcedoc=/ou-projects/ProjectDocumentTemplates/User%20Planning%20Team%20\(UPT\)%20Terms%20of%20Reference.docx&action=default](https://ourdrive.otago.ac.nz/ou-projects/_layouts/15/WopiFrame.aspx?sourcedoc=/ou-projects/ProjectDocumentTemplates/User%20Planning%20Team%20(UPT)%20Terms%20of%20Reference.docx&action=default) . This attachment will typically be included in the Project Management Plan.
- For Information Sheet for User Planning Teams to inform members about the design process, refer to OURDrive link: [https://ourdrive.otago.ac.nz/ou-projects/\\_layouts/15/WopiFrame.aspx?sourcedoc=/ou-projects/ProjectDocumentTemplates/User%20Planning%20Teams%20\(UPT\)%20Information%20Sheet%20-%20Design%20Process%20Explained.docx&action=default](https://ourdrive.otago.ac.nz/ou-projects/_layouts/15/WopiFrame.aspx?sourcedoc=/ou-projects/ProjectDocumentTemplates/User%20Planning%20Teams%20(UPT)%20Information%20Sheet%20-%20Design%20Process%20Explained.docx&action=default)
- Refer Section 16 for a list of Student Associations to assist with student UPTs.

## 6.5. Reference Groups/Subject Matter Experts

Reference groups comprise internal or external stakeholders with organisational responsibilities and oversight that requires them to be informed or have input into the project. They are different from UPTs in that they may not be end-users of the facility. Members of reference groups will have the skills to address particular project issues. They may also be Subject Matter Experts called on to address a particular set of issues.

A Reference Group is specifically tasked by the PSC or the Project Manager. Their responsibilities may include:

- Input into specific design, construction or commissioning elements.
- Alignment with University strategic initiatives, campus masterplans or design guidelines.
- End of design phase reviews and input.
- Providing specialist input, for example, Health and Safety, accessibility, cultural, sustainability etc.
- Quality assurance during the project implementation.

The internal reference groups that must be identified as key Stakeholders to be consulted throughout a University Project are listed here. It is expected that, as a minimum, their endorsement of design would be sought at each design phase.

- Relevant Faculty/Divisional student association or associations, e.g. OUSA, COMSA, OUMSA, ATOM, SOULS (refer Section 16).
- Health and Safety Compliance.
- Disability Information and Support.
- Sustainability Office.
- Office of Maori Development.
- Marketing and Communications.

Specific to Construction Projects:

- Campus Development Division, Planning and Strategy staff (engineering services, architectural).
- Property Services Facilities Management.
- Property Services Compliance.
- Property Services Custodial Services.
- Property Services Property Management Unit.
- Proctor / Campus Watch.
- ITS.

## 7. INDIVIDUAL PROJECT ROLES AND RESPONSIBILITIES

This section outlines the roles and responsibilities of key people within projects.

The quality of project resources is one of the most important factors in the success of the project. Therefore, an appropriate team structure with clear lines of accountability should be in place, and quality resources applied. The investment in quality project resources will add significant value to the project, through more sophisticated and efficient project implementation.

### 7.1. Project Sponsor

The Project Sponsor has ultimate accountability and responsibility for a project.

The Project Sponsor will typically be a member of VCAG, and would usually represent the operational division in which the project's outcomes will be delivered. As an experienced executive well versed in the details of organisational stakeholder and client requirements and relationships, the Sponsor is the link between the management of a project, and the organisation's senior executive (Vice Chancellor), senior executive body (VCAG) and University Council sub-committees (CDC, Audit and Risk).

The Sponsor is also a mandatory core member of the PSC for all projects and, if suitably experienced, usually the Chair. The Sponsor should preferably have experience in Project management.

#### 7.1.1. Responsibilities of the Project Sponsor

- Has ultimate accountability and responsibility for the project.
- Is responsible to the University and the University Council for the success of the project.
- Establishes, maintains and reports on effectiveness of project governance structures (refer Section 5).
- Provides PSC leadership and chair. (Section 7.3.1 outlines the responsibilities of the PSC Chair. Where the Sponsor does not take the role of PSC Chair, they are required to delegate this role to another senior person.)
- Clearly understands the business rationale for the project.
- Ensures the project will produce deliverables that enable the benefits to be realised.
- Champions the project within the organisation, including to VCAG, CDC and the University Council.
- Actively monitors project progress and raises questions when needed for clarity.
- Is prepared to intervene and/or escalate if required.
- Facilitates the approval processes and financial resourcing for the project, i.e., drives development of Business Case, proposes and presents Business Case to VCAG, CDC and Council.

### 7.2. Project Owner

Usually the primary reason for investing in a project is to achieve a service outcome, and this service outcome should always be the focus of the project. The Project Owner should be the senior person who is best positioned to achieve the project's identified benefits.

### 7.2.1. Responsibilities of the Project Owner

- Maintains oversight and accountability for the business alignment, project progress and long term realisation of benefits.
- Champions the project within their division, school or department.
- Attends PSC meetings.
- Attends other project meetings as required.
- Is accountable for ongoing ownership of project deliverables.
- Ensures project will produce deliverables that enable the benefits to be realised.
- Represents the needs of the business.
- Makes business users are made available to the project.
- Is prepared to intervene and/or escalate if required.
- Champions Health and Safety on the project.
- Is responsible for operational commissioning.

### 7.3.PSC Chair

The Chair will conduct the meeting according to the agenda, ensuring that all members are encouraged to provide input throughout the meeting and that any decisions or recommendations are adequately resolved and agreed to by the members.

#### 7.3.1. Responsibilities of the PSC Chair

The PSC Chair is responsible for ensuring:

- A PSC is established and meetings are scheduled.
- The PSC members understand the committee's Terms of Reference and their own roles and responsibilities.
- Decisions required are made, recorded and acted upon.
- Monthly project status reports are approved and copies of the Executive Summary are circulated in accordance with this framework (refer to Section 8.2.3).
- Meetings are correctly recorded (refer to Section 8.2.3). The PSC Chair is responsible for reviewing and signing the PSC minutes.
- The PSC members regularly refer to tools such as '6 Key Questions for Every Governance Committee to Ask' (refer to Section 12).
- A PSC Chair's Checklist is completed early in PSC establishment (refer to Section 14).
- A PSC Health Check is conducted at regular occurrences; 6 monthly is suggested as appropriate (refer to Section 15).

### 7.4.Project Director

The Project Director is the Campus Development Division or ITS Division Project Manager responsible for the project. In projects without an IT or Build component, another Director may be appointed.

The Project Director acts as the agent of the Project Sponsor on a day-to-day basis, and is responsible for empowering the Project Manager to discharge their responsibilities. The Project

Director provides the Project Manager with the specialist resources and skills necessary to develop and/or deliver a project to an agreed scope, quality, schedule and budget.

This role is usually the Project Manager's line (contractual or project structure) manager. For smaller projects, the role of Project Director and Project Manager may be combined.

#### 7.4.1. Roles and Responsibilities of the Project Director

- Manages the University's internal Project Team, internal stakeholders and reference groups and other internal resources input into the project.
- Acts under delegated authority from the PSC.
- In conjunction with the Project Owner, manages the internal stakeholders and reference groups.
- Champions Health and Safety on the project.
- Provides direction to the Project Manager on behalf of the University.

#### 7.5. Project Manager

The Project Manager is the key person around whom a project will ultimately revolve. The Project Manager is responsible for the successful delivery of project outcomes as outlined in the Business Case and/or the Project Management Plan.

- Reports to the University's Project Director.
- Along with the Project Director attends, reports to, seeks guidance and takes direction from the PSC.
- Provides the day-to-day management of the project delivery in accordance with the University's Project Management framework and contractual brief.

##### 7.5.1. Responsibilities of the Project Manager

- Accountability to the PSC for delivery of the project.
- Reporting to the PSC at regular intervals.
- Ensuring the project is managed in accordance with agreed processes and tolerances.
- Dealing with contractors to ensure project progression.
- Maintaining the Project Risk Register and the integration of risk treatments and control activities into project plans and activities.
- Approving minor variations to budget, schedule or scope, within agreed delegations.
- Managing and monitoring the project activity through detailed plans and schedules and preparation of reports.
- Managing day-to-day stakeholder relationships and issues with the University Project Team.
- Managing Project Sponsor and Stakeholder expectations through the formal specification and agreement of goals, objectives, scope, outputs, resources required, budget, schedule, project structure, roles and responsibilities and communication to them on progress.
- Inspecting project progress and element completion for quality assurance.
- Ensuring the project proceeds in accordance with budget, programme and quality objectives.

- Representing University interests in dealings with consultants, contractors, authorities and external stakeholders.
- Directing and coordinating the activities of all appointed consultants including the engagement of further consultants.
- Certifying consultant and contractor payments.
- Providing design phase and construction phase programming services.
- Providing superintendent services (Engineer to the Contract) in accordance with the construction contract (construction only).
- Health and safety.
- Coordination of handover at the end of the project.

For the full details on the Terms of Reference for an External Project Manager, refer to OURDrive link:

[https://ourdrive.otago.ac.nz/ou-projects/\\_layouts/15/WopiFrame.aspx?sourcedoc=/ou-projects/ProjectDocumentTemplates/Terms%20of%20Reference%20for%20an%20External%20Project%20Manager.docx&action=default](https://ourdrive.otago.ac.nz/ou-projects/_layouts/15/WopiFrame.aspx?sourcedoc=/ou-projects/ProjectDocumentTemplates/Terms%20of%20Reference%20for%20an%20External%20Project%20Manager.docx&action=default)

## 7.6. Project Team

A Project Team is led by the Project Manager, and works for the successful delivery of project outputs as outlined in a Business Case and/or Project Management Plan. It is desirable that a Project Team includes representatives from the business unit(s) affected by the project. The specialist expertise required for the project may include financial, technical, operational, communication, environmental, risk, procurement, contractual and legal skills. The mix of skills and experience will vary by project type.

The composition of the team may change as the project moves through its Life Cycle. The assessment and selection of people with the requisite skills for each phase of a project is critical to overall success. The skills should be explicitly identified in the project planning process. The Project Team is responsible for completing tasks and activities required for delivering project outputs. They may be called on to support the PSC by providing reports or information at the discretion of the Project Manager.

Typically, the Project Team will consist of the following roles:

### 7.6.1. Assistant Project Manager

The Assistant Project Manager will be responsible for:

- Day-to-day support to the Project Director or Project Manager.
- Completing assigned work within the budget, timeline and quality expectations.
- Informing the Project Manager of issues, scope changes, risks and quality concerns.
- Attending planning team meetings.
- Undertaking stakeholder engagement and communications.
- Reviewing drawings and room data sheets / future state specifications.
- Health and safety.

### 7.7. Organisational Delivery Project Manager / Project Champion

The Organisational Delivery Project Manager (sometimes known as a Project Champion) acts as the agent of the Project Owner on a day-to-day basis. As such, the individual appointed should be a senior person who is well positioned to maintain a service outcome focus for the project. The Organisational Delivery Project Manager will:

- Generally be appointed by the Project Owner in conjunction with the Project Team.
- Have in-depth knowledge of the operation and day-to-day running of the service.
- Have the ability to harness the input of a wide range of users and user representatives.
- Have day-to-day management of the Project Owner's business and UPT's input into the project e.g.
- Student representative engagement.
- Managing UPT leads and planning teams.
- Workforce planning (if any) for new facility/system.
- Ensuring functional briefing and design remains aligned with the needs of the business.
- Defining equipment requirements.
- Managing internal communications.
- Moderating user requests.
- Assisting with assessment of change proposals.
- Liaise closely with the Project Director and Project Manager.
- Be responsible for Health and Safety.
- Be responsible for operational commissioning and planning.

### 7.8. Manager – Construction Health and Safety

The Manager – Construction Health and Safety, a member of the University Health and Safety Compliance Team, is available to work with project management teams and construction contractors to support Health and Safety on site including:

- Contributing to safety-in-design.
- Maintaining oversight of the Health and Safety approval for construction contractors.
- Facilitating University Health and Safety inductions.
- Reviewing, drafting and training of Health and Safety systems and documentation, such as Site Specific Safety plans (SSSP), Job Safety Analysis (JSA), permits to work, incident investigations.
- Monitoring contractor Health and Safety performance and compliance with submitted documents (SSSP, JA, etc.) through the likes of site audits and inspections.
- Liaising with Stakeholders on Health and Safety matters.
- Reporting on Health and Safety performance.

## 8. PROJECT DOCUMENTATION AND REPORTING

Effective project governance relies on timely and accurate monitoring and reporting of project progress and performance. This section is designed to be a reference guide for projects when establishing a reporting structure. It should also be useful to existing projects as a check of the robustness of their reporting.

### 8.1. Project Management Tools / Systems

Project Managers will naturally use a range of tools to manage different aspects of their projects. This framework recognises that Project Managers must be able to use the tools which are fit-for-purpose and appropriate to their specific situation.

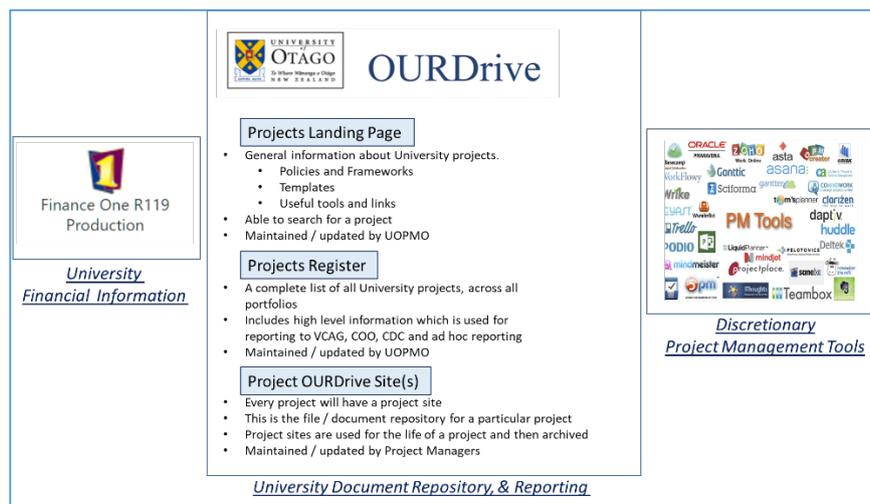


Figure 12: Project Tools in Context

It is the Project Director / Project Manager's responsibility to ensure that appropriate project management tools or systems are in place, and that they cover the following:

- Project scope management
- Project cost management
- Project risk management
- Project time management
- Project quality management
- Project communications management
- Project stakeholder management
- Project health and safety management
- Project HR management.
- Project risk management.
- Project design management.

Any project management tool or system which is adopted must be compliant with the aspects of project management governance which are outlined in this document. Any systems should also comply with other University policies such as privacy and information security.

At a minimum, Project Status Reports must be stored in the OURDrive project site, and a complete set of project documentation must be archived in UOPMO's Project Register on the project's completion.

Project Managers are responsible for ensuring that there is a direct correlation between systems adopted by the Project Team and other reporting systems e.g., Finance 1, Property Services General Ledger system and the information in their OURDrive site. This will ensure that data sets used for reporting at all levels are consistent and accurate.

## 8.2. Required Project Record Keeping

A complete set of project-related information and data must be kept for all projects (project proposals, active projects, and closed projects).

- Project documents are maintained by the Project Manager in the project OURDrive site.
- A full set of project documents is required to support audits, health checks, reviews and post-implementation reviews.
- Certain documents must be saved in their original form to ensure a clear and accurate history of the project.
- When a project is closed, this site will be archived as 'read only' for long term retention.

The following records must be kept as a minimum for each project.

### 8.2.1. Project OURDrive Site

Projects create a large quantity of information (documents and other project records). The University OURDrive system provides a secure location for all project information. Each project will have an OURDrive site where current project documents and other project records will be kept.

In some circumstances, a project may need to store records or documents in an alternative site for convenience or efficiencies, e.g., Aconex. It is important that this arrangement is agreed with the UOPMO to ensure that critical documents have a long term archival strategy, and that other parties have access to the information they need.

The Project Manager is responsible for ensuring the relevant OURDrive project site is kept up to date for their active projects.

- Project information should be updated frequently to record details of PCG Meetings. These can be informal notes, or simply updating the project's registers for risk, decisions, Health and Safety etc.
- Project information should be formally updated monthly to coincide with key reporting cycles (e.g. CDC, VCAG or COO reports).
- The OURDrive project site must also be updated on achievement of significant project milestones such as:
  - Change of project status.
  - Change of project phase.
  - Change of project stage.
  - Business Case approvals.

- Change to approved budget or forecast completion cost.
- Appointment of consultants (noting compliance with University Health and Safety Approval system required).
- Appointment of contractors (noting compliance with University Health and Safety Approval system required).
- After risk management workshops are conducted.
- Significant changes to Project Programme and key dates.

The OURDrive project site must provide a full historical record of the project and will form the basis of audits, health checks, reviews, and post-implementation reviews. The UOPMO will regularly check information in the project sites is up to date.

### 8.2.2. Huddle Meetings

Project Teams are encouraged to use the huddle meeting technique. Huddles enable teams to have frequent but short briefings so that they can stay informed, review work, make plans, and move ahead rapidly. Huddles have a number of benefits:

- They keep momentum going, as teams are able to meet more frequently.
- They allow fuller participation for people who would find it impossible to get away for the conventional hour-long team meetings.

Huddles are often managed on a whiteboard and no formal meeting records are required to be kept.

### 8.2.3. Records Maintained by the PCG and PSC

Project status updates and reporting are summarised in the table below.

<u>Registers Updated</u>	<u>PCG (fortnightly or monthly minutes)</u>	<u>Steering Committee Monthly (with formal minutes)</u>
Project Progress	<ul style="list-style-type: none"> <li>• Monitor progress and address.</li> </ul>	<ul style="list-style-type: none"> <li>• Provide update on design, implementation or construction progress over past month and main focus or milestones for month ahead.</li> <li>• Update on status of the required authority Approvals required for project to progress.</li> <li>• Report on progress regarding planning or status of commissioning, both building and operational (construction only).</li> </ul>
Cost		<ul style="list-style-type: none"> <li>• Financial status update.</li> <li>• Project contingencies update.</li> <li>• Forecast update.</li> <li>• Explanations for variances.</li> <li>• A QS cost report (construction only).</li> </ul>

<u>Registers Updated</u>	<u>PCG (fortnightly or monthly minutes)</u>	<u>Steering Committee Monthly (with formal minutes)</u>
Scope		<ul style="list-style-type: none"> <li>Identify Scope change requests requiring decision. These must be accompanied with completed change proposals forms that assess impact of the Scope change and funding source.</li> <li>Identify pending Scope changes.</li> <li>Formally record approved Scope change decisions.</li> </ul>
Programme/ Milestones		<ul style="list-style-type: none"> <li>Show progress against key Programme milestones.</li> <li>Explain the nature of variances and their impacts.</li> <li>Identify potential Programme delays.</li> <li>Provide status of Programme contingency (float).</li> <li>Outline proposed corrective actions/strategies for variances.</li> </ul>
Risk	<ul style="list-style-type: none"> <li>Update Project Risk Register on the project OURDrive site with key project risks and details of emerging risks.</li> </ul>	<ul style="list-style-type: none"> <li>Identify and advise mitigation plans for the number of high / very high risks.</li> <li>Full Risk Register.</li> </ul>
Issues	<ul style="list-style-type: none"> <li>Update issues register on the project OURDrive site.</li> <li>Identify red flag issues (i.e. those that require escalation).</li> </ul>	<ul style="list-style-type: none"> <li>Identify escalated issues, their impacts and plans to resolve, with clear focus on decisions or guidance required from the PSC.</li> </ul>
Procurement	<ul style="list-style-type: none"> <li>Update OURDrive site.</li> </ul>	<ul style="list-style-type: none"> <li>Provide procurement plans for Approval.</li> <li>Include progress or status of consultant procurement.</li> <li>Include progress or status of contractor procurement.</li> <li>Include progress or status of FF&amp;E procurement (construction only).</li> </ul>
Quality	<ul style="list-style-type: none"> <li>Verify quantity assurance plans are in place.</li> <li>Monitor quality control implementation.</li> <li>Ensure any quality issues or risks managed and reported</li> </ul>	<ul style="list-style-type: none"> <li>Provide progress or status of management of quality of design.</li> <li>Provide progress or status of management of construction (construction only).</li> </ul>

<u>Registers Updated</u>	<u>PCG (fortnightly or monthly minutes)</u>	<u>Steering Committee Monthly (with formal minutes)</u>
	under risk and issues management process.	
<b>Communications &amp; Stakeholder Management</b>	<ul style="list-style-type: none"> <li>• Ensure stakeholder engagement plans are established.</li> <li>• Monitor the implementation of stakeholder engagement and communications.</li> </ul>	<ul style="list-style-type: none"> <li>• Identify concerns identified from EPTs, reference groups or other Stakeholders.</li> <li>• Identify emerging issues from Stakeholders.</li> <li>• Report on proactive communications and Stakeholder management activity.</li> <li>• Report on reactive communications and Stakeholder management activity for matters that represent a risk to project or the University.</li> </ul>
<b>Health &amp; Safety</b>	<ul style="list-style-type: none"> <li>• Update Health and Safety documentation, including records of any incidents.</li> <li>• Ensure project specific H&amp;S plans are established.</li> <li>• Monitor H&amp;S implementation risks and issues, including contractor H&amp;S.</li> </ul>	<ul style="list-style-type: none"> <li>• Provide progress update on Health and Safety plans, risks, and issues.</li> <li>• Identify any incidents, their cause and how they will be managed.</li> <li>• Advise of any major incidents and their responses.</li> </ul>

The PSC should be informed of project progress regularly to enable appropriate and timely decisions based on project needs and status. All projects should have an agreed system of project reporting which is documented in the PSC minutes.

The audience, content and frequency of reporting will depend on the needs of the project, issues arising and Project Life Cycle phase. The table above sets out the indicative nature, content and mechanism for reporting that may be required for projects.

The monthly project progress status reports should answer the following questions:

- What progress has been made on this project since the last status report?
- What is the next stage/task to be done on this project?
- What issues or risks to completion need to be discussed?
- What Approvals or decisions are required from the PSC?

The Project Manager will attend PSC meetings to present the project status report, answer concerns, receive feedback, gain clarification where required, and take appropriate action.

Project Managers should seek to consistently provide answers to the '6 Key Questions for Every Governance Committee to Ask' outlined in Section 12 in their status reporting to the PSC (written and verbal).

### 8.3. Requirements for Reporting to Other Parties

#### 8.3.1. Reporting to University Council

Project status, financial status, risk, issues, outcomes etc. will be reported to the University Council through its sub-committees. The UOPMO will maintain a Project Register which will enable this reporting. This register will keep metadata on all projects: proposals, open projects and closed projects.

Part C of this Framework outlines this Project Portfolio reporting in more detail.

#### 8.4. Reporting to Organisational Management

Projects are also required to report to the senior organisation's executive (V-C, COO and CFO), organisational management committees (VCAG) and the University Council (via sub-committees). It is expected that Executive Summaries of PSC reports can be used to inform the organisational executive. The UOPMO will ensure that project's reporting is appropriate for this purpose. Reporting processes should ensure:

- The V-C, COO, VCAG, Council and Council sub-committee members are appropriately briefed on the status of projects.
- The VC, COO, VCAG, Council and Council sub-committee members receive timely advice on project status including clear communication of both good and bad news on a timely basis.

#### 8.5. Project Sponsor's Project Governance Reports

At formation of the PSC for projects categorised as large, the Project Sponsor (or PSC Chair) will be required to complete and submit the 'Checklist for Establishing Project Governance' (refer Section 11). This will be submitted to the CDC via the UOPMO.

Within three months of commencement of the PSC for projects categorised as large, the Project Sponsor will be required to complete the 'Project Sponsor's Checklist for Establishing a Project Steering Committee' (refer Section 14). This will be submitted to the CDC via the UOPMO.

Thereafter, on an annual basis for projects categorised as large, the Project Sponsor is to have all PSC members complete the 'Project Steering Committee Health Check' and address any identified issues and provide a report to the CDC via the COO's Office (refer Section 15).

For projects categorised as medium, PSC Chair and members are responsible for conducting regular self-reviews of effectiveness of the PSC on which they chair or sit on (refer to Section 11, PMO OURDrive site, Sections 14 & 15).

#### 8.6. Risk Reporting

Project governance bodies must recognise and manage risk in a way that is most likely to achieve the project's desired outcomes and mitigate the impact of project failure. Along with the Project Manager, the PSC is responsible for appropriate escalation of risk.

The Project Management Team are to identify, assess and evaluate risks in accordance with the University's Project Risk Management Framework and those risks are to be kept in the respective Projects Risk Register. The Project Management Team must also identify and monitor the mitigation plans for very high, high and medium risks.

The Project Risk Register on the project's OURDrive site is to be managed by the University's Project Manager/Project Director in collaboration with the identified risk owner. Medium and large scale projects must have Project Risk Management Plans that are consistent with the Project Risk Management Framework.

The Project Risk Register is to be reviewed and updated regularly (at least monthly). Risks with residual ratings of 'high' to 'very high' are to be reported in the body of the monthly project status reports with their planned mitigations. The report should also indicate the change in risk change (i.e., stating whether the risk level has increased or decreased since the last report). The full Risk Register must be appended to the report. Risks assessed as high or very high may be reported to the Audit and Risk Committee.

In addition, risks assessed as high or very high may be reported to the Audit and Risk Committee via the Corporate Risk Register which will be fed by aggregated project portfolio risks identified by the Director of Risk, Assurance and Compliance.

### 8.7. Issues Reporting

Issue escalation, communication and rectification is generally guided by the severity of the issue, project tolerance levels, and the authority or role hierarchy established for the project.

The Project Manager is generally the first reference point for identifying, managing and resolving issues and can solve many internal project problems. Problems arising outside the control of a Project Manager are referred to the Project Director, Manager of Campus Development, Director of ITS or the PSC for resolution as appropriate.

The Project Team are to identify, register and manage key project issues in accordance with the Project Management Plan. These issues are to be recorded on the project's OURDrive site. The issues Register will record issues under active management, as well as recording when and how issues were resolved and closed out.

It is expected that most project issues will be resolved by the Project Managers and the PSC. However, where necessary, issues can be escalated through operational management paths e.g. COO, VCAG, and/or to the Capital Development Committee for resolution.

The UOPMO provides a point of escalation for any individuals or groups who have a concern which they would like to discuss and are not sure of the appropriate escalation path.

### 8.8. Health and Safety Reporting

Given the serious nature of Health and Safety, escalated safety issues can be escalated through both operational management, project and organisational governance paths.

The reporting will be through two mediums:

- PSC Reports
- The University's Health and Safety management system.

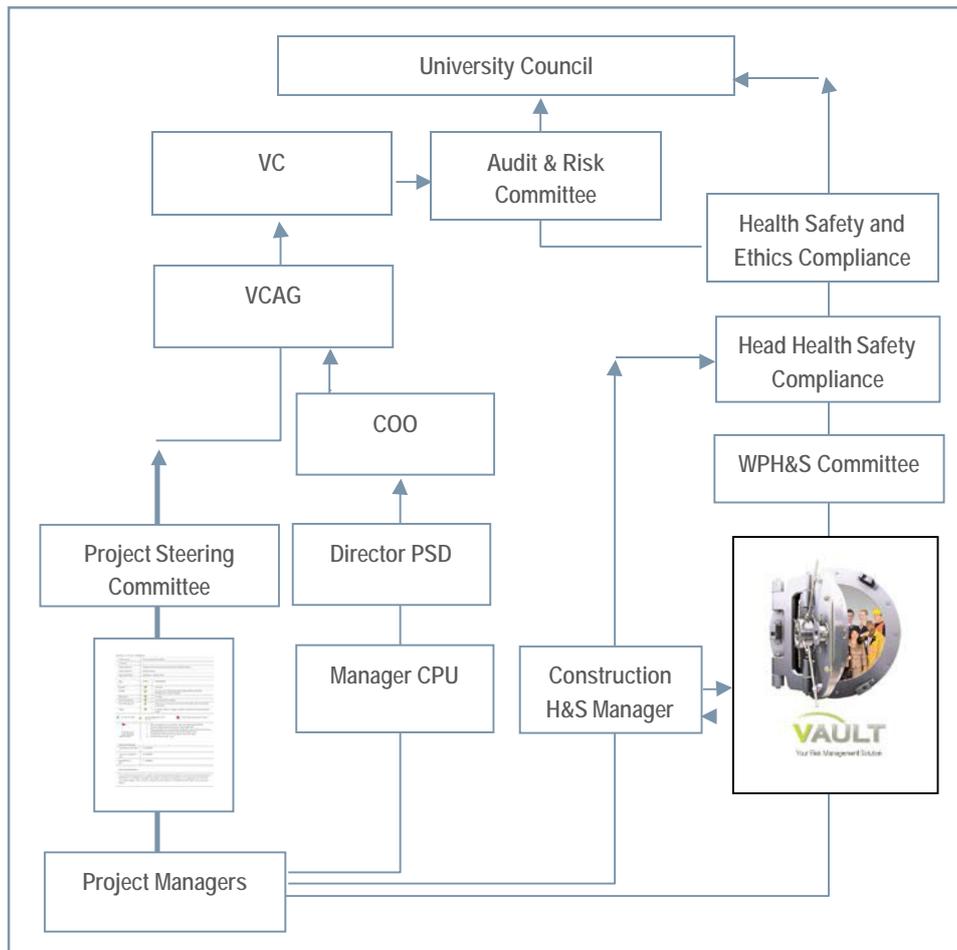


Figure 13: Health & Safety Escalation Model

### 8.9. Conflict of Interest Reporting

Projects are required to comply with the University's conflict of interest policies and procedures. Advice and support in this compliance can be sought from the Director of Risk and Assurance.

Disclosure of Interest forms should be completed by all staff of medium to large projects who are charged with project governance roles and senior project management staff (both internal and external staff). Projects should maintain a formal register which declares all such interests, particularly pecuniary interests. These registers will be reviewed by the Capital Development Committee.

# PART C: GOVERNANCE OF THE PROJECT PORTFOLIO

## 9. PORTFOLIO MONITORING AND REPORTING

The UOPMO has a responsibility for continuous improvement of the University's ability to successfully implement projects.

In order to measure progress, the UOPMO will monitor, review and report on the projects within the Portfolio.

- A register will include information on all projects.
- A regular reporting cycle will monitor progress against objectives.
- Audits, reviews, and health checks will provide in-depth information about specific projects or Programmes.

### 9.1. The Project Register

The UOPMO will maintain a project register. The Project Register is a database of project-related information and data for active and closed projects, which will be kept for all projects.

- This is a complete list of all projects (proposed, active and closed projects), and provides a portfolio view.
- It is important that the project view and the portfolio view remain consistent at all times.

The Project Register will derive information from the projects' OURDrive sites. The quality of the information in the Project Register will be determined by the quality of the information maintained by the Project Team. The following staff must have access to the Project Register at all times, and are accountable for the quality of the information provided:

- Project Managers
- Operations Senior Leadership Team.

### 9.2. Portfolio Reporting

The Project Register provides a 'whole of portfolio view' of projects, and filters will be applied to create different reports regarding the University Project Portfolio.

The following table summarises the standard Governance reports which are required.

	VC and VCAG	Capital Development Committee
Governance		<ul style="list-style-type: none"><li>• At commencement of the PSC, a memo and establishment of project governance checklist confirming establishment of PSC from Project Sponsor for <b>large</b> projects.</li><li>• 3-month post-implementation of PSC, a memo confirming PSC functional from the Project Sponsor for <b>large</b> projects.</li></ul>

	VC and VCAG	Capital Development Committee
		<ul style="list-style-type: none"> <li>Annual, PSC health check memo from Project Sponsor for <b>large</b> projects.</li> </ul>
<b>Project Progress</b>	<ul style="list-style-type: none"> <li>Executive summaries of PSC-endorsed project status report submitted by Project Sponsors (for <b>large</b> scale projects only).</li> <li>Brief commentary on phase and stage and progress being made in design or construction/ implementation.</li> </ul>	<p>Progress report generated from Project Register provided to CDC which includes whole of Portfolio reporting on:</p> <ul style="list-style-type: none"> <li>Project ID</li> <li>Business case reference number</li> <li>Project title</li> <li>Project status</li> <li>Project phase</li> <li>Project stage</li> <li>Overall health indicator (traffic light)</li> <li>Commentary on indicator</li> <li>Executive summaries of PSC-endorsed project status report submitted by Project Sponsors (for large scale projects only).</li> </ul>
<b>Budget</b>	<ul style="list-style-type: none"> <li>Executive summaries of PSC-endorsed project status report submitted by Project Sponsors (for <b>large</b> scale projects only).</li> <li>Approved budget</li> <li>Forecast completion cost</li> <li>Expenditure to date.</li> </ul>	<p>Progress report generated from Project Register provided to CDC which includes whole of Portfolio reporting on:</p> <ul style="list-style-type: none"> <li>Cost indicator (traffic light)</li> <li>Commentary on cost indicator</li> <li>Forecast total spend</li> <li>Total committed</li> <li>Expenditure to date</li> <li>Project finance report</li> <li>Long range Capital Expenditure forecast.</li> <li>Executive summaries of PSC-endorsed project status report submitted by Project Sponsors (for large scale projects only).</li> </ul>
<b>Scope</b>		<ul style="list-style-type: none"> <li>Scope status included as part of general progress report and escalated issues.</li> <li>Executive summaries of PSC-endorsed project status report submitted by Project Sponsors (for <b>large</b> scale projects only).</li> </ul>
<b>Programme/ Milestones</b>	<ul style="list-style-type: none"> <li>Executive summaries of PSC-endorsed project status report submitted by Project Sponsors (for <b>large</b> scale projects only)</li> <li>Traffic light assessment of progress against milestones with commentary if amber or red.</li> </ul>	<p>Progress report generated from project register provided to CDC which includes whole of Portfolio reporting on:</p> <ul style="list-style-type: none"> <li>Schedule indicator (traffic light).</li> <li>Commentary on schedule indicator.</li> <li>Executive summaries of PSC-endorsed project status report submitted by Project Sponsors (for <b>large</b> scale projects only).</li> </ul>
<b>Risk</b>	<ul style="list-style-type: none"> <li>Executive summaries of PSC-endorsed project status report submitted by Project Sponsors (for <b>large</b> scale projects only).</li> </ul>	<p>Progress report generated from project register provided to CDC which includes whole of Portfolio reporting on:</p> <ul style="list-style-type: none"> <li>Risk indicator (traffic light)</li> <li>Commentary on risk indicator</li> <li>Key risks</li> </ul>

	VC and VCAG	Capital Development Committee
	<ul style="list-style-type: none"> <li>Traffic light assessment of risk management with commentary if amber or red.</li> </ul>	<ul style="list-style-type: none"> <li>Project Portfolio aggregated Risk Register for high / very high risks provided in Corporate Risk Register via the Office of Risk, Assurance and Compliance.</li> <li>Executive summaries of PSC-endorsed project status report submitted by Project Sponsors (for <b>large</b> scale projects only).</li> </ul>
<b>Issues</b>	<ul style="list-style-type: none"> <li>Executive summaries of PSC-endorsed project status report submitted by Project Sponsors (for <b>large</b> scale projects only).</li> <li>Escalated issues identified as red flags.</li> </ul>	<p>Progress report generated from project register provided to CDC which includes whole of Portfolio reporting on:</p> <ul style="list-style-type: none"> <li>Issues management indicator (traffic light)</li> <li>Commentary on issues management indicator</li> <li>Red flag issues.</li> <li>Executive summaries of PSC-endorsed project status report submitted by Project Sponsors (for <b>large</b> scale projects only).</li> </ul>
<b>Procurement</b>		<ul style="list-style-type: none"> <li>Procurement status included as part of general progress report and phase/stage status.</li> <li>Procurement Strategy and consultant appointments &gt;\$7.5M to be Approved by CDC.</li> </ul>
<b>Quality</b>		<ul style="list-style-type: none"> <li>No specific requirement. If any key issues or risks associated with quality it will be picked up as part of escalated issues or Risk Register.</li> </ul>
<b>Health &amp; Safety</b>	<p>Executive Summary provided monthly for major and strategic Campus Development projects underway which includes:</p> <ul style="list-style-type: none"> <li>Traffic light assessment of Health and Safety management on Project with commentary for amber or red.</li> </ul>	<p>Progress report generated from project register provided to CDC which includes whole of Portfolio reporting on:</p> <ul style="list-style-type: none"> <li>Health and safety management indicator (traffic light).</li> <li>Commentary on safety management indicator.</li> <li>Red flag issues</li> <li>Executive summaries of PSC-endorsed project status report submitted by Project Sponsors (for <b>large</b> scale projects only).</li> </ul>

### 9.2.1. Executive Summaries of Status Reports

The Executive Summary of Project Progress / Status Reports will include status updates using a traffic light risk rating system on attributes such as:

- Benefits
- Cost
- Milestones
- Risk management
- Issues management
- Health and safety management.

Key escalated issues that require senior-level attention or intervention will be identified as Red Flag issues.

There will also be a high level cost summary outlining:

- Approved budget,
- Forecast completion cost
- Expenditure to date.
- Contingency summary.

Finally, there will be a short commentary regarding the current phase and stage and general progress.

### 9.2.2. CDC Progress Report

A progress report generated from the project's OURDrive site will be submitted to the Capital Development Committee (CDC) by the UOPMO. This report will include the details provided in Section 8.2.1.

## 9.3. Portfolio Reviews, Audits and Health Checks

The UOPMO has a responsibility for continuous improvement of the University's ability to successfully implement projects. A risk-based approach will be undertaken with more reviews occurring on higher-risk projects.

### 9.3.1. Audits

Project Audits will be regularly undertaken in conjunction with the Office of Risk, Assurance and Compliance.

### 9.3.2. Health Checks

A health check is different to an audit in that it does not check compliance against a standard. The aim of a health check is to understand what is going well, what is not working, and where there are opportunities for improvement. The Health Check should also determine why something is not working, to ensure that root causes are appropriately addressed.

A Health Check will consider:

- How is the project performing against its objectives?

- Is the project under control?
- Is there an acceptable level of risk?
- Do the project status reports reflect a true and accurate picture?
- What are the perceptions of the stakeholders?

### 9.3.3. Post-Implementation Reviews and Lessons Learned

Post-implementation reviews will be undertaken for all closed projects.

A lessons learned library will be maintained which allows the organisation to avoid making the same mistakes.

### 9.3.4. Portfolio Reviews

The Council, CDC, other Council Committees, V-C, VCAG, COO, CFO are able to request ad hoc reports on the status of the main Projects or Programmes, as well as the overall health of the Portfolio itself. The following data fields are required in a Portfolio Management System to enable this reporting:

- |   |   |
|---|---|
| • Project ID  | • Project risk management indicator (traffic light) |
| • Business Case reference number                    | • Commentary on risk management indicator status    |
| • Project title                                     | • Project schedule indicator (traffic light)        |
| • Location  | • Commentary on schedule indicator status           |
| • Strategic links                                   | • Approved budget                                   |
| • Status  | • Forecast total spend                              |
| • Project Phase                                     | • Forecast surplus/deficit                          |
| • Project health indicator (traffic light)          | • Expenditure to date                               |
| • Commentary on project health indicator status     | • Red flags   |
| • Project cost management indicator (traffic light) | • Key issues  |
| • Commentary on cost management indicator status    | • Key risks.  |

# PART D: Appendices

## 10. GLOSSARY OF TERMS

Approve/Approval	The act of formally confirming, sanctioning, ratifying or agreeing to something.
Benefits Leakage	The percentage of total benefits promised in a project's Approved Business Case which the project fails to deliver at completion.
Business Owner	Another term for Project Owner.
CAWSEP	Previous term for Business Case.
Consultant Project Manager	An external Project Manager appointed by the University.
Executive Planning Team (EPT)	A group formed for complex or large projects to deal with operational and design-related issues. Refer to Section 6.3.
FF&E	Furniture, Fittings and Equipment.
Governance	The framework by which an organisation is directed and controlled (also refer to project governance).
ISO21500	International Standard on Guidance on project management.
Issue	An event that has happened that may impede the achievement of the project objectives if not resolved.
IT Assets	Software, hardware and network infrastructure fixed assets.
ITS	Acronym for the Information Technology Services Division.
Methodology	A system of practices, techniques, procedures and rules used by those who work in a discipline.
Organisational Delivery Project Manager	A senior person who is well-positioned to maintain a service outcome focus for the project, and acts as the agent of the Project Owner on a day-to-day basis. Also known as the Project Champion.
OURDrive	University of Otago's SharePoint-based document and records management system.
Portfolio	A Portfolio may include any number of Projects, Programmes, Sub-Portfolios and Operations, from the same or different business units of the organisation, managed as a group to achieve strategic objectives.
Programme	A temporary, flexible organisation created to co-ordinate, direct and oversee the implementation of a set of related projects and activities in order to obtain benefits and control not otherwise available from managing them individually. Programmes may include elements or related work outside of the scope of the discrete projects in the programme.
Project	Also can refer to the time schedule of a project. A temporary work effort undertaken to create a unique product, service or result.
Project Champion	See Project Owner.
Project Control Group (PCG)	The primary working group which coordinates the management of the project on a day-to-day basis from start to completion. Refer to Section 6.2.
Project Director	The Project Director provides the Project Manager with the specialist resources and skills necessary to develop and/or

	deliver a project to an agreed Scope, quality, schedule and budget. Refer to Section 7.4.
Project Governance	Governance is the framework by which the organisation directs and controls its projects. Project governance includes, but is not limited to, those areas of organisational governance that are specifically related to project activities.
Project Life Cycle	A collection of generally sequential Project Phases whose name and number are determined by the control needs of the organisation involved in the project.
Project Management	The application of knowledge, skills, tools and techniques to project activities to meet the project requirements.
	This term is often used in a context which includes the management of not only Projects but also Programmes and Portfolios.
Project Management System	An information system that contains the tools and techniques used to gather, integrate and disseminate the outputs of project management processes.
	Can also refer to the aggregation of the processes, tools, techniques, methodologies, resources and procedures to manage a project.
Project Management Plan	A formal, approved document that defines how the project is executed, monitored and controlled. It may be summary or detailed and may be composed of one or more subsidiary management plans and other planning documents.
Project Manager (PM)	The person assigned by the performing organisation to achieve the project objectives.
Project Owner	A senior person representing the body for whom the project is being undertaken. Someone who is best positioned to achieve the benefits of the project.
Project Phase	A collection of logically related project activities, usually culminating in the completion of major deliverables.
Project Register	A database of project-related information and data which is kept for all active and closed projects. Refer to Section 9.1.
Project Sponsor	The Project Sponsor has accountability and responsibility for a project, and acts as the link between the management of a project and the organisation's senior executive (Vice Chancellor), senior executive body (VCAG) and University Council sub-committees. Refer Section 7.1.
Project Steering Committee (PSC)	The key body within the Project Governance structure which is responsible for the business issues associated with the project that are essential to ensuring the delivery of the project outputs and the attainment of project outcomes. Refer to Section 6.1.
Project Team	All the Project Team Members, including the Project Management Team, the Project Manager and the Project Sponsor.

Project Team Members	The persons who are responsible for performing project work as a regular part of their assigned duties.
Project Working Party (PWP)	A previous term for Project Steering Committee (PSC).
Risk	An uncertain event or condition that, if it occurs, will have a positive or negative effect on the project's objectives. Risks are potential events that could lead to issues.
Risk Register	A document containing the results of the qualitative risk analysis, quantitative risk analysis, and risk response planning. The Register details identified risks including description, category, cause, probability of occurring, impact on project, proposed responses, owners and current status.
Scope	The sum of the products, services and results to be provided as a project.
SharePoint	SharePoint is a web application platform in this instance used to implement OURDrive.
Stakeholder	Person or organisation that is actively involved in the project or whose interests may be positively or negatively affected by execution or completion of the project. For ease of management, stakeholders can be grouped into (i) high influence / high importance, (ii) high influence / low importance, (iii) low influence / high importance and (iv) low influence / low importance.
User group	See User Planning Team.
User Planning Team (UPT)	A group including faculty, students or other occupants of the proposed building / users of the proposed system. Also known as user groups. Refer to Section 6.4.

## 11. Checklist for Establishing Project Governance

Determine the nature of the project and its context	Yes	No
<p>Is the project complex or high value / high risk, if so has this been addressed in the governance structure?</p> <p>(Non-routine projects that involve greater risk are likely to require more support elements in the Governance framework, e.g. more expert support groups and Project Team experts, more regular Governance checks etc.)</p>	<input type="checkbox"/>	<input type="checkbox"/>
<p>Has the governance framework compensated for any deficiencies the organisation may have in terms of experience of this type of project?</p>	<input type="checkbox"/>	<input type="checkbox"/>
<p>Is the Project Sponsor sufficiently experienced to manage an investment of this level of complexity and size?</p> <p>The Project Sponsor needs to have authority to make decisions and sufficient support through the Project Director and steering committee members to balance the Sponsor's level of experience.</p>	<input type="checkbox"/>	<input type="checkbox"/>
<p>Does the governance structure adequately address the need for key Stakeholder engagement and buy-in to decisions?</p> <p>Projects can be complicated by the involvement of multiple Stakeholders. Judgement needs to be exercised as to the nature and level of involvement of these parties in the Governance structure.</p>	<input type="checkbox"/>	<input type="checkbox"/>
<p>If the project has a close relationship with other projects that require joint consideration of critical dependencies or linkages, has this been addressed in the governance arrangements?</p> <p>For example, projects may be part of a Programme or a stage in a larger investment with consequent dependencies. Governance arrangements need to ensure shared understanding of critical issues.</p>	<input type="checkbox"/>	<input type="checkbox"/>
<p>Is the governance structure clear in terms of roles and responsibilities and communication/reporting lines?</p> <p>Within the Governance and management arrangements, clarity around roles and responsibilities is vital to accountability.</p>	<input type="checkbox"/>	<input type="checkbox"/>
<p>Is the governance structure fit for purpose in terms of scale and support roles and future transitioning as the investment progresses?</p>	<input type="checkbox"/>	<input type="checkbox"/>

## 12. 6 Key Questions for Every Governance Committee to Ask

**Are we on track – to plan/schedule?** (Includes both on- and off-project activities.)

- If not, why not?
- How will any delays impact the plan/schedule/critical path?
- What are you planning to do about it?
- What do we need to do about it?

**What decisions need to be made?** (Includes required business decisions and escalation issues.)

- What decisions need to be made/action taken – and why?
- Do we have sufficient information on the options and their implications?
- When do we need to make a final decision?
- What are the downstream impacts if we get this decision wrong?

**What issues are there** – inside or outside the project? (Includes required inter-dependency issues, resource issues, proposed scope changes.)

- Are they increasing or decreasing in number?
- How are these changes impacting the project?
- How will they impact the business outcomes/benefits?
- Is the project still under control?

**Are we on track** – to budget and benefits plans? (Includes expenditure, financial commitments and benefit value driver changes and benefits realized to date.)

- If not, why not?
- How will any shortfalls/overspends impact the budget/benefits/overall net cost?
- What are you planning to do about it?
- What do we need to do about it?

**Has the achievability of the project changed?** (Includes project, benefits delivery and business impact risks and critical success factors status.)

- Have any changes improved or endangered the project?
- If endangered, what is the root cause?
- Are the risks' likelihood/criticality assessments appropriate?
- What mitigation action is planned? How will this address/mitigate the risk?
- Are the risks being actively managed?
- What do we need to do about any remaining risks?

**Can we still successfully deliver the project AND its business outcomes and benefits?**

(Includes resources, funds, skills, risks, time to deliver and benefits value/availability.)

- What is threatening our success?
- What is threatening the viability of the project?
- Are any of these factors manageable?
- Has any expected reduction in value be compensated for with reduced costs? If not, why not?
- Would the funds/resources be better allocated to another project?
- Why should we continue?

*Source: J. Simms, Totally Optimized Projects*

### 13. Information Sheet for Project Steering Committee Members

The Project Steering Committee (PSC) is the key body within the Governance structure which is responsible for the business issues associated with the project that are essential to the ensuring the delivery of the project outputs and the attainment of project outcomes. This includes approving budgetary strategy, defining and realising outcomes, monitoring risk, quality and timelines, making policy and resourcing decisions, and assessing requests for changes to the scope of the project. The PSC helps to steer a project through from start to completion.

#### What is the Role of the PSC?

- Be the key strategic decision-making body for the project.
- Proactively monitor, mentor, challenge and support the Project Manager and team on the project's progress.
- Oversee planning, design, construction and commissioning.
- Accept and decide on matters escalated from the EPT or other groups.
- Set direction for the project and ensure the project delivers its intended benefits and objectives.
- Provide those directly involved in the project with guidance on project business issues.
- Ensure effort and expenditure are appropriate to Stakeholder expectations.
- Monitor issues and risk management.
- Ensure potential risks to project success are identified, managed and regularly assessed.
- Address any issue which has major implications for the project.
- Ensure potential health and safety issues are identified, management plans documented, and monitored.
- Keep the project scope under control as emergent issues force changes to be considered.
- Ensure the project is integrated into other University projects as appropriate.
- Reconcile differences in opinion and approach and resolve disputes arising from them.
- Provide advice and act as a conduit to and from the University Executive Management, e.g. VC, COO, CFO and Committees, VCAG and CDC.

#### What sort of responsibilities does the PSC have?

- Define and help to achieve the project outcomes.
- Identify and monitor potential risks and their treatment.
- Monitor progress of the project.
- Monitor the project budget and cost management.
- Monitor and control scope change.
- Monitor timelines.
- Monitor the quality of the project as it develops.
- Provide advice and make decisions about changes to the project as it develops.

- Approve all substantive cost and time variations to the overall programme of works.
- Provide a decision-making forum with the authority to respond to requests for decision or recommendations received from Project Director / Project Manager.
- Ensure the interests of the client are adequately protected and represented.
- Receive and endorse monthly project progress reports.
- Ensure that any organisational and/or work practice changes desired as an outcome of the Programme are identified and achieved.
- Review and approve any reports, drawings and relevant documentation at the completion of each phase.
- Ensure adequate communication, consultation and organisational engagement strategies are in place.

### As an individual on the PSC, what role do I play?

Individual PSC members are not directly responsible for managing project activities, but provide support and guidance to those who do. As such, individually members should:

- Understand the strategic implications and outcomes of the project deliverables being pursued.
- Appreciate the significance for some or all major stakeholders and represent their interests.
- Be genuinely interested in the initiative and the outcomes being pursued by the project.
- Be an advocate for the project's outcomes by being committed to and actively involved in pursuing the project's outcomes.
- Have a broad understanding of project management issues, as planned and as they arise, and the approach being adopted.

As a member you can achieve this by:

- Ensuring the project's outputs meet the requirements of the Project Owners and key Stakeholders.
- Help balance conflicting priorities and resources.
- Provide guidance to the Project Team and users of the project's outputs.
- Consider ideas and issues raised.
- Foster positive communication outside of the Committee regarding the project's progress and outcomes.
- Review the progress of the project.

### How often should a PSC meet?

This is largely determined by the size and nature of the project. For larger projects they should be held at least monthly and preferably to coincide with key project milestones.

### What should happen before each meeting?

Several days prior to the meeting, the Project Management Team should circulate papers for the meeting to all Committee Members. This should include:

- An agenda.
- Minutes of the last meeting with actions list.
- A progress report on the status of the project since last meeting.
- Other documents or materials to be approved or considered by the committee.

#### **What should happen at PSC Meetings?**

The Chair will conduct the meeting according to the agenda, ensuring that all members are encouraged to provide input throughout the meeting and that any decisions or recommendations are adequately resolved and agreed to by the members.

## 14. Project Sponsor's Checklist for Establishing a PSC

Determine the roles and responsibilities, timing and membership.	Yes	No
Has the project drafted Terms of Reference (ToR)?	<input type="checkbox"/>	<input type="checkbox"/>
Is the ToR appropriate for the PSC given the project complexity?	<input type="checkbox"/>	<input type="checkbox"/>
For complex projects, the PSC roles and responsibilities will need to consider whether other advisory and support committees for the project are appropriate.		
Is the composition of the committee right for the project?	<input type="checkbox"/>	<input type="checkbox"/>
Have you considered the need to include a review process to determine PSC effectiveness?	<input type="checkbox"/>	<input type="checkbox"/>
Given the project complexity, have you considered how often the committee will meet? (e.g. monthly, or after key milestones including the end of phases?)	<input type="checkbox"/>	<input type="checkbox"/>
Are the roles and responsibilities in the ToR Approved?	<input type="checkbox"/>	<input type="checkbox"/>
Is it clear from the roles and responsibilities and other project governance documents what the PSC decides or approves, and what the Project Manager can decide, with or without consultation with the Project Sponsor?	<input type="checkbox"/>	<input type="checkbox"/>
Has the appropriate person invited the members to join the committee?	<input type="checkbox"/>	<input type="checkbox"/>
The first meeting	Yes	No
Have members agreed to and signed off the ToR? Are they all clear on their roles and responsibilities?	<input type="checkbox"/>	<input type="checkbox"/>
Are the format and content of the agenda, minutes, steering committee pack and standard reports of a high quality?	<input type="checkbox"/>	<input type="checkbox"/>
Does the reporting provide the committee members with clear information so they can see if the project is on track to meet Stakeholders' requirements? Are there any risks or issues that threaten the baseline scope, budget, schedule or quality?	<input type="checkbox"/>	<input type="checkbox"/>
Is the information in the steering committee pack provided in a timely way and to the point, or is there too much information?	<input type="checkbox"/>	<input type="checkbox"/>
Are you only including material that needs Approval or helps with decision-making (e.g. project baselines, traffic light reports on progress, Risk Register (main risks), issues likely to impact Scope, project or benefits plan updates, project or phase reviews)?	<input type="checkbox"/>	<input type="checkbox"/>
Is the PSC clear on the decisions they are being asked to make?	<input type="checkbox"/>	<input type="checkbox"/>

## 15. Project Steering Committee Health Check

Statement	Needs Improvement	Meets requirements	High quality	N/A
<b>Provision of Information</b>				
1. The PSC is kept abreast of trends and issues affecting the market in which the project operates.				
2. The PSC is provided with appropriate information to accurately measure, monitor and manage the various projects.				
3. The PSC has appropriate measures of performance in place to monitor areas critical for the project's success.				
4. PSC papers contain the correct amount and type of information.				
5. The Project Manager has reliable internal reporting and compliance systems.				
<b>Operation of the Committee</b>				
6. The PSC responds effectively to resolve issues that will impact on the delivery of the project on time, in scope and on budget.				
7. The PSC spends the necessary time reviewing the project's future plans, direction and strategies with project management.				
8. The PSC members ask appropriate questions of project management.				
9. The PSC fosters a climate that encourages serious enquiry and challenging discussion on all appropriate matters and issues.				
10. The PSC discussions enable all views to be heard.				
11. The PSC spends most of its time on important issues.				
12. The PSC has the right mix of skills expertise and backgrounds.				
13. The PSC has a clear understanding of issues important to the completion of the project.				
<b>Role and Organisation of the Committee</b>				
14. The role and responsibilities of the PSC are clearly defined and well understood.				
15. The role of the Chairman is clearly defined and well understood.				
16. The role of the Project Director / Project Manager is clearly defined and well understood.				
17. The goals, expectations and concerns of the PSC are effectively communicated to the Project Management Team.				
18. The Project Management Team have open and constructive discussions with the PSC.				
19. PSC meetings are run efficiently and effectively.				
20. The format, timing and duration of PSC meetings is appropriate.				
Comments:				

## 16. Students' Associations

Muslim Students' Association	<a href="http://otagomusa.org">otagomusa.org</a>
Otago Cook Islands Students' Association	<a href="mailto:fitth496@student.otago.ac.nz">fitth496@student.otago.ac.nz</a>
Otago Filipino Student Association	<a href="https://facebook.com/OtagoOFSA">facebook.com/OtagoOFSA</a>
Otago Iranian Students	<a href="mailto:otago.isa@gmail.com">otago.isa@gmail.com</a>
Otago Korean Students' Association	<a href="mailto:josephyoseob@gmail.com">josephyoseob@gmail.com</a>
Otago Malaysian Students	<a href="http://omsa.org.nz">omsa.org.nz</a>
Otago Samoan Students' Association	<a href="https://facebook.com/officialOSSA">facebook.com/officialOSSA</a>
Otago Students Geological Society	<a href="https://facebook.com/groups/osgeolsoc">facebook.com/groups/osgeolsoc</a>
Otago University Chinese Students' Association	<a href="https://facebook.com/groups/oucsa2015">facebook.com/groups/oucsa2015</a>
Otago University Commerce Students (COMSA)	<a href="http://comsa.org.nz">comsa.org.nz</a>
Otago University Medical Students' Association (OUMSA)	<a href="http://oumsa.org">oumsa.org</a>
Otago University Postgraduates' Society	<a href="http://otagopostgrads.wordpress.com">otagopostgrads.wordpress.com</a>
Otago University Sri Lankan Students Association	<a href="http://ouslsa.org.nz">ouslsa.org.nz</a>
Otago University Students' Union (OUSA)	<a href="http://ousa.org.nz">ousa.org.nz</a>
Pakistan Student Association	<a href="mailto:zainjavaid0@gmail.com">zainjavaid0@gmail.com</a>
Science Community of Otago (ATOM)	<a href="mailto:atom.otago@gmail.com">atom.otago@gmail.com</a>
Science Students' Pacific Island Association	<a href="mailto:sspiaexec@outlook.com">sspiaexec@outlook.com</a>
Society of Otago University Law Students (SOULS)	<a href="http://soulsotago.com">soulsotago.com</a>
College of Education Students' Association	<a href="https://facebook.com/UOCESA">facebook.com/UOCESA</a>