

Project Management

EGP-20-01

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1 Introduction

1.1 Purpose

This procedure and associated work instructions outline what is expected of those involved in ARTC project management at each stage of a project, and includes the actions required for the initiation, development, implementation, monitoring and closure of an ARTC project. This provides a consistent approach with respect to:

- objectives of the corporate plan and key organisational goals;
- thorough project review and analysis;
- proper end user acceptance and clear definition of scope and budgetary authorisation at every stage of project advancement;
- assignment of project management responsibility, authority and accountability;
- allocation and management of project resources (both internal and external);
- effective ongoing communication and reporting of project status and expenditure;
- project control and management of deviations from the plan;
- project close-out and review of achievement against project objectives;
- managing risk and compliance aspects of rail safety, WHS and environmental requirements;
- contract administration;
- configuration management;
- commissioning into operations;
- consultation and communication with stakeholders; and
- project capitalisation and financial close out.

1.2 Scope

This procedure applies to all ARTC projects including capital works, major periodical maintenance, business systems changes, IT projects, strategic and cultural change projects, property projects and all other projects which ARTC conducts.

In Alliance arrangements alternative project management processes may be in place that can be demonstrated to fully meet the outcomes of the steps in this procedure. Those alternative arrangements may be substituted for the specific requirements of this procedure with the agreement of the ARTC project Approval Authority. In such cases the Approval Authority shall proceed as set out in Section 2.3.1 of this procedure.

All projects require financial and administrative approvals prior to the commencement of each project phase. This procedure is to be read in conjunction with relevant financial procedures and delegations.

Scope Exclusion

Procurement of supplies authorised by Purchase Order that are not associated with a project are excluded from this process procedure.

Reactive and Corrective Routine Maintenance (RCRM) activities and other Work Activities are excluded from this procedure, however the Managing Simple Projects Work Instruction may be utilised if useful in the circumstances.

1.3 Safety Management System

EGP-20-01 Project Management is a mandatory component of the ARTC Safety Management System (SMS). The SMS Project Management governing process and its flowcharts are to be read in conjunction with this process procedure for projects that impact on rail safety. All other SMS processes should be utilised as needed, including Risk Management.

Other projects outside the scope of the SMS may utilise the SMS Project Management process and flowcharts to assist the project team.

1.4 Definitions

Term or acronym	Description
Accreditation	Means an accreditation issued under the Rail Safety National Law (South Australia) Act 2012 or its equivalent in the relevant state or territory. The purpose of accreditation is to certify that the rail transport operator (rail infrastructure manager/rolling stock operator) who carries out particular railway operations has demonstrated to the Regulator their competence and capacity to manage risks to safety associated with those railway operations.
Approval Authority	The Approval Authority is the ARTC officer/employee who holds the responsibility for the oversight of the project in accordance with section 3 of this procedure. This person is also the link between the Project Manager and the higher levels of ARTC's corporate management. The Approval Authority is appointed by the EGM of the Division carrying out the project and may change for the different phases of a project. The appointment is documented in the Project Management Plan.
Business Case	Is the argument put forward in support of commencing and continuing a project or a particular phase of a project, based on agreed criteria. The Business Case may include a cost-benefit analysis. A business case put forward to the Budget Investment Committee (BIC) must follow BIC Submission Procedure FIN-PR-039. It can be in the form of a Phase Submission and provides the reasons (and answers the question: "Why?") for a project. An outline Business Case is developed in Phase I or can already exist in the form of a divisional strategy document. Recommendations in the Business Case are supported by business needs, corporate requirements, financial analysis, rate of return, and life cycle of the assets to be created or maintained. It is checked and developed as part of the Project Feasibility Report, and further revised in Phases II to III. It is updated at key points throughout the project. When preparing your business case, please refer to Coding and Reporting Guidelines FIN-GL-018.
Complex Project	A project that has been assessed by an Approval Authority per Appendix 1 to have a value or risk level that requires it to be managed in accordance with the Managing Complex Projects Work Instruction EGW-20-01. The extent of governance, documentation and reporting are set up to protect the interests of ARTC.

Term or acronym	Description
Construction Project	[See regulation 292, WHS Reg and para 1.5, Construction Work CoP] A Construction Project is a project that involves Construction Work (see below) where the cost of the construction work is \$250,000 or more. Each Construction Project must have a Principal Contractor for WHS responsibilities. ARTC may contract this role out, or undertake this role for internally resourced projects.
Construction Work	[See regulation 289, WHS Reg and para 1.1, Construction Work CoP] Construction work is defined as any work carried out in connection with the construction, alteration, conversion, fitting-out, commissioning, renovation, repair, maintenance, refurbishment, demolition, decommissioning or dismantling of a structure.
Contract Manager	The ARTC Manager appointed to the project who is responsible for ensuring that the obligations of each contract associated with a project are completed to ARTC requirements, standards and procedures.
MPM	Major Periodic Maintenance usually authorised via an Annual Maintenance Plan (AMP) and documented in the Annual Works Program (AWP).
Operational Representative	This person can be regarded as the “Senior User” of the outputs to be commissioned by the project, and is a member of the Project Steering Committee. This person will be responsible for the ongoing support and maintenance of the operational capability delivered by the project.
Person Conducting a Business or Undertaking (PCBU)	[See Section 5, WHS Act] A PCBU may be an individual person or an organisation conducting a business or undertaking. In some cases, there may be multiple PCBUs in relation to specific activities. For WHS and project purposes, ARTC is considered to be a PCBU with WHS obligations.
Product	Any input to or output from a project. A product may itself be a collection of other products, such as the signalling and the track and civil works for a new crossing loop. There is a distinction between management products (which are usually reports produced as part of the management or quality processes of a project) and specialist products (which are those products that make up the final deliverable).
Product Life Span	Term used to define the total life of a product from the time of initial idea for the product until it is removed from service. It is likely there will be many projects affecting the product during its life, such as a feasibility study and development, enhancement or correction projects.
Program	A group of projects and/or work activities selected, planned and managed in a coordinated way to achieve a common objective.
Project	A temporary organisation that is created for the purpose of delivering one or more business products according to a specified Business Case. A project has a start and finish date. Repetitive activities may have an aggregate budget greater than the simple project threshold; however an Approval Authority can decide to treat them as a group of Work Activities, as defined below.
Project Governance	The management framework within which project decisions are made. The Approval Authority has the responsibility to establish that a project is correctly scoped, documented and resourced, approved to proceed, progressing to plan, reporting as required and closed down when all tasks listed in the Project Management Plan are complete. Various aspects of project management will be delegated to a Project Manager who is expected to inform the Approval Authority of key risks, decisions or changes made on a project.

Term or acronym	Description
Project Life Cycle	The various stages of a project including the start-up of a project, the execution of the project tasks, the handover of the finished product to those who will operate and maintain it, and the project close-down process.
Project Management	The planning, monitoring and control of all aspects of a project and the motivation of all those involved in it to achieve the project objectives on time and to the specified cost, quality and performance while acknowledging the constraints on project execution.
Project Manager	The person who is appointed by the Approval Authority to be responsible for planning and monitoring, administration, management, control and closure of a project or project phase.
RCRM	Reactive and Corrective Routine Maintenance.
Safe Design	[See Safe Design of Structures CoP] The integration of control measures early in the design process to eliminate or, if this is not reasonably practicable, minimise risks to health and safety throughout the life of the structure being designed.
Simple Project	A project that has been assessed by an Approval Authority per Appendix 1, to have a value or risk level that requires it to be managed in accordance with the Managing Simple Projects Work Instruction EGP-20-02. The Simple Project approach is streamlined to suit more straightforward projects, whilst still meeting ARTC requirements.
Steering Committee	A group of ARTC Managers and/or Executives that may be formed by the Approval Authority to provide overall direction of the project, if warranted by the complexity or size of the project. The Steering Committee should ensure that the objectives of the project are achieved and that the Project Manager has the support/guidance he/she requires to deliver a successful result within the cost, time, quality and safety parameters required. Steering Committees should include an Operational Representative and Technical Advisors as appropriate.
Structure	[See Clause 290, WHS Reg] In relation to WHS: Structure means infrastructure that is constructed, whether fixed or moveable, temporary or permanent, and may include: buildings, masts, towers, formwork, rail transport infrastructure, underground works (tunnels), noise reduction barriers, signalling systems and associated cables, foundations, earth retention works and other earthworks.
Technical Advisor/s	The members of the project Steering Committee who provide technical expertise to the Approval Authority or the Project Manager (in the case of larger projects). Depending on the nature of the work being done other parties (from within or external to ARTC) may be engaged to ensure that the necessary technical standards are met.
Work Activity	A routine, low risk task that is declared not to be a project. This decision can be made by a manager in the Division carrying out the work and who has a financial delegation above the value of the task. Declared Work Activities are excluded from the scope of EGP-20-01 Project Management.

1.5 Reference and Support Documents

Reference and support documents are listed in Appendix 2.

1.6 Procedure Owner

The General Manager Technical Standards is the owner of this procedure and is responsible for reviewing this procedure in line with the SMS.

2 Determining whether to utilise Simple Project or Complex Project Requirements

2.1 ARTC Project Delivery Phases

This procedure describes the process for delivery of a project in six Phases, some of which may be substituted or amalgamated as set out below. These are:

Phase 1 Concept Assessment

This phase involves a review of whether a potential project would enable ARTC to better meet its strategic objectives as set out in the Corporate Plan. This would include documenting the business benefits, technical issues and regulatory requirements, estimated costs and time to implement. Potential risks and opportunities for the project should also be documented. The Approval Authority will consider the Concept Assessment Report and decide whether to proceed to the Project Feasibility Phase. This decision and the reasons shall be documented and approved in writing. This phase may be substituted with a divisional strategy document.

Phase 2 Project Feasibility

This phase involves a more detailed documentation of the proposed project scope, including technical and operational specifications. Options for implementation should be analysed to best deliver the business objectives, using financial criteria and risk assessment. A preliminary Project Management Plan (PMP) should be drafted, and a Concept Design may be undertaken. Long lead items such as initial design, materials procurement, property acquisition, rail safety regulatory approvals or change notification (as per the SMS) and environmental approvals (per the Environmental Management System (EMS)) should be identified for consideration by the Approval Authority for early start as cost refinement and schedule risk reduction initiatives. The Approval Authority will consider the Project Feasibility Report and decide whether to proceed to the Project Assessment Phase.

Phase 3 Project Assessment

This phase prepares the project documentation for stakeholder concurrence and written project approval with a firm budget. Detailed design is usually undertaken in this phase to lower the overall project risk, and the Approval Authority may authorise risk reduction activities such as obtaining permits, contract preparation, tendering, tender evaluation and purchase of certain long lead items if necessary. The Project Management Plan (PMP) is completed in this phase, including a detailed risk assessment. Variation of accreditation or notification of change requirements should be determined in this phase and preparation of submissions to the rail safety regulator(s) should commence.

Phase 4 Project Approval

This phase provides approval or otherwise of the Project Management Plan, and any constraints under which the project may proceed. The appropriate financial delegate may approve the project budget for implementation. The Approval Authority agrees project governance and reporting requirements. Reporting to, and monitoring by the Approval Authority is critical in this phase.

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Any required applications for variation of ARTC's accreditation or Notification of Change must be submitted to the rail safety regulator(s) and approval granted before work commences. Notification of prescribed decisions, events or changes must be submitted in the specified timeframe.

Phase 5 Project Implementation

This phase involves procurement, project initiation and project delivery. Depending on the scope of the project, a staged approach to project delivery may be necessary. Maintenance of the Project Risk Register is a critical task in this phase.

Phase 6 Project Close-out

This phase ensures that all aspects of the project have been completed, and that all related contracts are finalised in accordance with their terms and conditions. Lessons learnt that have been collected in each phase are documented to the satisfaction of the Approval Authority. Any residual risks and controls are transferred from the project risk register to the ARTC Corporate Risk Register. Financial close-out and capitalisation of the assets are key tasks in this phase. After a period of use of the project outputs (sufficient to allow assessment), the business benefits are assessed by the Project Manager (or a person tasked by the Approval Authority) to determine the extent of deviation from the originally envisaged benefits and inform project stakeholders where necessary. These results shall be recorded in the Lessons Learnt Report and uploaded onto the Project Lessons Learnt SharePoint site.

Each of these Phases has a Hold Point at the end of the Phase as a milestone where approval is required to progress to the next Phase. The result of the Hold Point, including the decisions of the Approval Authority, shall be documented in the project records.

This staged development and approval process for projects is intended to ensure the investment of ARTC funds and resources is undertaken in a considered and careful manner, which maximises the value to ARTC and its stakeholders. The depth of analysis and documentation at each stage should reflect the cost/benefit/risk of each project being proposed. At the discretion of the Approval Authority, some Phases may be amalgamated or run in parallel with other Phases, as set out in Section 2.3.1.

The flowchart for ARTC project management is shown in the Safety Management System (SMS) in the Project Management governing process.

2.2 Project Classification

Projects undertaken by ARTC are classified by the Approval Authority as either a Simple Project or a Complex Project, per the definitions at Section 1.4 above. This classification determines the extent of project preparation, documentation, reporting and oversight by the Approval Authority. The risk of mis-classification of a project is controlled by the application of Section 2.2 and Appendix 1 by the Approval Authority.

Project classification guidelines are provided at Appendix 1, according to three parameters:

- Project Category
- Risk Management
- Project Budget

2.2.1 Project Category

Project categories reflect the different nature and risks to the business associated with different types of project. The four project categories used by ARTC are as follows.

- **Business / Technology Project**

This category covers IT infrastructure, business systems and technology projects across the business. Where such projects impact on rail safety and cost greater than 5 million, they are to be categorised as a Rail Network Activity / Project.

- **Strategic or Cultural Project**

This category covers projects that implement strategic decisions or cultural change that have an impact across the business, sometimes with notable risks to project success and relatively low implementation cost.

- **Property Project**

This category covers projects with a significant land acquisition and building cost, when compared to the financial delegation of the Divisional EGM. The project improvements on the land are generally of a well-understood nature, however higher cost improvements need greater project oversight.

- **Rail Network Activity / Project**

This category covers the majority of activities and projects undertaken by ARTC to maintain or improve the rail network. Some repetitive and well-understood work activities do not need to be managed as projects, and can be accumulated together and managed as part of a program. All projects and work activities in this category impact on rail safety.

2.2.2 Risk Management

Using the Risk Scoring Criteria in RM-01, or as scaled and agreed by the Approval Authority the Project Manager shall assess overall project impact in the areas of safety, asset, financial, environmental, reputation and regulatory impact. The project is then evaluated using the RM-01 ARTC Risk Scoring Matrix to produce a risk score (Very High, High, Medium, Low) for each consequence category. The risk assessment must also consider the risk of the project parameters of cost, schedule and technical quality not being met, and the impact such deviations would have on the viability of the project business case. Contractor and quality assurance risks shall also be considered.

Following conduct of this analysis, the highest assessed risk score determines whether a project should be managed as a Simple Project or a Complex Project in accordance with the flowchart at Appendix 1.

During each phase of the project, the Project Manager shall regularly review project risks and update the Project Risk Register accordingly, including controls and mitigation measures adopted. All changes to the Project Risk Register shall be reported to the Approval Authority. At the end of the project, untreated/residual risks and any associated controls are transferred to the Corporate Risk Register. The Approval Authority shall be satisfied that all controls are in place.

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2.2.3 Project Budget

This procedure has established different project budget thresholds for each of the four project categories, as a factor in determining whether a project is to be managed as a Simple Project or as a Complex Project. The project budget thresholds are shown in the flowchart at Appendix 1.

These different project budget thresholds reflect the different levels of project oversight deemed necessary for different project categories. Simple Projects require an effective level of oversight by the Approval Authority, including an agreed level of regular reporting by the Project Manager. Complex Projects have increased formality of reporting and evaluation against the project parameters.

Refer to the Finance Division annual forecast and budget memo, and the FIN-PR-039 BIC Submission Procedure for guidance.

It is important to liaise with the Management Accountant to ensure the accounting treatment and any tax issues are addressed at project and budget creation to ensure the optimum set up and efficiency of project financial close.

2.2.4 Decision on Project Classification

The Approval Authority shall utilise the flowchart at Appendix 1 to inform them as to whether an activity is to be managed as a Simple Project, a Complex Project or a Work Activity. After utilising Appendix 1, the Approval Authority can decide as follows:

- a. A Work Activity can be managed as a Work Activity or a Simple Project or a Complex project;
- b. A Simple Project can be managed as a Simple project or a Complex project.
- c. A Complex Project shall be managed as a Complex Project.

The Approval Authority is to document their decision in correspondence to the manager of the Work Activity or the Project Manager as appropriate. This can be undertaken for a group of activities/projects in a single document, such as an Annual Works Program.

2.3 Applicability of the Project Phases

2.3.1 Use of Alternative Processes for Project Phases

ARTC utilises a phased commitment to the project to account for projects that have had little or no lead up work prior to the commencement of the Concept Assessment Phase. For Complex Projects all phases will be required as the project moves from Concept, through Feasibility and into Assessment and Planning, implementation and closeout, noting that certain phases may be amalgamated or have alternative processes substituted. The adoption of phase amalgamation or process substitution does not remove the need for documenting the project concept, feasibility and assessment in reports produced by the project team, or deliverable to ARTC under a contract schedule.

Other ARTC projects may have already undertaken a degree of feasibility assessment and planning as a by-product of other established ARTC processes such as:

- Where MPM and capital works programs have been through the Budget Review process they are deemed to have met the concept assessment and project feasibility stages.

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- In the case of Alliance projects the processes established under those Alliance Agreements such as for project brief and budget preparation are deemed to meet the project assessment part of this procedure.
- Approved strategy documents generated by Strategy and Growth Division.

To substitute any of these alternate processes on a project or group of projects, the Approval Authority shall authorise documentation to show that these alternative processes are considered to be suitable. The documentation shall state that the necessary controls are in place to validate these projects and obtain the appropriate levels of approval. The documentation shall also indicate at what project phase that the EGP-20-01 processes shall be used. The documentation should be placed in project records for audit purposes.

A contractor (Alliance Partner or other arrangement) may be permitted by the Approval Authority to utilise their project management approach in lieu of using EGP-20-01 and associated Work Instructions. In such cases, it is essential that the scope of work includes the requirement for the contractor to provide applicable data, documentation and drawings to close out and handover the project. The applicable Project Management Checklists from Appendix 2 shall be completed and provided to ARTC. Contracts shall make it clear that the other party is responsible for demonstrating the equivalence of their processes to ARTC's EGP-20-01.

2.4 Governance Choices

This procedure includes a governance model that can incorporate a project Steering Committee and defined Project Assurance roles (as set out in Section 2 of EGW-20-01). This governance model is recommended for complex projects. Financial governance is provided by the Budget Investment Committee (BIC) and financial delegates with suitable delegation as set out in FCA-RG-002 Delegation Summary. External financial approval is also required in certain cases, such as the Hunter Valley Rail Capacity Group (RCG).

For simple projects the following options can be considered by the relevant EGM:

- The Approval Authority for the project can be the Infrastructure Manager, Delivery Manager or Project Delivery Manager. Financial and contract approvals are referred to the appropriate delegate per FCA-RG-002.
- A formal Steering Committee may not need to be established. Where the project size or nature does not warrant a Steering Committee to be established the nominated Approval Authority can seek operational and technical advice as necessary.
- In the case where projects are being delivered under an Alliance, the Alliance Board will generally be deemed to be the Steering Committee and the Alliance Manager the Approval Authority. An Operational Steering Committee can also provide governance.
- Assurance roles will typically be fewer in number and less formal on the smaller and lower risk projects.
- As an absolute minimum, the project organisation shall include an Approval Authority and the Project Manager.

The following table outlines the key parameters that will need to be considered when determining how to apply EGP-20-01 to a particular project:

Table 2.1

Procedure Element	Simple Project	Complex Project
Governance	Documented, but less formal. Approval Authority/Steering Committee may comprise one individual with sufficient delegation of authority. Approval Authority likely to be a less senior manager. Steering Committee less likely to meet regularly and formally. Smaller Project Teams.	Formal governance structure with a Steering Committee in place and all steering committee roles defined and allocated. Steering Committee is actively involved and will meet on a predetermined basis. Larger project teams, which can include a project assurance function.
Phases Required	More likely for Phases I – III to be amalgamated. Probable and acceptable for Phases I - III to be fulfilled via other corporate processes e.g. annual budget review cycle. Risk reduction activities such as long lead procurements may be approved by the Approval Authority prior to the approval of the main project implementation.	Phases I – VI will be followed according to this procedure. Hold Points are observed until the required approvals are obtained, unless the Approval Authority allows deliverables from future phases to be brought forward to manage schedule risk, or allows phases to be amalgamated, run in parallel or substituted by other processes as allowed by this procedure.
Procurement/ Contract Work	Contract Manager role may be taken on by the Project Manager under more general guidance from the ARTC procurement team.	Contract Manager role will often be separate to the Project Manager role.
Documentation	More likely that the project document suite is consolidated into a small number of key documents. eg. the Project Management Plan may be the only plan required.	In addition to the PMP, separate Plans per this procedure may be required in order to assist project delivery and form a suitable audit trail of the project's actions.

It should be noted that if the project is not identified in the current five year budget then the ARTC Financial Services Procedure FIN-PR-038 Budget Variations shall be used to get approval to move to the Feasibility phase.

3 Conducting ARTC Projects

The Approval Authority is responsible for overseeing all aspects of the project and to ensure controls are in place, and monitored, for project success. The Approval Authority is to be able to provide guidance and assist in decision making as required during the project.

Specific activities that the Approval Authority is responsible for are listed at para's 3.2.2 for Simple Projects and 3.3.2 for Complex Projects. The Approval Authority Project Checklist EGP2001T-04 is available to assist Approval Authorities with their responsibilities.

3.1 WHS Requirements

All ARTC projects are required to comply with the WHS Act and its Regulations. The projects that meet the definition of a "Construction Project" (see s1.4 Definitions) have additional WHS requirements, and guidance for meeting these requirements is set out in the referenced documents in Appendix 2.

3.2 Managing Simple Projects

Simple Projects are generally approved as part of a program via the Budget Investment Committee (BIC) annual process. Other Simple Projects may have a truncated Phase 1 and 2 and proceed directly to Phase 3, and are managed from phases 3 to 6 of this procedure in accordance with the Managing Simple Projects Work Instruction, EGW-20-02. The decision on phase amalgamation shall be documented by the Approval Authority.

3.2.1 Simple Project Management Plan options

The options available to the Approval Authority for the Project Management Plan for a Simple Project or group of simple projects are as follows:

- a. Use EGW2002T-01 Simple Project Management Plan for each project or activity, or
- b. Use EGW2002T-01 Simple Project Management Plan as an Annual Works Plan across a program of Projects and Work Activities, and then utilise EGW2002T-03 Simple Project - Work Package to define project requirements.

The choice of which option to adopt depends on the information needs of the Approval Authority, Project Manager and stakeholders.

3.2.2 Managing Simple Projects Work Instruction EGW-20-02

Projects that have been determined to be Simple Projects are to be managed in accordance with Work Instruction EGW-20-02 "Managing Simple Projects".

The Approval Authority for a Simple Project has the following responsibilities:

- a. Appointing the Project Manager.
- b. Where applicable, ensuring that on commencement the Project Manager has reviewed Lessons Learnt reports from earlier projects to apply to the current project.
- c. Approving the Project Management Plan.
- d. Approving other plans (if not incorporated into the Project Management Plan) such as Project Roles and Responsibilities, Quality Management Plan, Commercial Management Plan, Safety Management Plan, Inspection and Test Plan, Risk Management Plan and Construction Environmental Management Plan.
- e. Ensuring appropriate regulatory approvals are in place and notifications are submitted as required.
- f. Monitoring progress reports and challenging the Project Manager on issues.
- g. Ensuring that all agreed and required project documentation is completed at the correct stage of project implementation and is registered in accordance with ARTC Records Management requirements.
- h. Understanding and reacting to the opportunities and risks to the project and ARTC. This can include reporting of particular risks and controls to the relevant Executive Committee.
- i. Monitoring whether project circumstances have changed to the extent that project governance needs to be updated.
- j. Approving changes to budget or program within their financial delegation.
- k. Approving entry into each phase of the project.

- l. Approving project closure with reference to the Simple Project Checklist.
- m. Ensuring that the Lessons Learnt Report is uploaded to the Project Lessons Learnt SharePoint site and readily available for future reference across ARTC.
- n. Approving the transition of residual risks and controls from the project to the Corporate Risk Register.
- o. Documenting decisions made to provide clarity and assist with the audit function.
- p. Ensuring the financial close-out of capital projects.
- q. Ensuring that the project business outcomes are compared to the initial business requirements.

3.3 Managing Complex Projects

Complex projects will generally go through each of the six project phases, as set out in the SMS, with the required reports raised in each phase. The Approval Authority may allow certain phases to be amalgamated, and determine if any end of phase reports are not required. Such decisions are to be documented. The Approval Authority may also allow expenditure in early phases on risk reduction activities, including preliminary design, long lead materials purchase, land acquisition, rail safety and environmental approvals.

3.3.1 Complex Project Management Plan

The options available to the Approval Authority for the Project Management Plan for a Complex Project or group of complex and simple projects are as follows:

- Use EGW2001T-01 Complex Project Management Plan for each complex project.

3.3.2 Managing Complex Projects Work Instruction EGW-20-01

Projects that have been determined to be Complex Projects are to be managed in accordance with Work Instruction EGW-20-01 "Managing Complex Projects".

The Approval Authority for a Complex Project has the following responsibilities:

- a. Determining the project governance arrangements, and which project phases can be combined (if any).
- b. Appointing the members of the Steering Committee (if applicable).
- c. Appointing the Project Manager for each project phase (where applicable).
- d. Where applicable, ensuring that on commencement the Project Manager has reviewed Lessons Learnt reports from earlier projects to apply to the current project.
- e. Reviewing the outputs from each project phase, and authorizing the commencement of the next phase (potentially expediting the project schedule by permitting low risk activities in a subsequent phase to be undertaken in parallel with an earlier project phase).
- f. Approving other plans (if not incorporated into the Project Management Plan) such as Project Roles and Responsibilities, Quality Management Plan, Commercial Management Plan, Safety Management Plan, Inspection and Test Plan, Risk Management Plan and Environmental Management Plan.
- g. Approving each version of the Project Management Plan through the phases of the project, and approving the entry into each phase of the project.

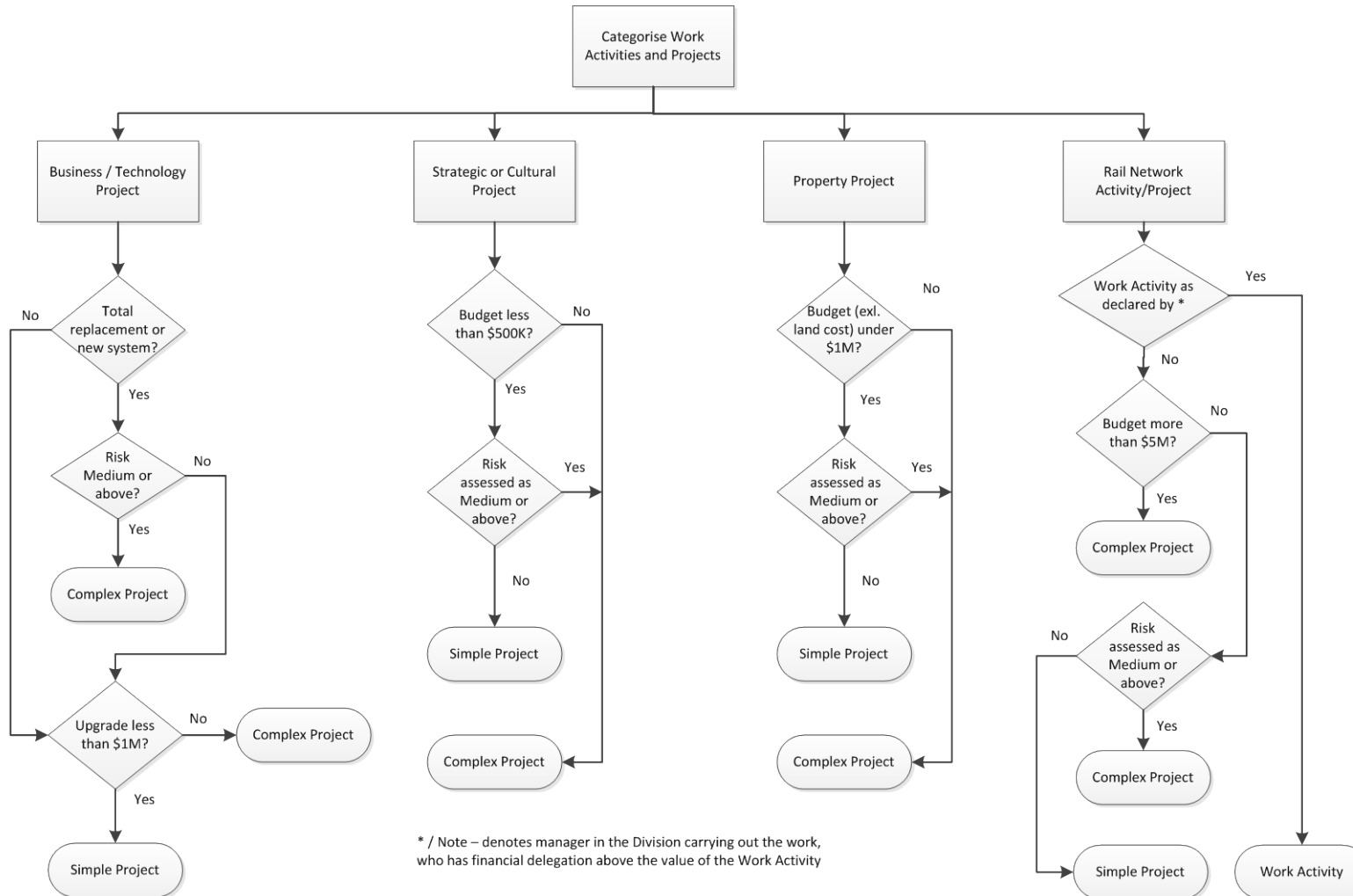
- h. Ensuring appropriate regulatory approvals are in place and notifications are submitted as required.
- i. Ensuring that all agreed and required project documentation is completed at the correct stage of project implementation and is registered in accordance with ARTC Records Management requirements.
- j. Understanding and reacting to the risks to the project and ARTC. This can include reporting of particular risks and controls to the relevant Executive Committee.
- k. Monitoring progress reports and challenging the Project Manager on issues.
- l. Approving changes to budget or program, or presenting variations to the appropriate authority.
- m. Approving project closure with reference to the Complex Project Checklist.
- n. Ensuring that the Lessons Learnt Report is uploaded to the Project Lessons Learnt SharePoint site and readily available for future reference across ARTC.
- o. Approving the transition of residual risks and controls from the project to the Corporate Risk Register.
- p. Documenting decisions made to provide clarity and assist with the audit function.
- q. Ensuring the financial close-out of capital projects at each stage of commissioning.
- r. Ensuring that the project business outcomes are compared to the initial business requirements.

3.4 Documentation of Project Status

Approval Authorities, Project Managers and Project Staff are required to keep records of the current status of actions they are responsible for in each project they are involved in.

As Approval Authorities, Project Managers and/or Project Staff change over, incoming staff shall ascertain which tasks they are responsible for which remain to be accomplished for the project.

4 Appendix 1 – Classification of Work Activities and Projects



5 Appendix 2 – EGP-20-01 Support Documents

5.1 Reference Documents

ARTC Safety Management System (Project Management)

ARTC Environmental Management System (EMS) per Intranet site

Project Lessons Learnt SharePoint site (<http://projects.artc.com.au/sites/projectlessonslearnt>)

FCA-PR-043 Delegation Policy, Principles and Guidelines (for financial delegations)

FCA-RG-002 ARTC Expenditure Delegation & Disposal Authority Summary

FCO-PR-022 Contracts Management – Contracting

FIN-GL-018 Coding and Reporting Guidelines

FPR-PR-024 Purchasing Materials Procedure

FIN-PR-039 BIC Submission Procedure (for guidance on Concept Assessment proposals)

EGP-03-01 Rail Network Configuration Management

RM-01 Risk Management Procedure

FCA-FM-101 Capital Works Financial Closeout Form

PPP-03 Records Management Policy

WHS-PR-001 Work Health and Safety

SMS - Manage Accreditation – Variation and Change

Construction Work Code of Practice

(<http://www.safeworkaustralia.gov.au/sites/swa/about/publications/pages/construction-work>)

Safe Design of Structures Code of Practice

(<http://www.safeworkaustralia.gov.au/sites/swa/about/publications/pages/safe-design-of-structures>)

How to Manage Work Health and Safety Risks Code of Practice

(<http://www.safeworkaustralia.gov.au/sites/swa/about/publications/pages/manage-whs-risks-cop>)

Managing the Work Environment and Facilities Code of Practice

(http://www.safeworkaustralia.gov.au/sites/SWA/about/Publications/Documents/626/Managing_the_Work_Environment_and_Facilities.pdf)

5.2 Support Documents (Work Instructions and templates)

EGW-20-01 Managing Complex Projects

EGW-20-02 Managing Simple Projects

EGW2001T-01 Complex Project Management Plan

EGW2001T-02 Complex Project Checklist Phase 1

EGW2001T-03 Complex Project Checklist Phase 2

EGW2001T-04 Complex Project Checklist Phase 3

EGW2001T-05 Complex Project Checklist Phase 5

EGW2001T-06	Complex Project Checklist Phase 6
EGW2001T-07	Project Roles and Responsibilities Allocation Report
EGW2001T-08	Concept Assessment Report
EGW2001T-09	Project Feasibility Report
EGW2001T-10	Product Description
EGW2001T-11	Phase/Stage/Exception Plan
EGW2001T-12	Work Package
EGW2001T-13	Team Plan
EGW2001T-14	Team Status Report
EGW2001T-15	Project Progress Report
EGW2001T-16	End Stage Report
EGW2001T-17	Exception Report
EGW2001T-18	Certificate of Practical Completion & Handover
EGW2002T-01	Simple Project Management Plan
EGW2002T-03	Simple Project Work Package
EGW2002T-04	Simple Project Checklist
EGW2002T-05	Project Progress Report – Simple Project
EGP2001T-01	Issue Log
EGP2001T-02	Project Close out Report
EGP2001T-03	Lessons Learnt Report
EGP2001T-04	Approval Authority Project Checklist
EGP2001T-05	Project Close Out and Handover Checklist: Environmental
EGP2001T-06	WHS Management Plan – ARTC Principal Contractor
EGP2001T-07	WHS Management Plan – ARTC Not Principal Contractor
EGP2001T-08	WHS Management Plan Checklist
EGP2001T-09	SWMS Checklist
EGP2001F-01	Correspondence Register
EGP2001F-02	Data Transmittal Form
EGP2001F-03	Data Transmittal Register
EGP2001F-04	Request for Quotation Register
EGP2001F-05	ARTC Project Risk Register Template