



South Essex Rapid Transit Major Scheme Business Case

Appendix 5A Project Management Plan

April 2010



A partnership project between Essex County Council, Southend-on-Sea Borough Council and Thurrock Council

South Essex Rapid Transit

Project Management Plan

February 2010

Updated Version for Major Scheme Business
Case

Prepared for:

Essex County Council
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Council
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1 Introduction

- 1.1 The Thames Gateway is the UK's biggest regeneration area, stretching out from East London on both sides of the Thames. In South Essex, there are exciting opportunities that can transform the area into a top location for people to live, work and visit. At the heart of this transformation will be a major investment programme to improve choice for businesses and the local community and help support regeneration of the locality.
- 1.2 In 2005, the Thames Gateway South Essex Transportation Board (TGSETB) published its '*Business Plan for Transport*'. This set out a prioritised and integrated package of proposals designed to underpin the growth and regeneration of South Essex by providing access to health, jobs, education and land for new jobs and housing in a sustainable way.
- 1.3 One of the key proposals of the TGSETB Business Plan is South Essex Rapid Transit (*sert*). This project is being developed through a partnership between three local authorities (Essex County Council, Southend-on-Sea Borough Council and Thurrock Council) along with support from consultants. Because of the large number of parties involved, either directly or as stakeholders, the objectives, action plans, decision making processes and communications need to be clear and unambiguous.
- 1.4 This Project Management Plan covers the current stage of *sert*, which is to submit a Major Scheme Business Case (MSBC) for *sert* to the Department for Transport (DfT), support the DfT review period and prepare for detail design and other work that would proceed following Programme Entry, the first stage of DfT approval.
- 1.5 This plan outlines the project structures and processes that will be used to govern activities and comprises:
 - Project objectives;
 - Project organisation;
 - Project programme;
 - Project scope and change control;
 - Project communications;
 - Document control;
 - Budget control;
 - Risk management; and
 - Other key project documents.

2 Project Objectives

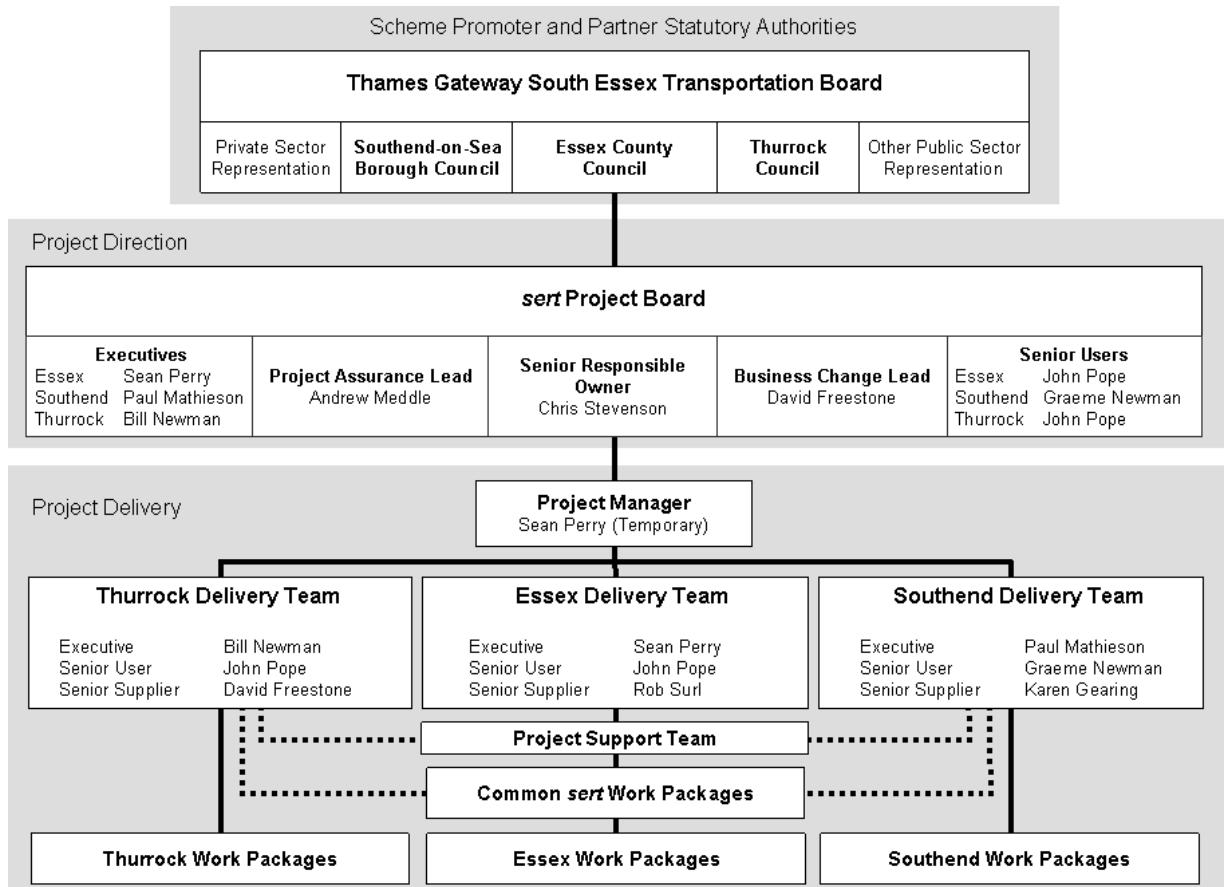
- 2.1 *sert* will be an innovative form of high quality public transport that utilises a package of congestion-beating measures - it will be fast, frequent, reliable and easy to use. *sert* will use modern, high quality, environmentally friendly vehicles, with level boarding, GIS and CCTV and, where necessary, will run on its own dedicated lanes. *sert* will deliver most of the features of a tram at a lower cost, providing a first-rate system and the step-change in public transport in Essex that is essential to ensure people have a realistic alternative to the car.
- 2.2 Existing traffic levels in the principal areas of Basildon, Grays and Southend are already congested. *sert* will have the capability of attracting patronage by providing an improved public transport offer in order to retain existing public transport users and effect mode shift from private cars. In addition, *sert* will provide a realistic alternative to the car to both existing and future residential and employment areas as well as providing additional capacity at peak times and aiding links to the strategic rail network.
- 2.3 The vision for *sert* is that it will help deliver the objectives of the Thames Gateway South Essex 'Sustainable Communities' Plan, by providing high quality public transport to get people where they want to go reliably, quickly and without delay. The objectives of the scheme are to:
- Help deliver regeneration and economic development;
 - Contribute to meeting targets for the reduction of carbon dioxide emissions from transport;
 - Integrate communities with new development sites and key public transport interchanges;
 - Improve connections between homes, jobs and other destinations;
 - Be reliable, and designed to beat congestion;
 - Minimise the impact of travel on the environment; and
 - Improve the image of South Essex.

3 Project Organisation

Overview

3.1 The organisation to deliver the initial *sert* scheme is indicated in **Figure 3.1** below. The roles and responsibilities of the parties indicated in the figure are described in the following paragraphs.

FIGURE 3.1 PROJECT ORGANISATION TO DELIVER INITIAL *sert* SCHEME



Project Structures

3.2 **Thames Gateway South Essex Transportation Board (TGSETB)** - brings together senior officers and transport portfolio holders of the three partner statutory authorities promoting the initial *sert* scheme - Essex County Council, Southend-on-Sea Borough Council and Thurrock Council - as well as representatives of other key bodies including Department for Transport, Highways Agency and Government Office East of England. The partner statutory authorities discharge their oversight of the project through the TGSETB, which has overall accountability for the project, provides strategic guidance and is the ultimate decision-making body. Given the TGSETB does not have delegated executive powers, Essex County Council acts as the lead authority for *sert* and provides the project’s Senior Responsible Owner.

3.3 TGSETB meetings are held quarterly and attended by representatives of the partner statutory authorities at both member and officer level, as indicated in **Table 3.1** below.

TABLE 3.1 PARTNER STATUTORY AUTHORITY REPRESENTATION AT THAMES GATEWAY SOUTH ESSEX TRANSPORTATION BOARD

Authority		Cabinet Member	Officer
Essex	County Council	Cllr. Norman Hume Cabinet Member for Highways & Transportation	Chris Stevenson Head of Transportation and <i>sert</i> SRO Sean Perry Principal Transport Co-ordinator and <i>sert</i> Executive
Southend-on-Sea	Borough Council	Cllr. Anna Waite Cabinet Member for Transport & Planning	Paul Mathieson Special Projects Manager for Transportation, Enterprise, Tourism and the Environment and <i>sert</i> Executive
Thurrock	Council	Cllr. Neil Rockliffe Cabinet Member for Highways & Transportation	Bill Newman Sustainable Communities Director and <i>sert</i> Executive

3.4 The arrangements between the statutory authorities promoting the initial *sert* scheme are in the process of being formalised through a joint working partnership agreement. This sets out the basis for governance of the project and for the financial contributions to be made by each party.

3.5 ***sert* Project Board** - is responsible to the TGSETB for the direction and overall management of the initial *sert* scheme. The Project Board is chaired by the Senior Responsible Owner and made up of the Executive and Senior User for each of the partner statutory authorities, the Project Assurance Lead and the Business Change Lead. These roles are defined below. *sert* Project Board meetings are normally held every six weeks. The Project Manager reports regularly to the Project Board, keeping members informed of progress and highlighting any issues or concerns.

3.6 The responsibilities of the Project Board include:

- Setting the strategic direction of the *sert* project, in the context of local policies and the work of the TGSETB
- Defining the scope and setting the timescales for major project milestones
- Approving the appointment of the Project Manager
- Providing the Project Manager with the strategy and decisions required to enable the initial *sert* scheme to proceed to programme and resolve any challenges

- Securing necessary approvals through the TGSETB and partner statutory authorities
 - Approving the project scope of work, programme and budgets, as well as any subsequent changes
 - Signing off completion of each stage of the project and authorising the start of the next
 - Monitoring project risks and taking any appropriate action to mitigate risks.
- 3.7 **Delivery Teams** - reporting to the Project Manager, the three Delivery Teams (one for each partner statutory authority) are responsible for organising and delivering work packages on the highways under the authority's jurisdiction. The Essex Delivery Team has the additional responsibility for common work packages such as passenger information systems and service control technology.
- 3.8 **Project Support** - this team is responsible for project administration, including document control, project team communications, arranging meetings, updating plans, and chasing up the completion of actions.

Individual Roles

- 3.9 **Senior Responsible Owner** - has ultimate responsibility and delegated authority for ensuring effective delivery of the initial *sert* scheme on time and on budget.
- 3.10 **Project Manager** - is the individual responsible for organising, controlling and delivering the initial *sert* scheme. The Project Manager leads and manages the project team, with the authority and responsibility to run the project on a day-to-day basis.
- 3.11 **Executives** - represent the group in each partner statutory authority with responsibility for obtaining funding for the initial *sert* scheme and securing resources to deliver it. In Essex County Council this is the Transportation Group.
- 3.12 **Senior Users** - represent the group in each partner statutory authority who will oversee the future day-to-day operation of *sert* services. In Essex County Council this is the Passenger Transport Group.
- 3.13 **Project Assurance Lead** - provides an independent view of how the initial *sert* scheme is progressing. Tasks include checking that the project remains viable in terms of costs and benefits (business assurance), the users' requirements are being met (user assurance), and that the project is delivering a suitable solution (technical assurance).
- 3.14 **Business Change Lead** - is responsible for facilitating internal and external transition required to support the successful introduction of *sert* services. Tasks include:
- Working with local bus operators and the relevant group in each partner statutory authority to implement changes to conventional bus services to complement *sert* services and increase overall public transport demand in South Essex

- | Working with the Essex County Council ITS and Congestion Manager to embed the management of *sert* real-time passenger information and service control as a core function of the Essex Traffic Control Centre.

3.15 **Senior Suppliers** - represent the company or team of companies contracted to undertake the highway engineering and other technical work required to deliver the initial *sert* scheme.

Client Review Meeting

3.16 The Client Review Meeting (CRM) is the regular formal meeting between the Project Manager and *sert* Consultant Team from Mouchel and Steer Davies Gleave (SDG). Meetings are chaired by the Project Manager and held every four weeks. The CRM is the formal vehicle for the Project Manager to:

- | Review the Project Programme
- | Instruct the Consultant Team
- | Review Consultant Team work packages
- | Review progress on workstreams and manages changes
- | Consider recommendations made by the Consultant Team
- | Review the Consultant Team budget.

3.17 CRM meetings are attended by:

- | Sean Perry , Project Manager, Essex County Council Executive
- | Rob Surl, Consultant Team Director, Mouchel
- | Chris Ferrary, Consultant Team Director, SDG
- | Chris Hardie, Consultant Team Manager, Mouchel
- | Judy Swillman, Consultant Team Manager, SDG.

Consultant Management Team

3.18 The Consultant Management Team comprises those members of the Consultant Team who attend the CRM. They are responsible for the day to day management of the Consultant Team. This includes detailed planning of the workstreams, budget management, providing strategic advice, seeking guidance and making recommendations to the CRM. **Table 3.1** below indicates the specific roles and responsibilities of the Consultant Management Team Members.

TABLE 3.1 ROLES AND RESPONSIBILITIES OF CONSULTANT MANAGEMENT TEAM

Name	Company	Role and Responsibilities
Rob Surl	Mouchel	<i>Consultant Team Director, Mouchel:</i> Contractually responsible for the delivery of work specified and agreed with the client, on time and to budget, and ensuring all

		quality requirements are met.
Chris Ferrary	Steer Davies Gleave	<i>Consultant Team Director, SDG:</i> Advising the client on the overall scope and programme of work required and directing the work of the Steer Davies Gleave team to ensure the quality required is specified correctly.
Chris Hardie	Mouchel	<i>Consultant Team Manager, Mouchel:</i> Ensuring the timely delivery of specified outputs, planning and monitoring progress. Identifying and allocating the management of project risks. Agreeing resource budgets with the client, reporting on budget and invoicing. Specific co-ordination of outputs from Mouchel.
Judy Swillman	Steer Davies Gleave	<i>Consultant Team Manager, SDG:</i> Management and co-ordination of outputs from Steer Davies Gleave.

- 3.19 The Consultant Team Managers for Mouchel and SDG are jointly responsible for all commercial and contractual matters. However, it should be noted that the ultimate contractual responsibility to the client lies with Mouchel, and SDG’s responsibility to Mouchel through a back-to-back contract. As the directors responsible to their respective companies for the fulfilment of their contractual obligations, they therefore work together closely with the Consultant Team Managers to ensure budget issues and workstream packages are efficiently managed and the outputs are produced to time and quality requirements. They also are responsible for the technical quality of the outputs produced by the respective workstream teams for the project and sign-off on them, prior to their issue to the client.
- 3.20 The Consultant Team Managers are responsible for management of their respective consultant teams in order to ensure delivery of project outputs to time and budget, meeting the quality assurance requirements of their respective organisations. They will also liaise with the client on day-to-day issues to ensure the project runs smoothly.

Consultant Workstreams

- 3.21 The responsibilities of the Consultant Team are summarised in **Table 3.2**.

TABLE 3.2 RESPONSIBILITIES OF THE CONSULTANT TEAM

Mouchel	Steer Davies Gleave
Contractual Project Management	Policy Analysis
Identification and Management of	Challenge and Review on Engineering

Project Risks	Design
Identification of Engineering Constraints	Challenge and Review on Modelling
Engineering Design	Option Assessment
Cost Estimates of Preferred Routes	Operating Cost Estimates
Land Identification and Valuation	Economic Appraisal
Modelling of <i>sert</i> patronage and changes in highway traffic flows	Environmental Assessment
Specification of command and control system, communications, etc.	Wider NATA Appraisal
	Options for Funding, Delivery and Operations
	Preparation and Editorial for Major Scheme Business Case Document
	Preparation of Materials for Public Consultation
	Monitoring and Evaluation Regime

4 Gateway Reviews

- 4.1 In granting funding for *sert* by releasing funds earmarked for the scheme through the Regional Funding Allocation process, the DfT will require the project partners to demonstrate that the project is being properly managed and can be successfully delivered to meet all the project objectives, including value for money.
- 4.2 Demonstrating this requires an independent process approval. The most common way of doing this is to adopt the Office of Government Commerce's (OGC) Gateway Review Process.
- 4.3 The Project Manager has arranged for Local Partnerships (formerly 4ps) to undertake a Level One Gateway Review of the *sert* project following submission of the Major Scheme Business Case to DfT.
- 4.4 There are three principal stages to a Gateway Review:
- **Assessment Meeting**, to agree objectives (this was held in February 2010).
 - **Planning Meeting**, to set the code of conduct, identify key stakeholders to be interviewed and agree logistics for the review. Lead officers for *sert* from Essex, Southend and Thurrock councils will attend this meeting along with the Senior Responsible Owner. The Planning Meeting is being arranged for late March 2010.
 - **The Review**, which typically is held over three days and includes around 20 interviews. The likely interviewees from the three authorities are Project Board members, leader/portfolio holder, chief executive/executive director, finance/S151 officer and leads for procurement & legal. Other likely interviewees are the Consultant Team Director/Manager for Mouchel and SDG, bus operators and local development agencies. The Review is being arranged for the week of 26th April.
- 4.5 Further Gateway Reviews will be arranged as appropriate during later stages of the project.

5 Project Scope and Change Control

Project Work Areas

- 5.1 The project scope flows from the objectives set by the *sert* Project Board. From these, a detailed workstream and deliverables programme is formulated. This is agreed by the CRM and form the basis for all work by the Consultant Team.
- 5.2 The work areas to be undertaken in developing the *sert* project will be identified by the Project Manager and agreed with the Consultant Management Team. In turn, these are approved by the *sert* Project Board.

Sub-Project Task Sheets

- 5.3 Each work area is broken down into a number of discrete sub-tasks. The primary means of setting the scope of the project tasks to be undertaken are the Sub-Project Task Sheets. These are submitted for approval to the Project Manager by the Consultant Team Managers. Each Sub-Project Task Sheet sets out:

- Work Area and Sub-task Name;
- Requirement;
- Brief;
- Lead Team Member;
- Required Output; and
- Duration/ Timescale.

- 5.4 A template for the Sub-project Task Sheets is provided in **Appendix B**.
- 5.5 The Sub-Task Project sheets will also form the basis of setting fee budgets for the team, to be agreed by the CRM and endorsed by the *sert* Project Board.

Changes to Project Scope

- 5.6 Changes to the Project Scope will be managed through “Project Scope Change Requests”. An example Project Scope Change request is provided in **Appendix C**. All changes/recommended changes to the scope are recorded using this.
- 5.7 Upon receipt of a project scope change request the Project Manage will review the need for the change and either pass it to the Senior Responsible Owner for approval or reject it.

6 Document Control

- 6.1 The centralised project database for the *sert* project is maintained by Essex County Council in the *sert* area of the 'H' drive on the main server and hard copy files.
- 6.2 Document and version control is the responsibility of the respective organisation that has the lead for production of a particular document. This may be Essex County Council, Southend-on-Sea Borough Council, Thurrock Council, Mouchel or SDG. All drafts of deliverables are issued for review to the Project Manager.
- 6.3 An electronic copy of each final report produced by the Consultant Team is passed to the Project Manager and uploaded to the *sert* area of the Essex County Council server. An additional electronic copy is logged and filed by the Consultant Team.
- 6.4 All reports or deliverables produced by the Consultant team are signed off according to the relevant organisation's quality management processes prior to delivery to the Project Manager.

7 Budget Control

- 7.1 The fees and expenses budgets of the Consultant Team will be agreed by the *sert* Project Board in advance of the period covered. Indicative budget estimates are provided for future years. Securing of relevant approvals for expenditure incurred by the project from the partner authorities is the responsibility of their representatives on the *sert* Project Board.
- 7.2 All proposals for the fees and expenses budgets are accompanied by Sub-project Task Sheets setting out the scope of work to be undertaken, deliverables to be provided and timescales for each budget heading identified.
- 7.3 The Consultant Team Managers will monitor expenditure against budget. This will be reported in the 4-weekly Project Progress Report (See **Appendix A**) and is a standing item for review at the CRM.

8 Risk Management

Risk Management

- 8.1 A proactive risk management procedure is in operation, including a quantified risk assessment approach, which ensures that risks are continuously identified, owners assigned and mitigation measures put in place. Regular reviews check the status of each risk and regulate their control and mitigation. Project procedures also require that should the likelihood or severity of risks be identified as increasing by this process, responsibility for its mitigation is escalated upwards through the project management chain to ensure that this is achieved.
- 8.2 A quantified risk analysis (QRA) was been undertaken as part of the development of the sert proposals, forming an integral part of the Project Management Structure and assessed on a monthly basis by the Project Board. All risks are currently owned by the partner authorities. As the project develops it is expected that some of these risks will be transferred to contractors constructing the infrastructure and service operators running sert services once they are in operation. In addition, Essex County Council uses a proprietary online Risk Register to assess levels of risk and to track the progress of the risk management strategy for sert. The §151 Officer also has access to this system. Risks are categorised into five main areas, i.e.:
- Project and programme risks related to delivery;
 - Consultation and stakeholder acceptance;
 - Reputational risks to the project partner authorities (and ultimately the contractors and service providers);
 - Statutory Processes; and
 - Financial and funding risks.

9 Other Key Project Documents

9.1 This Project Management Plan is not intended to provide comprehensive coverage of all elements of the *sert* project. Other key project documents include:

- **Project Programme:** Updated as required by the Consultant Team Manager, Mouchel.
- **Project Risk Register:** Maintained by the Project Manager.
- **Communications Strategy:** Maintained by the Project Manager.
- **Sub-Project Task Sheets:** Setting out the project scope and deliverables (see template in Appendix B).
- **Concept Plans:** Indicating the proposed alignments for the initial *sert* scheme.
- **Project Website:** at www.sert.org.uk, the primary means of communication between the Project Team and the public at large.

APPENDIX

A

TEMPLATE FOR 4-WEEKLY PROGRESS REPORT





**South Essex Rapid Transit
Monthly Report of Progress**

Date of Report

1) Milestones achieved in last period

2) Engineering design

3) Modelling

4) Public consultations

5) Stakeholder liaison

a) Last period

b) Upcoming

6) Business Case



7) Funding, Delivery and Operations

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8) Resources

	Essex	Thurrock	Southend	Total
a) Last invoice				
b) WIP (Next invoice)				
c) Spend to date				
d) Budget remaining				
e) Forecast next period				

9) Milestones in next period

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10) Changes to Scope

--

11) Decisions Required from Project Board

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12) Any Other Business

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Signed

For Steer Davies Gleave

For Mouchel

APPENDIX

B

TEMPLATE FOR SUB-PROJECT TASK SHEETS



**South Essex Rapid Transit
Sub-Task Project Brief (April 1st 2009 to March 31st 2010)**

Area:	<input type="text"/>
Sub Task:	<input type="text"/>
Requirement:	<input type="text"/>
Brief:	<input type="text"/>
Lead Team Member:	<input type="text"/>
Required Output:	<input type="text"/>
Duration/ Timescale:	<input type="text"/>

Date: 9/3/2009



APPENDIX

C

TEMPLATE FOR PROJECT CHANGE OF SCOPE REQUEST



Project Scope Change Request

Workstream:	Request No.:
Workstream Manager:	Date:
Change Request:	
Justification: Financial, Economic, Benefits, Drawbacks (Time, Cost, Quality)	
Project Director Comments:	
ECC Approval	Project Director Approval:



APPENDIX

D

CONTACT PRO-FORMA





Contact Pro Forma

Date:

Name:

Organisation (PI for Private Individual):

Details of Enquiry:

(If email, letter or fax, please attach a copy)

Name of person taking enquiry:

Response given:

Further Action Required:

Action Owner:

Contact Details:

Preferred Method of Contact:

Email/Telephone/Letter/Fax* (*Delete as required)

Action Completed Date:

CONTROL SHEET

Project/Proposal Name South Essex Rapid Transit

Document Title Project Management Plan

Client Contract/Project No.

SDG Project No. 220128-02

ISSUE HISTORY

Issue No.	Date	Details
1	10 March 2009	Revised version for consultant team review
2	3 April 2009	Draft submitted to client for comment
3	20 May 2009	Draft for <i>sert</i> Project Board approval
4	17 February 2010	Updated Version for MSBC

REVIEW

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DISTRIBUTION

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