



# Case Study

## Enterprise Risk Management Project

**REGISTERS OF SCOTLAND**  
*Executive Agency*



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Project Deliverables list

Consultants Progress Report (Checkpoint Report)

#### C End Stage Report (edited) including:

Risk Log

Quality Log

## 1. Introduction

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This is a Case Study of a live project, which is being run using the PRINCE2 Project Management method. It has been written to help people who are implementing the method by learning from the experience of others.

It assumes the reader knows PRINCE2 and does not contain a description of the method. Information about PRINCE2 can be found at [www.ogc.gov.uk/prince](http://www.ogc.gov.uk/prince).

The subject of the Case Study is the Enterprise Risk Management Project being undertaken at Registers of Scotland. Thanks are due to Heather Robertson, Project Manager and Alvin Gardiner, Programme Manager for their time and the material they provided.

*For more background to this Case Study, please see the business level Registers of Scotland Case Study at [www.prince2.org.uk/Main/case\\_studies.htm](http://www.prince2.org.uk/Main/case_studies.htm) which describes the work of the Agency and how they use PRINCE2 to support their business.*

The Case Study starts with a brief overview of the project then describes how PRINCE2 Processes, Components and Techniques have been applied to the project. Sample documentation appears in the Appendices.

## 2. Project Overview

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The project started as business continuity project. The millennium issues had brought into focus how reliant Registers of Scotland was on electronic records and that the business continuity plans required updating. Heather Robertson was given the responsibility of writing a scoping study. She was well placed to do this having been in the organisation since 1983, as a middle manager and latterly the Managing Director's Executive Assistant, she has a good working knowledge of the whole business.

At the same time, a newly created Security Group had begun to look at IT security and, following publication of the Turnbull Report, Government organisations were required to put in place effective Risk Management Framework processes.

There was clearly overlap in these areas, especially from the point of view of reviewing the current situation and producing strategies and policies, although less so from the point of view of implementing changes. The pre-implementation work was therefore brought together in one enabling project entitled the Enterprise Risk Management Project.

The project has been split into the following stages:

1. Initiation Stage
2. Review and Analysis
3. Policy and Strategy development
4. Implementation
5. Post Implementation (not to be confused with PRINCE2 post-project review)

The project will then be formally closed.

At the time of writing (July 2002) the project was coming to the end of Stage 2.

The project was started in January 2002 and is scheduled to finish in March 2003. Heather is full-time on the project she undertakes development work on the project as well as project managing it. She had a team of 3 people available on a part time basis and the assistance of the Programme Support Office.

The project has followed PRINCE2 closely. Heather believes it has been invaluable.

### 3. Use of PRINCE2 Processes

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The use of the eight PRINCE2 processes is summarised below. It is also indicated in the following sections describing the use of PRINCE2 Components and Techniques and in the Sample documentation in the Appendices.

The project did not follow the STARTING UP A PROJECT process precisely. It took a little time and merged with INITIATING A PROJECT because it was a complex project and a full-time Project Manager had not been appointed. A mandate was given by the Registers of Scotland Management Board in January 2001 based on the Scoping Study which was undertaken but no Project Brief was produced. The decision was taken to go straight into the Project Initiation Document. The SRO (Senior Responsible Owner – a term used on government projects) was appointed as the Executive member of the Project Board and Heather was nominated as interim Project Manager. The time taken to achieve her formal appointment occasioned by resource constraints meant that the Project Initiation Document and Business Case were not completed and approved until July 2001. Thereafter, comprehensive Terms of Reference were drawn up for the external consultants. Subsequently, these effectively became the Agency standards for the appointment of consultants via Lessons Learned.

As described in the Controls Section below, the project is split into Stages and the project is, at the time of writing, moving towards MANAGING STAGE BOUNDARIES in the way suggested by PRINCE2.

In terms of CONTROLLING A STAGE, Heather maintains a Risk Log, Issue Log and Quality Log and keeps an up to date plan showing activities, resources used and budget. She sends Highlight Reports to the Project Board regularly.

MANAGING PRODUCT DELIVERY is an exercise between herself (since she is currently doing most of the development work as well as managing the project) and the Team Leader of the external consultants.

In terms of DIRECTING A PROJECT, the Project Board members are very familiar with PRINCE2 and exercise their roles accordingly. Ad-hoc direction is given through frequent meetings with the SRO. Once documents have been approved by the Project Board, any subsequent minor changes are authorised by an exchange of emails with the Project Board and then verified formally at the next Project Board Meeting.

PLANNING is given a high priority.

#### 4. Use of PRINCE2 Components

##### Business Case

*Registers of Scotland is strong on the use of Business Cases. The Business Case for this project covered only the first two stages of the project (Review/ Analysis Stage and Policy Development Stage) because beyond that was unknown and dependent on the recommendations of specialist consultants which had to first be procured.*

*The Business Case contained: Background, Drivers for Change, Business Objectives, Benefits, Option Appraisal, Investment Appraisal plus the Scoping Study and a Resource Plan.*

*While some business cases require a lot of detail, in this case the justification was quite simple;*

- *The Cabinet Office required compliance with security standards*
- *Risk Management was mandated by central government*
- *Business continuity was an 'insurance' issue*

*Numerous business benefits were also recognised. In particular, the Registers maintained by the Agency play a significant role in the Scottish legal infrastructure. Any threat to their availability or integrity would have serious consequences.*

##### Organisation

*Registers of Scotland use the concept of SRO (Senior Responsible Owner) and use this title rather than Executive Member of the Project Board. For this project, the SRO is The Deputy Keeper of the Registers of Scotland (the Keeper is the Chief Executive). He was appointed early and together with Heather they identified the rest of the Project Board. The nature of the project meant that the allocation of user/ supplier roles was not clear-cut because individuals embodied both aspects. The other board members are:*

- *the Director of Marketing (representing the public and the users of the registers)*
- *the Director of Production (representing internal users of the registers)*
- *the Departmental Security Officer (supplier view)*
- *Director of IT Services(supplier view)*
- *Director of Finance/ Business Planning (business/ supplier view)*

*It could have been taken further but in Heather's words 'we would have ended up with the whole Management Board''*

*As described above, there are external consultants and a small internal part time team working on the project. The Project Board delegated project assurance to the Programme Manager and other Project Managers and Project Support is provided by the Programme Support Office.*

*The team is being rethought for the Stages 3 and 4. It is likely that small teams reporting to Team Managers will be created in the departments responsible for implementing the policies.*

4. Use of PRINCE2 Components (continued)
<p><b>Plans</b></p> <p><i>Heather maintains a Project Plan with deliverables, activities, consultancy costs and internal resource elements but there is no detail or budget figures beyond Stage 2. It was made clear in the business case that a full plan could not be produced until the outcome of Stage 2 was known.</i></p> <p><i>The external consultants expanded the Stage Plans for Stages 1 and 2 based on their specialist knowledge and input from Heather.</i></p> <p><i>There are no team plans as yet and no Exception Plans have been required</i></p> <p><i>Specific interactions with the Programme Plan have been identified. The Programme Board, which is made up of all the Project Managers in the Agency is a useful forum for dealing with cross-cutting issues. People get a good overview of the business and are mutually supportive.</i></p>
<p><b>Controls</b></p> <p><i>The project has been split into the following stages:</i></p> <ul style="list-style-type: none"> <li><i>Initiation Stage</i></li> <li><i>1. Review and Analysis</i></li> <li><i>2. Policy and Strategy development</i></li> <li><i>3. Implementation</i></li> <li><i>4. Post Implementation (not to be confused with PRINCE2 post-project review)</i></li> </ul> <p><i>The project will then be formally closed.</i></p> <p><i>At the time of writing the project is coming to the end of Stage 2.</i></p> <p><i>The Project Board meet, as a minimum, at end stage. Historically they met once a month but, in line with PRINCE2 recommendations they have reduced the number of times they meet to align with management decision points.</i></p> <p><i>Highlight Reports work well on this project and keep the Project Board informed of progress against plan. It is a fairly comprehensive report using a standard template with attachments which summarise Resource Usage, Deliverables, Budget, and the external Consultants Progress Report (Checkpoint Report)</i></p> <p><i>The most recent Highlight Report plus any updates and decisions to be made are used as the input to each Project Board meeting</i></p> <p><i>Checkpoint meetings will be set up for Stage 3 when the implementation teams are in place.</i></p>

4. Use of PRINCE2 Components (continued)
<p><b>Management of Risk</b></p> <p><i>A Risk Log was established early in the project, based on a the standard template for the Agency. Heather ‘doesn’t look at it everyday’ but at regular intervals. So far, there hasn’t been a formal risk assessment with other people. Heather has been entering risks on the log and encouraging others to ‘think and identify risk’ through day to day dealings. A workshop will be held to assess risk at the beginning of Stage 3.</i></p> <p><i>Heather believes that a Project Manager can sometimes be too close to the project to see risks clearly and it’s important to encourage others to identify them. As a prompt to the Project Board the Highlight Report, which is electronic, has a hyperlink to the Risk Log.</i></p>
<p><b>Quality</b></p> <p><i>Heather says that originally there was some confusion regarding Project Assurance, Quality Assurance, Quality Review.</i></p> <p><i>The project has a Quality Plan, based on the programme quality plan format, which contains, processes for quality control, who is responsible, standards, key product quality criteria, configuration management conventions, email filing conventions, change control and which software tools are being used.</i></p> <p><i>The project also operates a Lessons Learned Log, a Quality Log and uses Product Descriptions</i></p>
<p><b>Configuration Management</b></p> <p><i>Configuration management is very strict in the Agency. There is the equivalent of a Configuration Librarian in the Programme Support Office although Heather believes Configuration Management is ultimately her responsibility and she is very ‘hands-on’ and works closely with the Programme Support Office. Heather considers Configuration Management to be one of the most important aspects of project management. It means that version control and approvals are clear and there is no confusion. Where a document has been through several iterations it is easy to refer to previous versions and other people can easily track the development of a document. This is particularly important since the deliverables on this project are policy documents with far reaching consequences.</i></p> <p><i>The Programme Support Office defines the services which it provides and agrees the detail with each Project Manager at the start of a project.</i></p>



5. Use of PRINCE2 Techniques
<p><b>Product Based Planning</b></p> <p><i>The project uses the concept of products but hasn't used Product Based Planning. Partly because it was a bit of a mystery and partly because the external consultants did the detailed planning for Stages 1 and 2. Heather is going to try the technique for Stage 3.</i></p> <p><i>Heather thinks that a Product Description is an excellent tool because it helps focus on the deliverable even when it's not known precisely what form the deliverable will take, which is particularly relevant to this project where complex documents have to be delivered. The Product Description forms the basis for agreement, time planning and quality review.</i></p>
<p><b>Change Control Approach</b></p> <p><i>There is no formal procedure for Change Control. The project is not subject to frequent change so the Issue Log suffices for change control. Heather is considering whether to formalise change control for the next Stage, in particular in respect of the potential procurement of a Document Management System.</i></p>
<p><b>Quality Review Technique</b></p> <p><i>The Project Quality Plan states that 'the most appropriate method' will be used for quality checking. Sometimes a group will get together to go through a document but it's much more informal than the technique described in the PRINCE2 Manual. Generally a document is reviewed electronically making sure that annotated versions are subject to strict version control and retained.</i></p>

<b>6. Use of PRINCE2 Management Products</b>			
<b>PRINCE2 Product</b>	<b>Used Y/N</b>	<b>Example in Appendix</b>	<b>Project Manager's comments</b>
Business Case	Y	.	Every project must have a business case
Checkpoint Report	N		
Communication Plan	N		We have a Programme Communications Plan
End Project Report	Y		One will be done when project finishes, we are very keen on formal project closure here
Exception Plan	Y		Would be used but so far there has been no need
Exception Report	Y		Would be used but so far no need
Follow on actions	Y		Will be produced at end project
Highlight Report	Y	B	
Issue Log	Y		
Lessons Learned	Y		Have opened a file of lessons learned. We also have a Programme level lessons learned e.g. on appointment of consultants
Ops. Acceptance	Y		Handled by our Business Change Teams
Post Project Review	Y		Too soon
Product Breakdown Structure	N		
Product Checklist	Y	A/B	In PID and appendix to the Highlight Report
Project Approach	Y	A	In PID
Project Brief	N		
Project Closure Recommendations	Y		Programme mechanism deals with this for large projects for small projects it is documented in meeting minutes

<b>6. Use of PRINCE2 Management Products (continued)</b>			
<b>PRINCE2 Product</b>	<b>Used Y/N</b>	<b>Example in Appendix</b>	<b>Project Manager's comments</b>
PID	Y	A	
Project Files	Y		The Programme Quality Plan sets out our project filing structure
Project Mandate	Y		In project proposal documentation
Project Management Team	Y	A	In PID
Project Plan	Y	A	In PID
Project Quality Plan	Y		In PID. It is based on programme Quality Plan
Quality Log	Y	C	
Risk Log	Y	C	
Team Plan	N		No teams so far
Work Package	N		

## **7. Appendices – Examples of PRINCE2 Project Documentation:**

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### **A PID Template**

### **B Sample Highlight Report (edited) including:**

**Resource usage summary**

**Project Deliverables list**

**Consultants Progress Report (Checkpoint Report)**

### **C End Stage Report (edited) including:**

**Risk Log**

**Quality Log**