Purpose of this document

This document outlines the project management roles and responsibilities across SMI. It is based on the assumption that every project needs direction, management, control and communication while ensuring that:

- wherever possible the project management functions are part of existing SMI/UQ processes established for broader management functions
- there is flexibility within the methodology to provide varying arrangements for organisational structures and governance determined by factors such as project scope and complexity.

Why define project management responsibilities and accountabilities?

Successful delivery is a responsibility of all levels of governance in an organisation like SMI. From the efficient progress of proposals through legal and contracting processes by the professional support staff, to the management of program performance by the Program Leaders, or the monitoring of time, cost and quality by the Lead Chief Investigators (Project Managers).

SMI requires a project management framework which designates the roles and responsibilities of each layer of governance to ensure that all staff are clear about their accountabilities and responsibilities. The Accountable person is the individual who is ultimately answerable for the activity or decision. This includes “yes” or “no” authority and veto power. Only one Accountable person can be assigned to an action. The Responsible person is the individual(s) who actually complete the task. The Responsible person is responsible for action/implementation. Responsibility can be shared. The degree of responsibility is determined by the individual with the “Accountability”.

Overall to support the framework:

- The SMI Senior Leadership Team is accountable for providing advice and information to the Director to support their accountabilities for the portfolio.
- Centre Directors are accountable for ensuring that they obtain accurate and timely management information from Program Leaders which informs their advice to the Senior Leadership Team.
- Program Leaders are accountable for providing advice and information to Centre Directors regarding all project related risks and opportunities associated with their program and the management of these risks.
- Program Leaders are also accountable for managing program budgets and overall performance of the program.
- Lead Chief Investigators are responsible for managing projects including staff and other resources, budgets and the quality and timing of key deliverables.
- Researchers and SMI professional staff have a responsibility to provide information and support which facilitates the key deliverables and effective project reporting.

These key accountabilities are linked to the SMI and UQ Delegations Frameworks.

The governance model below outlines the standard roles that form part of the project management process, where the emphasis is on the role to be performed rather than the person completing the role. In some instances, one person can represent a number of roles depending on the size and complexity of the project.
Explanation of Role

Portfolio Management Steering Committee (Function of the Senior Leadership Team)

The SMI Director is ultimately accountable for the successful delivery of the SMI Portfolio while the SMI Leadership Team provide support for portfolio governance, alignment with portfolio objectives and strategic insight. The SMI Leadership Team have regular meetings which constitute the mechanism for the Portfolio Management Steering Committee.

The SMI Leadership Team has a responsibility to analyse projects across the portfolio to ensure that they are able to support the SMI Director’s key accountabilities. They have specific responsibility for providing advice concerning their portfolio areas and having the systems in place to feed information that supports system-wide assessment of portfolio issues.

The portfolio management functions that the Senior Leadership Team are collectively responsible for comprises:

- Controlling overall direction, scope and successful delivery of the SMI portfolio.
- Providing high level scrutiny and monitoring across the portfolio – budget, risk, cost, benefit, progress on a minimum quarterly basis.
- Receiving, analysing and making decisions on program status through the centre pairs (Centre Director role to report on program status).
- Making recommendations and approving financial and human resources distribution and movement between programs (within financial and human resources delegations).
- Monitoring contractual and commercial risks and ensuring that there are management systems in place to identify project management risks.
- Ensuring that SMI is managing IP according the SMI/UQ policy.
- Ensure suitable scaling criteria in in place that balances adequate risk management controls with accountabilities that are aligned to the position of the staff member.
- Ensuring support systems are in place to enable effective program and project delivery.
- Accountability for supporting project maturity growth targets and Centre wide adherence to the Project Management Framework.
- Agreeing key messages to communicate Centre wide progress to broader SMI stakeholders.
Ensuring there is a regular opportunity (minimum quarterly) for Program Leaders to jointly meet with the SMI Leadership Team to directly present themes, issues and lessons from project practice and build collaborative practice.

Sub-Portfolio Group (Centre Meeting)

Centre Directors are accountable for making sure they have all the information they need to make decisions about the Centre and to communicate Centre issues to the SMI Portfolio Committee. The Centre Director chairs a regular meeting of the relevant program leaders and has a remit to monitor progress of the programs which sit within the Centre. The Centre Director does not have the authority to move resources between Programs but can refer such decisions to the Portfolio Management Steering Committee. The Program Steering Committee meetings would generate the information to support this Sub-Portfolio focused meeting. As part of the management function the Centre Director also mentors Program Leaders, shares good practice and discusses common issues.

The membership of this group includes:
- Centre Director (Chair)
- Program Leaders
- Relevant portfolio support

Sub-Portfolio Group members have the following responsibilities:
- Providing sub portfolio information to the SMI Portfolio Committee to support decisions regarding risks and resourcing that impact at the sub portfolio level.
- Collaborating with other Centre Directors in resolving the emerging issues that are, or have the potential to, impact delivery of research programs.
- Understanding new trends, initiatives or changes to projects and programs and the associated impact on existing programs of work.
- Support the Centre Director to make program and project related decisions (outside of the delegation of Program Leaders) including ‘Go/ No Go’ decisions about potential projects of significant in accordance with scaling criteria or out of the ordinary size, budget and risk profile.
- Share information and good practice stories.
- Contribute to any recommended changes to the SMI Project Management Lifecycle.

Note that there is no accountability or responsibility for a Centre budget at the sub-portfolio level.

Program Steering Committee

The Program Steering Committee is a guiding and monitoring body to the Program and has a key role to play in the successful commencement and completion of projects within the Program. The functions of the committee are performed in tandem with the SMI Finance Program level meetings. Each Program has a Program Steering Committee which meets monthly. Membership consists of:
- Program Leader (chair)
- Lead Chief Investigators
- Portfolio Support – including Finance Representative

Program Steering Committee members have the following responsibilities:
- The Program Leader is accountable for ensuring that these meetings occur on an agreed basis as discussed with the Centre Director.
- Attending Program Steering Committee meetings monthly (or more frequently based on the risk profile of the Program).
- Providing overall direction and management of the Program.
- Providing advice to the Program Leader to ensure that resourcing conflicts within the Program are effectively managed.
• Considering and guiding decisions regarding cross program relationships and funding arrangements (involving the Centre Director when required).
• Receiving monthly project status reports from Lead Chief Investigators within their Program.
• Tracking and monitoring Program budgets and resource allocations.
• Monitoring Program related issues and risks and providing information to inform the Sub-Portfolio (Centre Meeting) with the Centre Director on project and program progress markers.

Program Leader

The Program Leader is the key decision maker and has accountability for the effective management of the projects within their Program. They must work within given financial delegations and be well informed of the project framework and any related SMI/UQ Policy and procedures. They are a senior researcher who is responsible for the leadership and management of their Program. The Program Leader reports to the respective Centre Director.

The Program Leader is accountable for:
• The successful delivery of the Program including achievement of Program objectives and delivery of the expected value.
• Accountable for holding regular Program steering committee meetings with Lead Chief Investigators and a portfolio support representative.
• Authorising the project expenditure against the project budget (outside of the delegation of the Lead Chief Investigator).
• Approving ‘Go/No Go’ of project proposals and opportunities (within specified delegations) and providing briefings to the Centre Director for SMI Leadership approval where the project triggers significant commercial or contractual risks.
• Arbitrating any conflicts within the Program or project (outside of the scope of the Lead Chief Investigator).
• Determining the split of resources across projects in consultation with Lead Chief Investigators if Program resources are shared.
• Ensuring Lead Chief Investigators comply with the project management framework through uploading specified information that is required for Program reporting.
• Ensuring that Lead Chief Investigators are effectively manage IP according the SMI/UQ policy.
• Advising the Centre Director of commercial and contractual risks to any single project or to the program as a whole and agreeing a plan to manage these risks.
• Resolving project and program risks and issues (outside of the delegation of the assigned Lead Chief Investigator).
• Ongoing management of identified risks.
• Setting the strategic direction and roadmap for the Program.
• Ensuring the Program has the right systems and checks and balances in place for effective project delivery.
• Managing publicity or other dissemination of information about the Program integrated with broader SMI Communications and Marketing Strategies.
• Bringing Lead Chief Investigators together to share lessons within the Program.
• Contribute to the development and refinement of the SMI Project Framework owned by the Director Operations and Portfolio Support Office.
• Negotiating solutions to any problems between the project and external bodies.
• Providing authority and strategic direction for the Program and ensure no project commences without the approved signed contract and Grant Record Letter (GRL) or Pre-GRL being issued.
• Convening and chairing Program Steering Committee meetings.

Project Manager (Lead Chief Investigator)
The Lead Chief Investigator is usually responsible for all aspects of the project lifecycle. They are often the one with the idea that forms into a proposal and then funded as a project. Following approval to proceed, the Lead Chief Investigator is confirmed as the Project Manager. The Lead Chief Investigator must work within the boundaries of the approved contract and is responsible for delivering to scope, on time and within budget. The Lead Chief Investigator controls the day to day management of the project in accordance with the approved project plan.

The Lead Chief Investigator will secure information to support decision making by consulting with SMI operations units (such as Legal, Financial, Portfolio Support. It is the responsibility of the Lead Chief Investigator to ensure that SMI/UQ policies and procedures are satisfied through the lodgement and management of all required documentation. These may include:

- Approvals for Human or Animal Ethics, Biosafety and Export Controls and Sanctions.
- Procurement for subcontractors, acquisitions and purchases.
- Risk assessments for workplace health and safety risk management.
- Notification of conflicts of interest.
- Documentation required by Finance and Legal to confirm budgets and Contracts.
- Marketing and Communication Services for any communication advice and support.
- Information to HR for advice on resource recruitment.

The Lead Chief Investigator is accountable for all aspects of project management required to successfully deliver projects:

- Keeping the project on target to deliver products that will achieve the expected business benefits and achieve the outputs defined in the contracted proposal.
- Participation in the Program Steering Committee meetings.
- Completing required project planning processes and documentation according to the project lifecycle framework.
- Monitoring the project on a day-to-day basis within the agreed framework.
- Managing any external project steering groups (if applicable).
- Initiate contract variations in a timely manner if scope, deliverables, time frames or the budget changes.
- Ensuring that the project produces the required research outputs to the standard of quality and within the specified time and cost constraints.
- Provide information regarding key project contacts for centrally managed database.
- Deliver the project in accordance with UQ policies and procedures.
- Managing the Project Log (risk, issues, lessons and quality registers) and ensuring that project risks are effectively managed including agreeing a management plan with the Program Leader.
- Contributing to the development and refinement of the SMI Project Framework.
- Managing publicity or other dissemination of information about the project outcomes.
- Directing and motivating the project team.
- Communication, liaison and negotiation with the client to ensure that research outputs meet the client’s expectations.
- Ensuring that JKTech is consulted early in project development following consideration of the potential to create commercial value from project IP.
- Tracking and registering IP created during the project.
- Seeking relevant approval for project budgets and working with the Project Sponsor and UQ Contracts and Grants to ensure that a GRL is issued prior to the commencement of a project.
- Identification of any deviations from contractual obligations and prompt attention to negotiating a variation with the client including the submission of the necessary legal instructions.
- Provide data and ensure systems are updated regarding technical delivery, budget and time status for review and scrutiny at project and program level according to designated project management procedures.
- Closing a project efficiently and running a team debrief and lessons learned process.
Team Manager or Team Member (Other Researchers)

The Team Manager reports to the Lead Chief Investigator, and is responsible for the production of research outputs assigned by the Lead Chief Investigator (Team Managers/Members may be formally line managed outside of the program). For smaller projects, there may be no team members and the Lead Chief Investigator undertakes all project management and delivery responsibilities. Team members may be researchers and collaborators. It is important that the role and reporting lines for the Team Manager or team members are clearly understood and documented as part of project controls documentation early in the project lifecycle to avoid confusion.

The Team Manager or Team Member is responsible for:

- Planning, directing and monitoring tasks to be completed by the project team within the delivery phase of the lifecycle.
- Producing research outputs to be developed from the project and contributing to impact demonstration.
- Advising the Lead Chief Investigator of any deviations from the plan, recommending corrective action and reporting the outcomes.
- Identifying and advising the Lead Chief Investigator of any risks associated with the assigned work and ensuring they are entered into the risk register.
- Ensuring project issues are properly evaluated and reported, with recommended action provided to the Lead Chief Investigator.
- Uploading data to report finance and project progress.

Portfolio Support (Program and Project)

The Portfolio Support function (including SMI Legal and SMI Finance) provides support to the Program Steering Committee, Program Leaders and Lead CIs. Portfolio Support is responsible for:

- Collating and storing information on the status of all projects based on information received from Lead Chief Investigators including:
  - tracking and reporting of status and time
  - contract variations
  - financial data in collaboration with SMI Finance
  - risk and issues
  - quality reviews timing and result
- Providing project management advice to a range of projects in line with the SMI Project Management Lifecycle.
- Providing opportunities for coaching and training and induction in the SMI Project Framework.
- Providing portfolio reports to the SMI Leadership Team on a quarterly basis.
- Providing sub-portfolio reports to the Centre Director on a regular basis to inform Centre Meetings.
- Providing program reports to Program Leaders and Program Steering Committees on a monthly basis.
- Update the SMI Project Register
- Providing project reports to Lead Chief Investigators as required.
- In collaboration with other professional support functions providing CIs with financial advice.
- Providing legal advice and services that relate to opportunity development, project development and contracting.