



Project Management Policy

The Hotchkiss School
Last Revised January 22, 2018

PURPOSE

The Hotchkiss School is committed to continuously improving the delivery of facilities and information technology (IT) solutions within budget, on schedule, within scope and in such a way as to best contribute to accomplishing the School's strategic mission. This Policy furthers that goal by establishing the common and consistent application of project management best practices in the execution of facilities and IT projects. A uniform project management framework promotes consistency and better control of projects, thereby reducing risks and increasing the probability of project successes.

POLICY

Facilities and IT projects are managed in accordance with best practices promoted by nationally recognized organizations such as the Project Management Institute (PMI) and the Association of Physical Plant Administrators (APPO), appropriately tailored to the specific circumstances of the project and School. Projects that engage architectural, consulting or software development firms to assist with project management may apply additional best practices provided by these firms.

DEFINITIONS

Project: A temporary endeavor undertaken to create a unique result. A project is usually more involved in scope, cost and duration than a facilities work order or IT service request which are simpler, more routine tasks usually completed with less labor, time and resources.

Project Management: The application of knowledge, skills, tools and techniques to mitigate risk, control budget, ensure desired outcomes and manage scope of tasks related to a project.

Project Manager (PM): The person accountable for accomplishing the stated project objectives. Key project management responsibilities include creating clear and attainable project objectives, building the project requirements, and managing the triple constraint for projects, which is cost, time, and scope. All project related communication/correspondence to and from, and direction of, design team members, consultants, contractors and vendors happens through or is arranged by the Project Manager.

Project Sponsor: The person that is accountable for approving, sourcing or supporting the allocation of resources for a project, defining and communicating its goals and assessing the project's eventual success. A Project Sponsor might also champion or advocate for the project to be adopted with members of senior leadership or other management within the school.

Project Team: The group responsible for planning and executing the project. It consists of a Project Manager and a variable number of Project Team members, who are brought in to deliver their tasks and expertise according to the project schedule.

PROJECT PLANNING FRAMEWORK

Prior to commencing any project, the sponsoring individual within a department (Project Sponsor) is required to follow these best practice project management steps, and obtain the necessary approvals along the way. When done properly and collaboratively, a well-designed and implemented project management process helps ensure the Project Sponsor's goals are achieved effectively, on time, on budget, and has the intended impact on furthering the School's strategic priorities.

The **Project** description must be succinctly outlined, including why it is needed, and how it meets some strategic purpose.

The **Project Sponsor** and **Project Manager** must fully commit to clearly defined responsibilities.

A **Project Proposal** needs to be developed and approved by the Project Team, and in sufficient detail to inform the decision process. If the project includes the decision to make or buy products or services from outside vendors, this will form the basis of a **Request for Proposal** to at least three pre-qualified vendors.

A **Project Plan** should include the various roles and responsibilities of all internal and external participants, a detailed schedule and key milestones. It should also include the necessary collaboration, coordination and/or support from ITS, Facilities, Accounting or Others such as HR, Events Coordinator, Security etc. after early and appropriate consultation.

A **Project Budget** needs to be sufficiently detailed, and include upfront and ongoing costs as well as contingency funds as appropriate. Depending on the project, this budget can be estimated and less detailed initially.

The **Project Funding Sources** need to be identified whether from the Project Sponsor's department, institutional budgets, gifts or verifiable ongoing cost savings.

PROJECT APPROVALS

Approval Types and Levels prior to starting a Project:

- \$1mm or Above: Board of Trustees and Head of School
- Less than \$1mm but \$500k or more: B, G & E and/or Finance as well as HOS
- Less than \$500k but \$100k or more: HOS
- CFO must review and approve all Budgets and Funding Sources, and any using Restricted Funds needs the Fund Steward's approval
- ITS Director needs to review and approve any Project which involves the School's network or any IT related hardware or software
- IT Governance Council (ITGC) needs to review and approve any IT related project requesting centralized funding (one-time or on-going)
- Facilities Director needs to review and approve any Project which involves impact on, changes to or additions to the School's physical infrastructure or utilities
- Campus Design and Standards Committee (CD&SC) needs to review and approve all furniture purchases costing more than \$750, being displayed in public spaces, or involving reupholstering. The CS&DC must also review and approve any projects involving a significant aesthetic impact on the campus.
- The HR Director, CFO and HOS need to review and approve any Project which will or may require added ongoing FTE support

PROJECT MANAGEMENT METHODOLOGY

The four phases of a project's lifecycle are the Proposal phase, the Planning phase, the Executing/Controlling phase, and the Closout phase. The phases are distinct and sequential but can have significant overlap and reiteration during an actual project's lifecycle. The table below presents each project phase along with the key activities, milestones, responsible party(s) and deliverables required.

Project Phase	Key Activities & Milestones	Deliverables
Proposal	<ul style="list-style-type: none">● Develop project business case● Identify key stakeholders● Project team meets to set expectations, define scope, and develop proposal● Initial complexity assessment● Submit Proposal for approval	Project Proposal (Charter)
Planning	<ul style="list-style-type: none">● Refine scope of project● Finalize deliverables● Develop schedule● Develop budget	Project Plan

	<ul style="list-style-type: none"> ● Plan communications strategy ● Develop plan for and secure project resources ● Develop post project support plan ● Submit Project Plan for approval 	
Execution / Controlling	<ul style="list-style-type: none"> ● Execute project tasks ● Monitor project progress ● Hold status meetings ● Document and manage any change requests ● Provide critical status updates 	Status Updates and other items identified in the Project Plan
Closeout	<ul style="list-style-type: none"> ● Formal acceptance of final deliverable(s) ● Document lessons learned ● Close out any contracts (if necessary) 	Project closeout report Certificate of Occupancy

When working on a brick-and-mortar design and construction, projects will typically progress through the following stages:

- **Pre-Planning (Feasibility):** when the scope, schedule, and budget for a proposed project are identified
- **Preliminary Design (Conceptual/Schematic):** schemes based on information gathered from users and a field investigation
- **Design Development:** takes the schemes agreed upon in Preliminary Design and develops it with more detail
- **Construction Documents:** verifies drawings and specifications so that the project can be bid for construction
- **Construction Administration:** involves the implementation of the project as it is described in the construction drawings and specifications
- **Construction Closeout:** the time period from Substantial Completion until all punch list items have been addressed and are completed

In software development or integration, this approach is often known as the waterfall model where the following stages are followed in order:

- **System requirements:** captured in a product requirements document
- **Analysis:** resulting in models, schema, and business rules
- **Design:** resulting in the software architecture
- **Coding:** the development, proving, and integration of software
- **Testing:** the systematic discovery and debugging of defects
- **Operations:** the installation, migration, support, and maintenance of complete systems

PROCEDURES

The type and scope of the project will determine the specific procedures required as a part of this Policy. The following procedure documents should be referenced:

Appendix A - Technology Procurement Process

Appendix B - Facilities Capital Project Request Process

Appendix C - Furniture Procurement Process

APPENDIX A - TECHNOLOGY PROCUREMENT PROCESS

Due to the technical and often complex nature of technology-related purchases, the Hotchkiss School has developed a specific acquisition process for those procurements. Any acquisition or implementation of technology resources or processes, regardless of cost or funding source, must meet existing school standards or be the result of this process. Projects which involve technology resources must be approved and managed through the project management process. This process will ensure that the School community receives the best possible solution to their technology needs in an efficient manner at the best possible value.

Technology is defined as any equipment, software, service or process which has a component that relies on or interfaces with computers, networks or communication systems. *(Examples include desktop/laptop/tablet/mobile computers, audio/video multimedia devices, data processing equipment or processes, printing or scanning equipment, communication systems, building management systems, online or hosted services, commercial or open-source software, applications/apps, etc.)*

All technology-related procurements share a common set of parameters that must be addressed as a part of this process:

- Is there a solution within our current system?
- Is funding available?
- Are there on-going costs to be considered?
- Is School data being shared with third parties?
- Do any outside vendors meet School required security standards?
- Do agreements contain necessary confidentiality clauses?
- Will the proposed technology work in our environment?
- Are outside vendors aware of their responsibility in maintaining and upgrading systems?
- Is the purchaser aware of their responsibility in implementing the proposed solution?
- What IT resources will be needed to implement and maintain the proposed solution?
- Where does a specific purchase fall within the School's priorities?

1. Submission

When a user has identified a particular technology issue, the user should **contact IT** as early in the process as possible by submitting the request to the **Help@Hotchkiss** system using the email (help@hotchkiss.org) or online form (help.hotchkiss.org) submission options.

2. Evaluation

The Director of IT Services will evaluate the request and work with the end-user to investigate possible solutions before the procurement process begins. Once a solution is chosen and funding is identified, each potential purchase is evaluated to determine the priority for moving forward. Projects, defined by higher risk, complexity and/or dollar amounts, and those seeking centralized funding, must be submitted to the Information Technology Governance Council (ITGC) for review. Each request is evaluated on how it fits within School priorities as identified by the Board of Trustees and senior leadership team, the criticality of the system to the efficient functioning of the School, available IT department resources, and internal deadlines.

3. Prioritization

Each purchase is ranked in order to be addressed by ITS and ITGC (if applicable). The responsible parties and actions are identified and assigned. Any communication regarding the prioritization comes through the Director of IT Services.

4. Recommendation

When ready, a recommendation is provided to the submitter of the request with guidance for the next phase of the purchase process.

The cycle continues as old tasks or projects are completed and new ones brought into the process.

Keys to a successful purchase submission

1. Provide a clear, concise written summary of what the purchase is expected to deliver.
2. Explain what viable alternatives may exist.
3. Share all available documentation.
4. Identify any critical deadlines that might be associated with the procurement.
5. Identify any known funding that is available.

Note: If any data is going to be needed/exchanged from/with any IT system as a result of the purchase, the appropriate data owner will need to be contacted and approval granted before the purchase is made.

APPENDIX B - FACILITIES CAPITAL PROJECT REQUEST PROCESS

The Capital Project approval process is initiated when a formal request is submitted to the Facilities Department on a Capital Project Request Form (attached). Alternatively, a project may be communicated to the Director of Facilities by a member of senior administration, but every project requires an Executive Sponsor.

A Capital Project should not be confused with a Workorder. A Capital Project's scope is more substantial than can be accomplished in a Workorder (a more minor repair/task usually done within a day's labor or less which allows the capital asset to remain functioning) and is intended to extend the useful life of a capital asset or expand it. Requests for non-emergency routine repair or maintenance items can be made through the Facilities Workorder system and work may entail electrical, heating, cooling, plumbing, locks, fire protection systems, cleaning, minor paint touch-up or general building and grounds repairs. The Office of Facilities will prioritize and incorporate these types of requests into its in-house work schedule, and ultimately designate what is a Capital Project vs. a Workorder.

Capital Project Requests may include renovations, modifications, major repairs or replacements and new installations. Examples of this work may include but are not limited to: floor or carpet replacement, painting projects, installation of new (non-IT) equipment or replacement of specialized (non-IT) equipment, change of use of a space and renovation of areas. Projects may also include major work such as roof replacements, major building renovations and additions, acquisition of major equipment, etc.

Requests for capital improvements must include a detailed Project Description (including location, general overview, extent of space alterations, mechanical, electrical and plumbing system changes, as well as other pertinent information) and Project Justification that ties to the School's strategic priorities. The Project Description should include special circumstances or issues that will directly impact the completion of the project including requested timeline for completion (i.e.: Swing space requirements, moving of personnel, overtime, shutdowns, etc.).

Requests should also include an estimated project cost if the requester has this information. If not, please provide a "best guess" and Facilities will assist in this estimating process.

Review Process: All requests will be reviewed and prioritized by the Director of Facilities, Director of ITS (if applicable) and the CFO in concurrence with any appropriate committees. A complete list of projects for that fiscal year will then need to be reviewed and approved by the BG&E Committee of the Board. Approval and prioritization of capital projects will be based upon certain criteria – environmental, health and safety, compliance mandates, asset protection, critical maintenance, cost savings or avoidance, strategic goals, program needs, etc.

Timing: Capital Project Requests need to be submitted by November 15th to be considered for implementation during the following fiscal year which begins July 1st. This will allow time for the approval process, programming and design (if required), procurement, contracting, etc.

Assistance: If you are in the concept stage and would prefer to meet with Facilities in advance to discuss feasibility prior to submitting a Capital Project Request, feel free to contact John Bryant, Director of Facilities for assistance.

The Hotchkiss School
Facilities
CAPITAL PROJECT APPROVAL FORM

Date of Submittal: _____

Project Information:

Project of (*faculty or staff name if appropriate*): _____

Department Submitting Proposal: _____

Requestor/Sponsor (*email*): _____ Requestor/Sponsor phone #: _____

Proposed Location:

Building: _____

Rooms: _____

Does the project "fit" into the existing department space? Yes _____ No _____

Project Type:

Feasibility/Planning _____ Renovation _____ New construction _____

Code or Infrastructure Deficiency _____

Interior Upgrade (excludes furniture) _____ Exterior Upgrade _____

Equipment Systems (excludes Information Technology) _____

Project Description (*Please describe the scope, location, square footage, potential users and whether swing space will be required. Attach any simple drawings or extra sheets if appropriate*): _____

Project Justification (*Please describe in detail how this project or initiative will benefit the Hotchkiss community and which Hotchkiss Goals does this project support?*): _____

Priority Rank:

Desirable: _____ (This Project will offer substantial improvements, but is not time-sensitive and/or can be deferred without causing significant problems)

Important: _____ (This project will greatly enhance the capabilities of the department to deliver quality services)

Critical: _____ (This project is vital to the mission of the School; cannot continue providing critical services without it, address a safety, health or compliance issue)

Project Estimate

What is the proposed project cost? _____

Has an estimate been performed for this proposed project? Yes _____ No _____

If Yes, by whom? _____

Are there annual costs associated with supporting this project? Yes _____ No _____

If Yes, please list and explain: _____

Has a funding source been secured for this project? Yes _____ No _____

If Yes, please specify _____

Project Schedule

Proposed Project Schedule/Requested Completion Date: _____

Please note: All project schedules will be established once a project has been through the approval process and a funding source has been determined.

Authorizations to Proceed:

Department Head Approval: _____ Date: _____

The estimated cost is based on information provided about the project scope and the facts known at this time. Cost adjustments will be made as the design and/or bidding process is completed. Changes in the scope may require a revised estimate and an additional approval.

Approval Signatures:

Director of Facilities: _____ Date: _____

CFO: _____ Date: _____

Department Head/Chair/Dean Approval: _____ Date: _____

APPENDIX C - FURNITURE PROCUREMENT PROCESS

In an effort to make the process for the replacement of furniture and furnishings on campus, in either a department or any public (including all outdoor) spaces more efficient, the School has adopted a process which is similar to the ITGC process for IT hardware and software. This process will also help with budgeting, and where appropriate, the standardization of furniture/furnishings in terms of quality and style with the help of the Campus Design and Standards Committee (CD&SC).

Most furniture and furnishings are centrally funded by the Facilities budget but this process will be required even if Departmental budgets are being used, or the source of funding is a restricted gift.

Submission

A form is available for the Requester (who should be a Department head or someone with a department head's support, or a Fund Steward) to indicate in detail what the need is: Location; Quantity; Specific Vendor (if appropriate); Color, Size, etc. and a picture of the item(s) from a catalog or website, if available. The form also requires a short statement of the rationale for the need (i.e. the existing item is broken; it is 20 years old and obsolete; it no longer matches the rest of the space furnishings etc.)

Budgeting

The Requester will have to directly (or by working with Central Purchasing) provide a budget based on research conducted on appropriate vendors. The budget should also include any ancillary costs such as delivery, installation, warranties etc.

Schedule/Timing

Requests need to be made by February 15 and requesters will be informed of the decision to fund or not from Facilities by April 1, with purchases made early enough to allow delivery of furniture over the summer in time for the start of the academic year. Requests to be funded by department budgets or a restricted gift, can be made at any time as long as funds are available from the source, and the requester leaves sufficient time for it to be reviewed.

Process & Approvals

Academic departments should funnel their requests to Michael Eckert

Public spaces (outside of the dorms) to Lisa Brown

Dorm common spaces to Heather Perrenoud

Facilities departments to John Bryant

All other departments to John Tuke

The purpose of this initial vetting by these individuals is to confirm that the Form is complete, that the need is legitimate, and provide additional sponsorship before becoming part of the aggregated list of

requests. This selection group comprised of the above referenced five (the Furnishings Committee) will meet in February to discuss the total needs relative to the budgeted resources and prioritize them based on highest need and impact. It will make sure the CD&SC provides input on all requests, especially public spaces. It will also meet periodically to review requests which are funded outside of Facilities.

All requests which involve furniture/furnishings in any public space will need to be reviewed and approved by the CD&SC (Chaired by Josh Hahn) for the purpose of ensuring consistency in quality, style etc.

This process does **not** relate to any minor items costing less than \$750, unless it will be displayed in a public space in which case CD&SC needs to approve. It would apply to the restoration of an existing item such as reupholstering.