

# The 7 Processes

(The step-wise progression through project lifecycle)

## Starting Up a Project (SU)

There must be a basic business requirement that triggers a project. The question 'Do we have a worthwhile and viable project?' needs to be answered. This process seeks to clarify this question and sets up an organization structure in readiness to manage the project throughout its life. The main outputs are the Project Brief and a plan for the first stage (Initiation stage).

## Directing a Project (DP)

This process is aimed at the 'directing' level of management, that is the Project Board. It enables them to be accountable for the project's success by making key decisions and exercising overall control while delegating day-to-day management of the project to the Project Manager.

## Initiating a Project (IP)

A project needs planning and setting up properly. IP plans the project at high level and sets up all the strategies and controls. The main document for the project is created - this is called the Project Initiation Documentation, or 'PID'. The PID forms the basis of a 'contract' between the Project Board and the Project Manager and acts as a base document against which they can assess progress, issues and ongoing viability questions.

## Controlling a Stage (CS)

Once a decision has been made to proceed with work, and the appropriate resources have been committed, the project management team must be focussed on delivering within the tolerances laid down. This process describes the work of the Project Manager in handling the day-to-day management of the project. Stage progress is monitored and any issues and risks captured and acted upon. It has close ties with the MP process which covers the development of the project's products.

## Managing Product Delivery (MP)

This process allows a 'controlled break' between the Project Manager, Team Manager and the creation/provision of the products. The creation and quality checking and subsequent progress reporting of the specialist products related to each Work Package takes place in this process.

## Managing a Stage Boundary (SB)

This process enables the Project Board to be provided with sufficient information by the Project Manager so that it can review the success of the current stage, approve the next Stage Plan (or Exception Plan), review the updated Project Plan and Business Case and confirm continued business justification and acceptability of the risks.

## Closing a Project (CP)

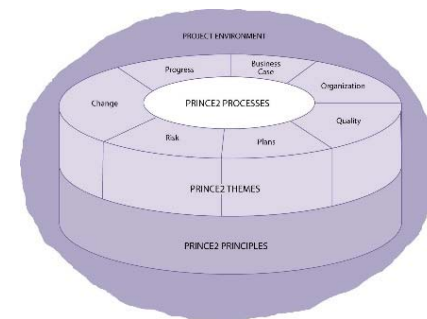
One of the defining features of a project is that it is finite – that is it has a start and an end. Just as SU and IP ensure a controlled start to the project, this process ensures a controlled end. The final product is accepted, handed over to the customer and the project's performance is evaluated.

Processes and Activities	Key Themes Used*	Techniques Used
<b>Starting Up a Project (SU)</b> Appoint the Executive & the Project Manager Capture previous lessons Design and appoint the Project Mgt team Prepare the outline Business Case Select the project approach and assemble the Project Brief Plan the Initiation stage	•Business Case •Organization •Quality •Risk •Plans	•Product-based planning •MoSCoW
<b>Directing a Project (DP)</b> Authorize initiation Authorize the project Authorize a Stage or Exception Plan Give ad hoc direction Authorize project closure	•Business Case •Progress •Risk •Change	•Risk Mgt Procedure •Issue & Change Control Procedure
<b>Initiating a Project (IP)</b> Agree the Tailoring Requirements Prepare the Risk Mgt Approach Prepare the Change Control Approach Prepare the Quality Mgt Approach Prepare the Communication Mgt Approach Set up the project controls Create the Project Plan Prepare the Benefits Management Approach Assemble the Project Initiation Documentation	•Business Case •Organization •Risk •Plans •Quality •Progress •Change	•Product-based planning •MoSCoW •Quality review •Risk Mgt Procedure •Issue & Change Control Procedure
<b>Controlling a Stage (CS)</b> Authorize a Work Package Review Work Package status Receive completed Work Packages Review the management stage status Report highlights Capture and assess issues and risks Escalate issues and risks Take corrective action	•Business Case •Progress •Risk •Change •Quality	•Quality review •Risk Mgt Procedure •Issue & Change Control Procedure
<b>Managing Product Delivery (MP)</b> Accept a Work Package Execute a Work Package Deliver a Work Package	•Plans •Risk •Change •Progress •Quality	•Product-based planning •MoSCoW •Quality review •Risk Mgt Procedure •Issue & Change Control Procedure
<b>Managing a Stage Boundary (SB)</b> Plan the next management stage Update the Project Plan Update the Business Case Report management stage end Produce an Exception Plan	•Business Case •Organization •Risk •Plans •Progress •Quality	•Issue & Change Control Procedure
<b>Closing a Project (CP)</b> Prepare planned closure Prepare premature closure Hand over products Evaluate the project Recommend project closure	•Business Case •Risk •Change •Progress •Quality	N/A

\*All the Themes apply to each process to one degree or another. We are simply listing the Themes which have the 'strongest' link.



## Quick Reference Guide



## The 7 Principles

(the guiding obligations)

PRINCE2® is principles-based.

The principles are the basis of what defines a PRINCE2® project.

Principles facilitate good use of PRINCE2® by ensuring the method is not applied in an over-prescriptive way or in name only, but applied in a way that is sufficient to contribute to project success.

If a project does not adhere to these 7 principles, it is **NOT** being managed using PRINCE2®:

**\*Continued business justification\***

**\*Learn from experience\***

**\*Defined roles and responsibilities\***

**\*Manage by stages\***

**\*Manage by exception\***

**\*Focus on products\***

**\*Tailor to suit the project\***



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# The 7 Themes

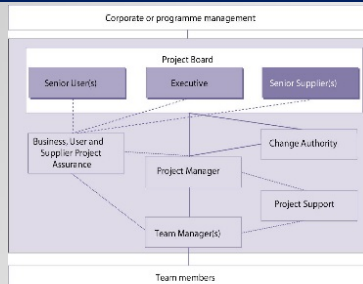
## (the project management aspects to apply)

PRINCE2® contains 7 themes which are the aspects of project management which should be continuously applied in order to ensure a project is to be managed effectively and professionally. The 7 themes are addressed in this section, as well as a little guidance on tailoring.

### Organization Theme

PRINCE2® offers an organization structure with defined roles and responsibilities which engages with the primary stakeholders of business, user and supplier. This ensures there is clear accountability for each level of management (Directing, Managing and Delivering) within the project.

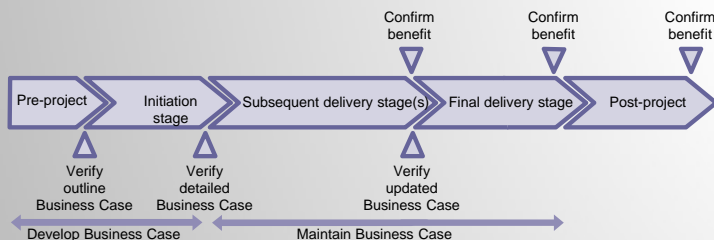
A Communication Management Approach should be produced which defines the bi-directional flow of information required to be sent/received by the project and include any 'external' stakeholders. Without an effective project management team structure and a strategy for effective communication, a project is likely to fail. The project management team and communication Approach should be reviewed and updated, typically at each stage end, to ensure it remains effective throughout the project.



### Business Case Theme

The business justification is the reason for the project. Without it no project should start. If the business justification disappears once the project is underway, the project should be stopped or changed. The business justification is documented in the Business Case and supports the ongoing decision-making regarding (continued) justification. The Business Case contains: **Reasons, Business Options, Benefits/Dis-benefits, Key Risks, Costs, Timescales and Investment Appraisal.**

The Business Case should be at the centre of any impact assessment of issues and risks and if the impact is too great, the Executive may choose to stop the project, or not authorize implementation of a request for change. The Business Case drives the decision-making processes throughout the project. The benefits will be defined by the Senior User(s), who will be held to account by Corporate or Programme Management for providing evidence that those benefits have been realized. The Business Case should show the right balance of costs, benefits/dis-benefits and risks. The following diagram shows where, in a PRINCE2® project, the Business Case is developed, maintained & verified and when confirmation of the realization of benefits is likely to happen.



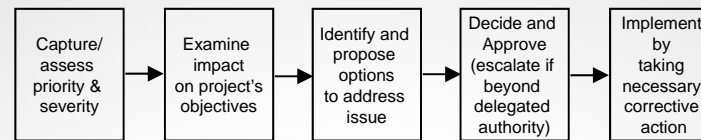
The expected benefits are documented in the Business Case, but a Benefits Mgt Approach is created and used to show how, when and by whom a measurement of the project's benefits can be made. Many benefits are not realized until after the project product has been in operational use for some time, however some benefits may be realized during the project. Benefit reviews both during and after the project are covered by the Benefits Mgt Approach. The Benefits Mgt Approach will also contain details of how a measurement of the products performance will be made in operational life to see if there were any unexpected side-effects, either positive or negative. For example, the product may have generated an unexpected outcome and additional benefits, or may have underperformed against business expectations.

### Progress Theme

Progress is a measure of the achievement of the plan objectives against the performance targets of time, cost, quality, scope, benefits and risk. This information is then used to make decisions on approval of the next management stage or work package, whether to escalate deviations or to consider premature closure of the project. Progress control is maintained by delegating authority, dividing the project into management stages and authorizing one stage at a time, time and event driven reporting and exception management.

### Change Theme

Every project should have a procedure to capture and manage issues and changes. The following diagram shows a typical procedure covering the capturing, examining, deciding and implementing of issues. PRINCE2® has a procedure which follows this path. Without such a procedure, a project can become unresponsive to its stakeholders and quickly drift out of control, where unconsidered changes for example are implemented, causing the project's scope to creep and subsequently increase the project timescale and cost. Change control should be backed up by a configuration management procedure. An effective change control procedure will help to assess the impact of issues on the project's objectives and which issues should/should not be approved.

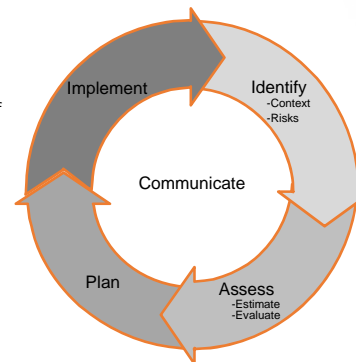


Configuration management will ensure all the products being created/updated during the project are uniquely identified, version controlled, tracked and protected, and any changes made to the products are carried out in a controlled manner, ensuring the change is tracked and old versions are never discarded. Why a product had changed can be answered by an effective configuration management system.

### Risk Theme

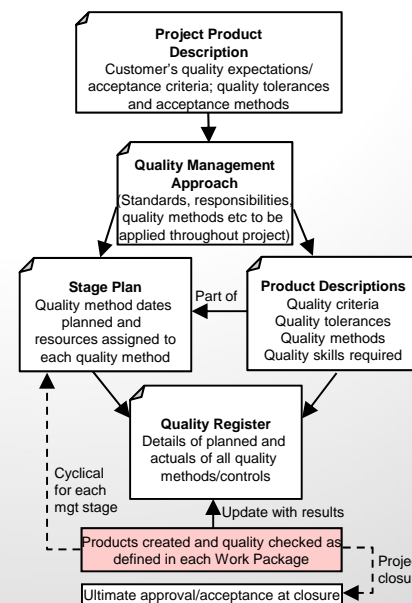
Project management must control and contain any uncertain events (risks) if a project is to achieve its objectives. This included both threats and opportunities. Details about risks have to be regularly revisited and reconsidered, as a minimum at each stage end. The management of risk is a continuous procedure shown by the adjacent diagram.

A Risk Management Approach should be produced based on the project's context. Each identified risk should be assessed for probability/impact and its proximity, then appropriate risk mitigation responses should be planned and implemented with suitable risk owners assigned to manage each risk. The communication of risks should be carried out in parallel with all other steps.



### Quality Theme

PRINCE2® ensures the products will meet business expectations and enable the desired benefits to be achieved. A set of activities are followed to ensure the final product and its quality requirements/acceptance criteria, the scope of what the project will deliver and the quality criteria for each product to be delivered within scope are clearly understood. A Quality Management Approach is developed to show how the project will ensure the agreed quality will be delivered. Sufficient quality controls are planned and executed to make sure each product does indeed meet its specific quality requirements, as detailed in its Product Description. A quality control technique covered by PRINCE2® is the 'quality review', which is an effective way of checking finished products, typically documents, where there is some subjectiveness and professional judgement is required. Once all products have been developed and all criteria have been confirmed as being met, the customer will give final acceptance at project closure.

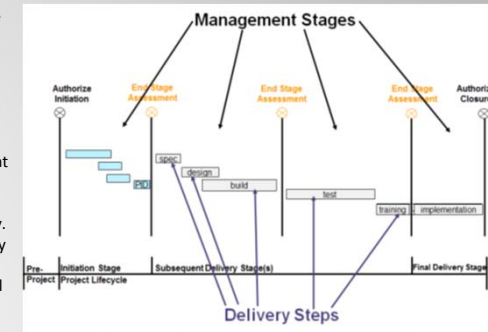


### Plans Theme

PRINCE2® suggests 3 levels of plan: Project, Stage and Team levels. Progress controls allow the project management team to monitor progress, compare achievement with the baselined (approved) plan, review plans and options against future situations, detect problems, initiate corrective action, authorise further work and capture lessons based on actual performance. Tolerance is a key control for the different management levels over what amount of deviation from the agreed plan is allowed before the plan is considered to be out of control. Most PRINCE2® controls are 'event-driven', including the decision making ones. Highlight Reports and Checkpoint Reports are 'time-driven' controls, so called because they are required at timely intervals, e.g. every 2 weeks or every month. Stages are used for control purposes.

When designing a plan, the number of management stages should be determined depending on the scale, duration and risk of the project.

The length of management stages need not be constant and should be determined by the level of risk, uncertainty and complexity. Factors influencing this may be, the planning horizon, the delivery steps, the level of risk and alignment with programme activities.



Management Stages and Delivery Steps can be grouped by the techniques used or the products created. Delivery steps often overlap, but management stages do not. Delivery steps are typified by the use of a particular specialist skill set, whereas Management Stages equate to commitment of resources and authority to spend. When a delivery step spans a management stage boundary, the delivery step product's progress should be clear in the product descriptions concerned.

### Products (Management & Specialist)

A product is an input or output of the project, whether tangible or intangible. In PRINCE2® there are two types of product – 'management' and 'specialist'. **Management products** are the products that are produced/updated to assist with the 'managing' of the project. The following is a list of the main PRINCE2® management products which have outline descriptions in 'Appendix A' of the PRINCE2® manual:

A.1 Benefits Management Approach	A.14 Lessons Log
A.2 Business Case	A.15 Lessons Report
A.3 Change Control Approach	A.16 Plan (Proj/Stage/Team/Exc'n)
A.4 Checkpoint Report	A.17 Product Description
A.5 Communication Mgmt Approach	A.18 Product Status Account
A.6 Configuration Item Records	A.19 Project Brief
A.7 Daily Log	A.20 Project Initiation Documentation
A.8 End Project Report	A.21 Project Product Description
A.9 End Stage Report	A.22 Quality Management Approach
A.10 Exception Report	A.23 Quality Register
A.11 Highlight Report	A.24 Risk Mgmt Approach
A.12 Issue Register	A.25 Risk Register
A.13 Issue Report	A.26 Work Package

**Specialist products** – these are *unique* to your project. They equate to the specialist work involved to create the physical end product (i.e. if a car was the end product of your project, the specialist products would be the designs, bonnet, boot, doors, wheels, engine etc which would have Product Descriptions produced for them and of course the 'final' product itself – *the car*, which would be described in the Project Product Description). They are the products (outputs) from the project which the business will use to generate the outcomes and consequential benefits. The benefits of the project should be mapped to the specialist products. If a product can not be mapped to a benefit, then the question should be asked whether the product is required and is perhaps outside of the scope. The scope of a plan is shown by the products on the related product breakdown structure, backed up by the Product Descriptions. A principle of PRINCE2® is that a project should 'focus on products' and the quality of those products. The creation of Product Descriptions and inclusion of quality control activities within the relevant plan helps to achieve this. The end result is the delivery of products that are fit for purpose and capable of delivering the expected business benefits.