

COOPERATIVE RESEARCH CENTRE



for

SPATIAL INFORMATION

Project Managers & Project Leaders

Project Management Manual

June 2007

CONTENTS

PURPOSE.....	3
CRC STRUCTURE.....	4
CRC CEO RESPONSIBILITIES.....	5
BUSINESS MANAGER RESPONSIBILITIES	5
RESEARCH DIRECTOR RESPONSIBILITIES	5
COMMUNICATIONS DIRECTOR RESPONSIBILITIES.....	5
PROJECT LEADER RESPONSIBILITIES.....	6
PROJECT LEADER ROLE	6
PROJECT MANAGEMENT GROUP ROLE & RESPONSIBILITIES	7
PROJECT RESEARCHER AND PARTICIPANTS ROLES & RESPONSIBILITIES	8
SUBMISSION OF PROJECT PROPOSALS	8
EVALUATION CRITERIA FOR RESEARCH PROJECTS	8
EVALUATION CRITERIA FOR DEMONSTRATOR PROJECTS.....	9
PROJECT APPROVAL	9
PROJECT COMMENCEMENT & PROJECT AGREEMENTS.....	9
INVOICING	9
PROJECT PROGRESS REPORTING	12
PROJECT VARIATION.....	12
PROJECT COMPLETION.....	13
ATTACHMENT A1: PROJECT PROPOSAL FORM	14
ATTACHMENT B1: PROGRESS REPORT	18
ATTACHMENT B2: PROJECT AGREEMENT TERMS.....	25
ATTACHMENT B3: SAMPLE PROJECT REVIEW FORM.....	32
ATTACHMENT B4: SAMPLE PROJECT VARIATION FORM.....	35
ATTACHMENT C1: SAMPLE PROJECT CLOSE OUT FORM	36
ATTACHMENT C2: VALUE CAPTURE EVALUATION - R&D PHASE	39
ATTACHMENT C3: VALUE CAPTURE EVALUATION - IMPLEMENTATION PHASE	40

Purpose

This Manual details the CRC project proposal and project management processes for Research Projects and Demonstrator Projects. Intellectual Property Issues are addressed in the CRC Intellectual Property Policy and Guidelines.

The CRC brings together \$94 million in cash and in-kind from its partners to identify the question of our future spatial information needs: who needs it, in what form, and when. It will then seek innovative solutions to meet these needs. The CRC is committed to the direction of the CRC Programme and its objective: *“to enhance Australia’s industrial, commercial and economic growth through the development of sustained, user-driven, cooperative public-private research centres that achieve high levels of outcomes in adoption and commercialisation”*.

The purpose of the CRC as outlined in the Strategic Plan is

‘To create new wealth for the participants of the CRCSI, and for the nation, through research innovation and commercialisation; through educational activities; and through powerful collaboration to build institutional capacity.’

The success of our CRC depends on its ability to meet and exceed the key performance indicators set for it by its Governing Board. The research projects are the single most important activity we will undertake. The following performance measures were set for the 2005-7 years:

- 1. Maintenance of a product pipeline:** Project outcomes must be implemented within one or more participants and/or commercialized for national benefit. One product launched, one on the way from the demonstrator or research programs, and two identified and ready to be funded. In each case these must be end-user lead. All projects must have a commercialisation plan or a utilisation plan.
- 2. Rationalise the current portfolio of large projects:** (a large project is defined as one that is greater than \$1 million of cash and in-kind). This is intended to create larger research projects with greater impact and provide a focus on development and commercialisation.
- 3. Grow 43pl:** 20% increase in the number of companies, 20% increase in their overall cash contributions, 20% increase in their overall in-kind contributions.
- 4. Engage one large new corporate partner.**
- 5. Establish active engagement with GEOIDE and preferably one other similar organisation overseas:** Engagement with GEOIDE must be designed to support the other milestones.
- 6. Generate at least \$1.35 million of new cash.** This drives the CRCSI towards its seven year target (July 2003 – June 2010) of \$5.3 million.
- 7. World class research and education program:** It will have 22 PhD and Masters students completed or underway. The citation target will be 50 (ie the number of times our papers in aggregate are cited in the literature by other researchers. Successfully introduce the Masters program, and ensure alignment of the short course program with industry needs as reflected in the national user survey.
- 8. Seek one or more significant awards**

9. **High shareholder and partner satisfaction:** The CRCSI participants have obtained significant tangible and intangible benefits as a result of their participation. This will be measured annually through a comprehensive survey of stakeholders.

CRC Structure

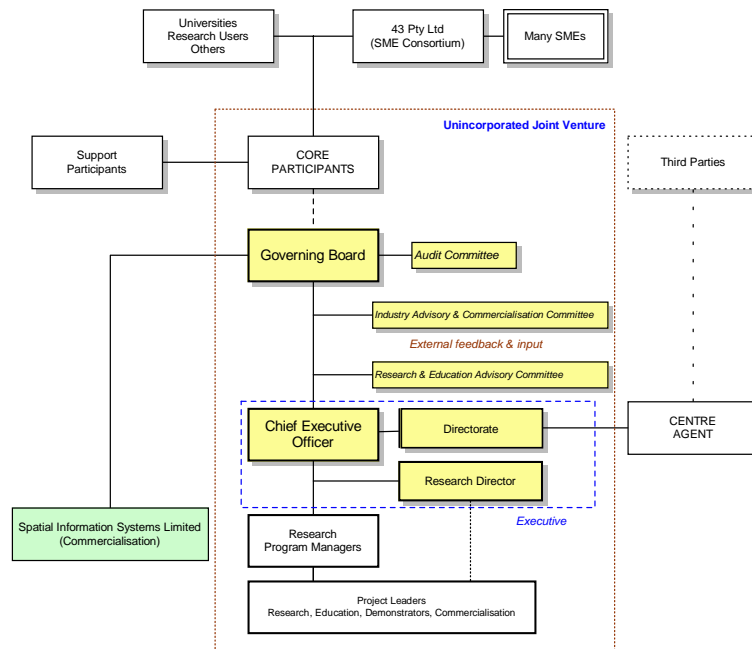
The Cooperative Research Centre for Spatial Information is established as an unincorporated joint venture under the terms and conditions set out in the three foundation agreements:-

1. **Commonwealth Agreement:** Establishes the relationship between the Centre and the Commonwealth. It describes the Centre activities, the Governing Board, intellectual property arrangements, participant contributions, and reporting requirements.
2. **Centre Agreement:** Sets out the CRC organisation and management structure, including management of research projects, resource management and the CRC Unincorporated Joint Venture arrangements.
3. **Centre Intellectual Property Trust Deed:** The Centre IP Trust Deed establishes the terms and conditions under which Spatial Information Systems Limited acts as the trustee of the Centre Intellectual Property.

These agreements outline the basis for the project management process included herein. The CRC Programme has placed significant reporting requirements on each CRC, including

- An annual audit of all cash expenditure from the CRC;
- An annual audit of cash and inkind contributions to the CRC;
- An annual Report detailing the CRC Activities and a report against objectives; and
- An annual management data questionnaire that collates data related to research and commercialisation outputs.

The CRC organisational structure is shown below.



It is important that as a team all members of the CRC are aware of the principle accountabilities relating to each CRC function. For this purpose the responsibilities of the CEO, Business manager, Research Director, Program managers and Project Leaders, and Project management groups are outlined below.

CRC CEO responsibilities

Overall management responsibility for

- Strategic planning;
- Operational management;
- Finance and budget control;
- Business development;
- Commercialisation;
- Linking Research and Education programs;
- Participant and client relationships;
- Representing CRC in all forums;
- Growing the business and ensuring the revenue targets are met;
- Achieving the CRC Performance Indicators;

Business Manager Responsibilities

- Providing the Board with Research project Progress Reports;
- Ensuring adherence to governing agreements;
- Finance and budget control;
- Commercialisation; and
- Company Secretary duties.

Research Director Responsibilities

The Research Director is part of the CRC management and is responsible for providing overall Research Leadership in the CRC. The main responsibilities include:-

- Research coordination and strategic research planning;
- Coordinating all research activities CRC wide;
- Monitoring research objectives and progress;
- Exploring strategic research opportunities and chasing high level funding;
- Research spokesman for the CRC;
- Liaising with other CRCs;
- Coordination of inter-program and inter-organisational research;
- Ensuring Programs and Program Managers are communicating and sharing research and outcomes; and
- Ensuring a world class research program.

Communications Director Responsibilities

- Participant, shareholder and client relationships
- Annual reporting
- Coordinating all communications

Science Program Manager Role & Responsibilities

There are five CRC Research Programs and each has a Science Program Manager who reports to the CEO of the CRC. The Science Program Manager is responsible for the management and

overall performance of their Program and is the Champion for each project within the Program as well as the Program.. There are three other Programs, the Demonstrator Program, Commercialisation Program and the Education Program who also have delegated project leaders. Specifically the Program Manager is responsible for:

- Providing high level academic, scientific, intellectual leadership;
- Program coordination and control with active input to Projects;
- Ensuring communication between Projects and sharing of research outcomes;
- Quality control of projects;
- Providing advice on Project development;
- Representing the Program, internally and externally as required;
- Seeking new research opportunities;
- Liaison with stakeholders;
- Providing input into CRC strategic research planning; and
- Assisting with business development

Project Leader Responsibilities

Each Project has a Project Leader who has been appointed by the CEO in consultation with relevant Program Managers. The Project Leader reports to the CEO through the Program Manager and is responsible for:

- Conduct of a world class research project;
- Leadership of the Project and day to day management;
- Liaison with stakeholders;
- Supervision of research staff and graduate students;
- Ensuring that the Project is carried out in accordance with the Project Plan and within the Budget and achieves its milestones and objectives;
- Administration of all Project personnel including any associated research students;
- Submission of reports quarterly (including technical progress and financial reports) and as required to the Project Management Group;
- Recording the Project Progress, including the achievement of the aims, milestones and timetable of the Project;
- Maintenance of financial records and research and technical records as directed by the Program Manager and CEO; and
- Maintenance of a schedule of Intellectual Property.

Project Leader Role

The Project Leader is critical to ensuring the success of the project outcomes. The project leader is expected to be the project champion, in leading the project team and communicating with all participants frequently, clearly and consistently. It is expected for projects with a large number of participants that regular updates via email or a regular website will be used as well as regular project status meetings with the project team.

Project Management Group Role & Responsibilities

Every Project must have a Project Management Group (PMG). The PMG's primary focus is the evaluation and monitoring of research projects through the quarterly progress reports.

The PMGs are intended to operate at the researcher and project team level and thus provide "bottom up" strategic inputs to the CEO. Their overall responsibilities include:

- Assisting with the development of pathways to commercialisation, market opportunities and business development programs;
- Assisting the CEO identify new sources of funding;
- Advising on new project participants where these demonstrably add value to the project, and the CRC's overall objectives;
- Receiving and discussing project quarterly reports, including research progress, financial and milestones reports, and progress of the Project in general;
- Conducting quarterly reviews of the Project in accordance with the Project's performance indicators and variations to the Project and the Project Plan as required (consistent with the Project Review Form);
- Making and implementing management decisions relating to the conduct of the Project;
- Defining where necessary and agreeing upon proposed modifications of or extensions to the Project, using the Project Variation Form; and
- Looking forward, with ideas and inputs to emerging areas of research and development and suggestions for links within the CRC which have the potential to create new or enhanced outcomes.

PMG Composition

The composition for each PMG will typically be comprised of:

- the CEO or his delegate;
- the Science Program Manager;
- Project Leader;
- a representative of each Project Agreement signatory; and
- other relevant stakeholders and users as the CEO may determine.

A PMG must be in place for the review of each first Quarterly report.

PMG Meetings

A quorum for meetings of the PMG will be the CEO or his delegate and the Science Program Manager and the Project Leader.

All material decisions of the PMG will be minuted and the minutes are to be confirmed in subsequent meetings of the PMG. The process for capturing these decisions is the Project Review Form (Attachment B3), which will be signed off by the Project Leader and CEO.

The CEO can convene a meeting of the PMG at any time for the purposes of obtaining a report and to confirm the status of the Project. PMG's will typically meet following the submission of project progress reports to the Science Program Manager.

Project Researcher and Participants Roles & Responsibilities

Researchers and project participants work with the Project Leader to carry out the Project Plan. Their specific responsibilities are outlined in each relevant project agreement.

Submission of Project Proposals

Project Proposals may be received by the CRC at any time. Proposals following the format outlined in Attachment A1 should be submitted to the CRC Research Director. The Research Director can provide advice and suggestions on the development of a research project proposal. Any CRC research project proposal is reviewed initially by the Research and Education Committee / Industry Advisory and Commercialisation Committee, who then makes a recommendation to the Board. The primary roles of these Committees are to provide expert advice and recommendations on a continuing basis to the CEO and the Board on:

1. the scope and effectiveness of existing research and education and demonstrator programs and projects, through regular review of CRC-SI initiatives in the Research to commercialisation continuum, be they proposals or functioning projects.
2. the thorough reviewing of the proposed research programs against the National Research Priorities;
3. identification of world-wide developments and directions, emerging technologies and trends in the marketplace that have potential for consideration as research and education projects; and
4. issues and ensure the right balance of the portfolio of research.

The evaluation of each project against the assessment criteria is undertaken in conjunction with several connected principles:

- The need to retain flexibility (ie cash in bank) over future years to strike out in new directions, take in new participants or respond to new market drivers.
- The need to have a balanced project investment portfolio;
 - Short term outcomes vs medium and longer term achievements
 - Research vs education vs demonstrator vs commercialisation

A flowchart of the proposal process is shown on the following page.

Evaluation Criteria for Research Projects

Each research project proposal will undergo rigorous review. The criteria for the review and ultimate selection for approval are:

1. Excellence of research and alignment with CRCSI Strategic Plan, the Virtual Australia paper and with existing CRCSI projects
2. Impact of industry/end-user outcomes, in particular the generation of new intellectual property, and potential for market adoption
3. Extent of participation by CRC participants with at least six stakeholders including at least one from each of the industry, government and education sectors making major contributions to each project.
4. Strong alignment with published national research priorities.

Each project will require a detailed business case that sets out its commercial potential or its community good outcomes, overall benefits to participants in particular and the Australian community generally and a description of the pathway to commercial adoption. Shareholders

and participants are encouraged to make submissions at any time. Criteria three may be relaxed for small projects.

Evaluation Criteria for Demonstrator Projects

The criteria for the selection of demonstrator projects are:

1. Projects will be judged on their ability to produce outcomes within 12-18 months that either can be used by one or more clients, or can prove up an area of important new research. If the project is intended for commercialisation it must have a well developed business plan with a clear pathway to market that sets out the case for the investment of CRC funds consistent with the Strategic Plan and the Virtual Australia paper.
2. Demonstrator projects will be strongly user driven and have at least two stakeholders from the across the industry, government and education sectors.
3. Demonstrator projects will have a highly competent project leader drawn from one of the non-university participants.

Shareholders and participants are encouraged to make submissions at any time. Criteria three may be relaxed for small projects.

Project Approval

The REACC/IACC joint committee will normally provide comments to the proposal proponent through the Research Director. Should the proposal be deemed suitable, it will then be forwarded to the Governing Board for assessment and consideration.

Project Commencement & Project Agreements

Following Board approval, the project leader will work with project participants and the CRC Business Manager to develop the Project Agreement. Following signoff the project will commence.

Every project must have a Project Agreement in place, before any funding flows from the CRC to the project participants. It is essential that should any postgraduate students be involved in the project, that Scholarship agreements between the CRC and the University are in place prior to the commencement of the project. This is a stipulation of the Centre Agreement. The scholarship agreement stipulates:-

- the obligations of secrecy and confidentiality in relation to Confidential Information, Background Intellectual Property and Centre Intellectual Property.
- Publishing of research results.
- Ownership of Scholarship Intellectual Property (Scholarship Intellectual Property is wholly owned by SISL unless the Governing Board approves a different ownership arrangement)

Invoicing

When reporting to the Project Management Group through each quarterly progress report, the project leader is required to detail expenditure against Budget. Following approval of each progress report, the CRC will seek to receive invoices from the responsible project participant for payment. To facilitate this process, it is expected that each Project Leader will provide the relevant contact details for each finance officer with which the CRC can liaise.

Project Proposal & Agreement Stages

	Timeline	Responsibility	Action	Document & Comments
EXPRESSION OF INTEREST	Identify R&D&C priorities	GB & REAC/IACC	Disseminate widely	Web pages; Strat Plan; Selection Criteria published
	Expressions of interest [actively] sought, reviewed & ranked	Executive Group & REAC/IACC	Feedback to proponents wrt Strategic Plan & Selection Criteria	Expression of Interest; unsolicited ideas welcomed
	Stage 1 Proposal requested, key participants / contributors identified.	REAC/IACC		Stage 1 Proposal
	Stage 1 Proposal submitted	PL PM Participants	Management analysis - IP; cash & in kind; return on investment	Tracking sheet; entered in New Proposals Register
STAGE 1 PROPOSAL	Stage 1 project reviewed, based on feasibility and relevance, and approved for GB submission / modifications sought in a resubmission / rejected	REAC/IACC PL addresses REAC/IACC for large projects	Feedback to proponents wrt Strategic Plan & Selection Criteria Proponent can come back through prior step with new information	If modifications sought, or if totally rejected, decision delivered orally by MD or Chair REAC/IACC & then by letter from MD Tracking sheet
	Enhanced proposal (Stage 2) submitted to Governing Board	PL PM Participants		Stage 2 Proposal Tracking sheet
	Endorsement of proposal, usually with conditions to be met and delegated authority for sign off to CEO	GB & CEO & RD BM	MD letter to PL stating conditions of approval - eg timing; participants; budgets; etc; sign off delegation. Annual Budget update with "provisional budget commitment"	Key condition will be on the makeup of the Project Management Group
PROJECT AGREEMENT	Project Agreement prepared	PL & Participants		Schedule 5; CentAg; possibly amending clauses (eg IP)
	Approved	MD (or as delegated by GB)		
	Project Agreement execution	Participants BM	Sign ProjAg Amend Annual Budget with new "approved Project commitment"	copy to all project participants and personnel

Project Implementation and Review Stages

	Timeline	Responsibility	Action	Document & Comments
PROJECT IMPLEMENTATION	Project Commences			
	Personnel appointments	CEO / RD / PM / PL	Advertisement unless extraordinary	Interview analysis file note. Includes scholarships.
	Quarterly reviews of technical progress against budget - with issues such as ...	Project Management Group	Project Review against agreement	Quarterly technical progress report; cash and in kind reports Satisfactory progress releases next quarter's funds less any surplus
	Agreement variations	Project Management Group	Amend Agreement	Project Agreement
	Intellectual Property	PMG & IACC & SISL		Centre Agreement / Project Agreement
	Commercialisation	PMG & IACC & SISL		SISL Information Memorandum
	Publications	PL to get CEO approval		Centre Agreement / Scholarship agreement with enrolling University
CRC EXTERNAL REVIEW	Ongoing	PL to communicate regularly with participants	Website and email updates. Phone discussions and meetings.	Newsletters, email updates, website news items
	Annual CRC review by CRCSI			
	Year 2 and 5 CRC Programme Reviews	CEO & CRC Programme with external peer review		Stage One reports with GB responses

Project Progress Reporting

The Project Leader is responsible for submitting a quarterly report to the Science Program Manager and the PMG detailing the research activities during the period of the report, the achievement of Milestones and expected progress during the next quarter. This will require input and consideration by project personnel from all parties to the project. It is the responsibility of the PL to collate all relevant information for the Quarterly Report. A project reporting template is contained in Attachment B1. These reports are kept on formal record at the CRC and may be viewed by the Governing Board. The reports are part of the formal project performance evaluation as outlined by the Terms signed off by all Project Participants (Attachment B2)..

The format provides the information required for CRC to:

- display appropriate management and reporting over its projects;
- allow for stakeholders to comment and have constructive input;
- enable the PL's to have awareness over his/her project;
- enable the PMG, Science Program Managers and Research Director to receive consistent detailed summaries of projects; and
- allow the CRC to report to the Commonwealth's rigorous requirements without the need for a frantic request each year for detailed information from PL's. This includes data collection for the Annual Report, and the Management Data Questionnaire.

Most of the information will be repeated from quarter to quarter: Care in completing the first QR will facilitate the completion of all subsequent reports. The CRC expects that each Project will demonstrate efficient time management, Quality research, flexibility in the problem solving approaches used, innovation in the generated outcomes and outcomes that are able

The key elements of the Quarterly Progress report are:-

- **Project Milestone reporting:-** Project progress against the aims, milestones, deliverables and timetable of the Project
- **Inkind Financial Report:-** A report of the time worked by each projects personnel (inkind) including the time funded by CRC, and any additional inkind including data sets and capital items.
- **Expenditure against Budget:-** A report of the cash expenditure against the Project Budget reporting against the specific Budget allocations.

Expenditure against budget and In Kind financial reports are expected to be completed in conjunction with the Finance Officer of the respective organisation and the CRC Business Manager.

Approval of the progress report via the PMG will trigger the quarterly payment to the relevant organisation for expenditure.

Project Variation

A form to vary the project is contained at Attachment B3 (Project Variation Form). The PMG may make major or minor changes to a Project and the Project Plan or the Deliverables or terminate a part of, or the whole of, the Project and Project Plan provided that any decision made

by the PMG will be made only after due consultation with the Project Parties and set out in a Project Variation Form and that if the change requires an increase in any of the Project Fee, Centre Contributions or Contributions, that increase will be subject always to the Centre Agreement.

Project Completion

On completion of the Project the Project Leader must complete, sign and deliver a Project Close Out Form to the CEO who will copy it to each Party and attach it to the Project Description. (see Attachment C1 for a template). A Value Capture Evaluation Template (Attachment C2) must also be completed following the completion of a project.

Attachment A1: Project Proposal Form

Purpose: For preparation of new project proposals for submission to the CRC Research Director for Committee and Board Consideration.

PROJECT PERSONNEL AND BUDGETS

Project Leader:
Project Title
Project Number:

Program Title:
Program Manager

Commencement Date:
Completion Date:

Project Participants

Budget Request

Year 1 \$
Year 2 \$

Project Summary:

PROJECT INFORMATION

Background:

Succinctly state the nature of the proposal,

Business Basis:

Market

- Description - *describe the target market by application, geography and end user*

Competition

- Within type - *are there similar products on the market or approaching market?*
- Within application - *are there different products addressing the same market need?*
- Advantage - *What competitive advantage would the results of this work enjoy in the market?*

Objectives:

Description - *list the objectives of this work*

Strategic fit - *describe how each objective fits with the current CRCSI Strategic Plan*
Benefits to CRCSI – *quantify where possible/practicable*
Demonstration– *how will the successful outcomes be demonstrated?*

Outcomes (Deliverables)

Key Assumptions & Risk Analysis

Risk Analysis - *identify these and indicate relative degree of risk (high, medium, low)*

- Commercial Risks
- Technical Risks
- Political Risks
- Any other risks

BACKGROUND INTELLECTUAL PROPERTY

Identify any background IP being brought to the project

- From Project Participants
- To Be Acquired From Other Sources

COMMERCIALISATION / IMPLEMENTATION / TECHNOLOGY TRANSFER STRATEGY AND ISSUES

Route to Market

- Commercialisation - *describe the route by which project results will be commercialised, and in particular the roles to be played by the involved/ to be involved industry members.*
- Distribution - *describe the routes by which the product will be brought to market*
- CRCSI membership - *Are the companies involved in the project and or commercialisation, ...members of CRCSI? ...participating in or contributing to the project? ...likely to participate in or contribute to the project?*

SUMMARY OF POTENTIAL OPPORTUNITIES AND PROBLEMS

PART B: PROJECT PLAN

PROJECT MILESTONES

Task - describe in detail the work to be undertaken.

Milestones - define milestones for each quarter of the proposed duration. These must be discrete events and include minimal subjective or qualitative evaluations.

Deliverable - define milestones for each quarter of the proposed duration. These must be quantifiable achievements and include minimal subjective or qualitative evaluations.

Task	Milestone	Deliverable	Participant				
				Q1	Q2	Q3	Q4
1.						•	
2.						•	

● Denotes Milestone and Quarter at which Deliverable is required.

CONTRIBUTIONS FROM CENTRE

	Year 1, Qtr 1	Year 1, Qtr 2
Project Budget		
Salaries		
Travel		
Equipment		
Total		

CONTRIBUTIONS FROM THE PROJECT PARTICIPANTS (PERSONNEL)

Resource	Start Date	End Date	% of time utilised

DATA ACCESS & EQUIPMENT REQUIREMENT SUMMARY

Resource	Start Date	End Date	% util	Agreed With

STAKEHOLDERS AND COMMUNICATION

Stakeholders	How Affected	Method Of Communication

PROJECT APPROVAL

Commencement Date:

Completion Date:

Date _____

Project Leader

Date _____

Project Manager

**Chief Executive Officer,
CRC for Spatial Information**

Date _____

Attachment B1: PROGRESS REPORT

Purpose: Quarterly project progress report for completion by Project Leader.

PROJECT NUMBER

TITLE

PROGRESS REPORT

**Quarter /
Date** *Quarter being reported on*

**Project
Leader** *Name and organisation*

**Report
prepared
by** *Name and organisation*

**Alignment
with
Strategic
Plan** *Indicate how these objectives align with CRCSI's strategic plan.*

**Project
Objectives** *Using bulleted points; describe the key objectives of the project (Project Agreement)*

**Highlights
(For
Internal
CRC
Release)** *A half page précis of the highlights of this reporting period, to be circulated amongst the CRC community. Be careful to not include any Commercial in Confidence material or unprotected Intellectual Property in this section. Describe any notable advances since the last report or any Go/NoGo decision(s) occurring in this reporting period. (several bullets)*

**Work
Done**

Describe the progress against milestones during the period in terms of activities, their objectives and procedures. Note any problems that exist and strategies for overcoming them. Discuss the ramifications of any intractable difficulties. Indicate progress towards the Deliverables laid out in the Project Agreement. (Half to one page)

Commercial / Tech Transfer issues *Discuss any developments of a commercial nature that have occurred during the reporting period. These include identification of prospective commercialisation strategies or partners, new commercial arrangements, new funding sources, updates on market projects. (up to one page)*

Gantt Chart *Include the full Gantt Chart Project Plan as outlined in the Project Agreement.*

Reporting Requirements

Postgraduate Students (MDQ 4.1 & 4.2)

Student Name	PhD or MSc (Res)	Academic or Industry Supervisor(s)	Start date	Fund Source ((APA, Univ. name)	Thesis topic

Other Postgraduate students (MDQ 4.4)

Student Name	Diploma, Masters (cwork)	Start date	Award Date

Undergraduate Courses (MDQ 4.6)

Course Name	University	Degree title

Include courses or lecture series etc that involve the formal education of undergraduates and that are related to the CRC's activities.. Count each subject as a course. Exclude casual seminars that are not part of a formal course.

Industry/user educational activities (MDQ 4.5)

List any non-university staff involved in education other than supervision of research students (Name, Organisation,	

A 'non-university staff member' is someone employed by a participant organisation other than a university for more than 50% of his or her time. Exclude research student supervisors unless they are also involved in other postgraduate educational activities.

Training Courses for industry and other users (MDQ 2.7)

Name	No. attending activities	Symposium, or	Training course

Include: structured professional training courses, regular seminar series, conferences, workshops etc conducted with the aim of transferring knowhow from the CRC's work to industry or other users. Exclude: casual seminars conferences and activities not hosted by the CRC or its participants, and activities that total less than one day's duration.

Formal Publications relating to the CRC Programme (MDQ 3.1)

Author(s)	Title	Brief Bibliography detail	Published or accepted for publication

Include: substantial reports, papers, annual reports, newsletters, booklets, computer programs, videos, CD-ROMs etc aimed at transferring know-how or practical information to industry and other end users. Please attach a hardcopy of all publications with report and send an electronic copy gkernich@unimelb.edu.au for the CRCSI Library and for website publishing where appropriate)

Major International Collaborative Linkages (MDQ 5.4)

Company/Research Collaborator	Country	Nature of Collaboration

Include major international collaborative alliances (alliances lasting at least 2 weeks) established by the CRC. Nature of collaboration can be research collaboration, commercial licensing or joint ventures, major consultancies or aid projects, or Other (please describe briefly).

Commonwealth Competitive Grants to CRC Participants (MDQ 3.5)

Lead Researcher & Participant	Project Title	Granting program	Period of Grant	Total of Grant
				\$
				\$

Contracts and consultancies (MDQ 2.3)

Researcher(s)	Client	Project Title	Gross Value

Awards / prizes / Academy elections

Staff Name	Participant Organisation	Detail

Other Public presentations, invited addresses etc

Presenter(s)	Title	Brief detail

Staff Commitment

Comment of conformance to the planned staffing, noting any variances and the strategy for managing them. Leave this section blank if no issues.

Budget

Comment on conformance to the budget, noting any variances. Attach a copy of the quarterly financial report).

Project Expenditure Verification

As an authorised officer of [**insert participant organisation name**], I hereby declare that the actual expenditure reported in the attached Quarterly Report is true and correct, was incurred through the conduct of activities of CRCSI [**insert Project Number**].

Signature

.....

Name

.....

Position

.....

Organisation

.....

Date

.....

(Via Excel Spreadsheet)

Cash Expenditure

Project Budget	This Quarter		Year to date		Project to Date	
	Budget	Variance	Budget	Variance	Budget	Variance
Salaries						
Line 1						
Travel						
Airfare						
Equipment						
Line 1...						
Other						
Line 1..						
TOTAL						

In Kind Contribution (hours)

Organisation	This Quarter
Organisation 1	
Name 1	
Name 2	
Organisation 2	
Name 1	
Name 2	
Organisation 3	
Name 1	
Name 2	
TOTAL	

Attachment B2: Project Agreement Terms

Purpose: Terms included in each Project Agreement

Project Agreement Terms

1. DEFINITIONS

In these Terms, unless the context indicates to the contrary, the terms used herein which also appear in the Centre Agreement, will take in this Agreement the meaning given to them in the Centre Agreement, and in addition, the following definitions will apply:

“Activities” means the research, training and commercialisation activities of the Centreas set out and described in Schedule 1 [Activities of the Centre] to the Commonwealth Agreement;

“Agreement” means this Project Agreement and any amendment thereto agreed to in writing by all Parties;

“Background Intellectual Property” means the Background Intellectual Property set out in the Project Description;

“Budget” means the budget for the Project, which is set out in the Project Description;

“Centre Agreement” means the agreement dated 14th January 2004 entered into for the establishment of the Centre;

“Centre Contributions” means the resources, whether in cash or in kind, as set out in the Project Description to be made available by the Centre pursuant to this Agreement;

“Commencement Date” means the date of commencement of this Project as set out in the Project Description;

“Commercialise” in relation to Intellectual Property, means to use, manufacture, sell, hire or otherwise exploit a product or process, or to provide a service, incorporating that Intellectual Property, or to license, sublicense, joint venture or make any other similar arrangement with any third party to do any of those things, and

“Commercialisation” will be similarly construed;

“Commonwealth Agreement” means the agreement referred to in the Centre Agreement.

“Completion Date” means the date for the completion of the Project as set out in the Project Description;

“Confidential Information” includes all trade secrets, financial information and other commercially valuable information of whatever description and in whatever form (whether written or oral, visible or invisible) and includes the interpretation, analysis and application of general information in the public domain and documents or information in material form marked as confidential. For all purposes of this Agreement, any national security classified information shall be deemed to form part of the Confidential Information of the Commonwealth of Australia as represented by the Department of Defence. The operation of this Agreement in relation to such national security classified information is in addition to, and shall not derogate from, any applicable law;

“Contributions” means the contributions described in the Project Description;

“Deliverables” means the deliverables of the Project as described in the Project Description;

“Deliverables Party” means the party identified as such in the Project Description;

“Intellectual Property” includes all copyright, registered and unregistered trade marks (including service marks), patents, registered designs, registered domain names, Confidential Information and circuit layouts and all of the rights resulting from intellectual activity in the industrial, scientific, literary and artistic fields;

“Milestones” means the milestones of the Project as set out in the Project Description;

“Parties” means the parties to this Agreement, and “Party” shall be similarly construed;

“Performance Indicators” means the performance indicators for the Project set out in the Project Close-Out Form;

“Program Manager” means the person identified as such in the Project Description;

“Program” means the program described in the Project Description;

“Project” means the project to be carried out pursuant to this Agreement details of which are set out in the Project Description;

“Project Fee” means the fee to be paid to the Researcher for the carrying out of the Project, details of which are set out in the Project Description;

“Project Leader” means the person identified as such in the Project Description;

“Project Management Group” means the project management group established pursuant to clause 9 of these Terms;

“Project Plan” means the plan for the carrying out of the Project as set out in the Project Description;

“Researcher(s)” means the Participant(s) identified as such in the Project Description;

“Seconded Personnel” means the persons identified as such in the Project Description;

“Terms” means these Project Terms.

2. PARAMOUNT AGREEMENT

2.1 This Agreement is an “Associated Agreement” as defined in the Centre Agreement.

2.2 Wherever there is any inconsistency between the provisions of this Agreement and those of the Centre Agreement, the Centre Agreement will, to the extent of that inconsistency, prevail.

2.3 Nothing in this Agreement will reduce or otherwise affect the obligations of the Parties under the Commonwealth Agreement.

3. APPLICATION OF PROVISIONS OF CENTRE AGREEMENT

Subject to clause 2.2 hereof, the Parties acknowledge that the carrying out of the Project forms part of the Activities and accordingly agree that all provisions of the

Centre Agreement that, expressly or by necessary implication, apply to the carrying out of the Project will, mutatis mutandis, be deemed to form part of these Terms.

4. PROJECT

4.1 In consideration of:

(a) the payment of the Project Fee to the Researchers by the Centre Agent pursuant to clause 6 [Payment];

(b) the making available to the Project by the Centre Agent of the Centre Contributions and Contributions,

the Researchers will carry out the Project in accordance with the Project Plan and this Agreement.

4.2 The Project will commence on the Commencement Date and, subject to clauses 17 and 19, will be completed on the Completion Date.

4.3 The Project will be reviewed regularly or as the Governing Board requires.

5. TERM OF THIS AGREEMENT

5.1 Subject to clause 5.2, this Agreement will commence operation on the Commencement Date and will remain in force until one of the following occurs:

(e) the Parties by unanimous written resolution agree to terminate this Agreement;

(f) following the retirement or expulsion of a Party pursuant to clause 38 [Retirement and Expulsion] of the Centre Agreement only one Party remains in the Centre;

(g) the Commonwealth Agreement is terminated pursuant to the terms of that agreement;

(h) the Funding Period expires;

(i) the Centre fails to receive the Grant or an instalment of the Grant; or

(j) if the Governing Board terminates it.

5.2 Notwithstanding the occurrence of one or more of the events specified in clause 5.1, the

Parties may by written agreement determine that this Agreement will continue upon terms specified in such written agreement.

6. PAYMENT AND CONTRIBUTIONS

6.1 Each Party will make available to the Centre Agent the Contributions to be made by it, if any, as and when identified in the Project Plan.

6.2 The Centre Agent must:

- (a) pay to the Researchers the Project Fee; and
- (b) make or procure the making of the Centre Contributions and Contributions available to the Project,

at the time and in the manner set out in the Project Plan and Budget subject to satisfactory progress.

6.3 The Centre Agent must at the Governing Board's request withhold some or all of the Project Fee, Centre Contributions and Contributions in the event that there has been a shortfall of work scheduled to be completed in any preceding quarter or if any Milestones referred to in clause 10 scheduled to have been attained at the conclusion of that quarter were not so attained. At the direction of the Governing Board, the Centre Agent must release any Project Fee withheld pursuant to this clause 6.3 upon the making good of a shortfall of work or the attainment of a missed Milestone.

7. LOCATION OF ACTIVITIES AND ACCESS

7.1 Researcher(s) will at all reasonable times give to the Centre, its officers, agents and contractors reasonable access to that part of the Researcher's premises at which the Project is being carried out.

7.2 Researcher(s) may require the Centre Agent to execute an agreement in a form and on terms reasonably acceptable to the Researcher(s), which:

- (a) sets out the terms of the visit;
- (b) contains obligations of confidentiality and non-disclosure that protect the interests of Researcher(s);

(c) addresses the liability of the Parties in the event of injury to the Centre officers, agents and contractors while visiting the premises; and

(d) any other matters which Participant(s) reasonably determines is necessary or required, including any security restrictions required by Researcher(s).

8. PROJECT MANAGEMENT

8.1 The Project Leader will:

- (a) report to the CEO through the Program Manager;
- (b) be responsible for the day to day management and leadership of the Project;
- (c) ensure that the Project is carried out in accordance with the Project Plan and within the Budget and achieves its milestones and objectives;
- (d) be responsible for administration of all Project personnel including any associated research students;
- (e) report quarterly to the Project Management Group as and when required by this Agreement and at other times as requested by the Project Management Group;
- (f) be responsible for conformance with the Project Documentation including without limitation the achievement of the aims, milestones and timetable of the Project;
- (g) submit quarterly technical progress and financial reports to the Program Manager reporting Clause 8.1 (f) attainments;
- (h) maintain financial records and research and technical records as directed by the Program Manager and CEO reporting Clause 8.1 (f) attainments.

8.2 The Project Leader may be replaced at any time by the mutual agreement of the Parties.

8.3 The Project Leader will:

- (a) ensure that the Research Project is carried out in accordance with the

- Project Plan and within the Budget; and
- (b) report to the Project Management Group as and when required by this Agreement and at other times as requested by the Project Management Group.
- 8.4 The Program Manager may be replaced at any time by the CEO with the written approval of the Governing Board.
- 9. PROJECT MANAGEMENT GROUP**
- 9.1 For each Project a Project Management Group will be formed which will:
- (a) typically be comprised of:
- (i) the CEO or his delegate;
- (ii) the Program Manager;
- (iii) Project Leader;
- (iv) a representative of each Project Agreement signatory; and
- (v) other relevant stakeholders and users as the CEO may determine.
- (b) meet at such times as are necessary for it to discharge its functions properly;
- (c) make and implement management decisions relating to the conduct of the Project, provided that such decisions are consistent with this Agreement;
- (d) discuss the reports referred to in clause 10 [Reporting and Milestones] and progress of the Project in general;
- (e) conduct reviews of the Project in accordance with clause 13 [Project Review];
- (f) vary the Project in accordance with clause 14 [Project Variation]; and
- (f) define and agree upon proposed modifications of or extensions to the Project, in accordance with clause 14 [Project Variation].
- 9.2 Each Party will procure that its representative on a given Project Management Group maintains an accurate written log of his attendance at meetings of the Project Management Group and time spent in related activities. It is acknowledged and agreed that this time will be treated as part of the in-kind component of a Participant's Contribution.
- 9.3 A quorum for meetings of the Project Management Group will be the CEO or his delegate and the Program Manager and the Project Leader unless otherwise determined by the Project Agreement.
- 9.4 Each Party will have the right to dismiss and replace any of its representatives on the Project Management Group, subject to it providing the other Parties with reasonable written prior notice.
- 9.5 All material decisions of the Project Management Group will be minuted and the minutes are to be confirmed in subsequent meetings of the Project Management Group.
- 9.6 The CEO will be entitled at any time to convene a meeting of the Project Management Group or such other persons involved in the Project as the CEO determines for the purposes of obtaining reports in addition to the reports described in clause 10 and to confirm the status of the Project.
- 10. REPORTING AND MILESTONES**
- 10.1 Research Progress Reports**
- (a) The Party which employs the Project Leader agrees and will ensure that the Project Leader submits a quarterly report to the Program Manager and the Project Management Group detailing the research activities during the period of the report, the achievement of Milestones and expected progress during the next quarter in the format specified by the CEO [through the Business Manager].
- (b) The Party which employs the Project Leader agrees and will ensure that the Project Leader submits a copy of the report referred to in clause 10.1(a) to:
- (i) the CEO for transmission to the Governing Board; and

- (ii) the Business Manager for the Centre's records.

10.2 Financial Reports

The Party that employs the Project Leader agrees and will ensure that the Project Leader submits quarterly reports to the Program Manager detailing:

- (a) the time worked by each Party's Seconded Personnel and forming part of the in-kind component of that Party's Contribution;
- (b) the time worked by each Party's Seconded Personnel and funded by Centre Contributions; and
- (c) components of that Party's Contribution, the value of which has been determined by the application of a salary multiplier greater than that generally applied in respect of its Contribution.

10.3 Milestones

In addition to the reporting requirements set out above, the Parties will adhere to the Milestones.

10.4 The Parties will liaise throughout the duration of the Project with the Project Leader with respect to any report required by the Agreement.

10.5 The Governing Board will have the discretion, to make available, through the Business Manager of the Centre, such of the reports described in this clause 10 available to such persons as the Governing Board determines have an appropriate interest therein provided that:

- (a) access to specific Project information will be protected by appropriate security;
- (b) no disclosure will be made of Intellectual Property or Confidential Information without first obtaining adequate confidentiality undertakings from the recipient thereof and without the consent of the owner thereof, which consent will not be unreasonably withheld.

11. DELIVERABLES

The Deliverables Party will deliver the Deliverables at the time and in the manner set out in the Project Plan.

12. SUBCONTRACT

12.1 A Party will not, without the prior written approval of the Project Leader, subcontract any part of the Project other than that part already specified and approved under this Agreement for subcontracting. In giving written approval, the Project Leader may impose such terms and conditions as he/she thinks fit.

12.2 A Party will be fully responsible for the performance of the Project notwithstanding that the Party has subcontracted the performance of any part of the Project.

13. PROJECT REVIEW

13.1 The Project Management Group will cause a review of the Project to be carried out each quarter in accordance with the Project's performance indicators and variations to the Project and the Project Plan as required, in accordance with clause 14 [Project Variation].

13.2 A Project Review Form will be completed for each Project review, signed by the CEO, copied by the CEO to each Party and attached by the CEO to the Project Description.

13.3 The Parties acknowledge and agree that at any reasonable time any Director or any person designated by the Commonwealth CRC Program may view the progress of the Project and that the Parties will give all assistance reasonably requested by such Director or designated person, as the case may be.

14. PROJECT VARIATION

14.1 Subject to the provisions of this clause, the Project Management Group may make major or minor changes to the Project and the Project Plan or the Deliverables or terminate a part of, or the whole of, the Project and Project Plan provided always that:

- (a) any decision made by the Project Management Group pursuant to this clause will be made only after due consultation with the Parties and set out in a Project Variation Form which will be signed by the CEO, copied by the CEO to each Party and attached by the CEO to the Project Description;

- (b) if the change to the Project requires an increase in any of the Project Fee, Centre Contributions or Contributions, that increase will, in the amounts determined by the Governing Board, be subject always to the Centre Agreement; and
- (c) no Researcher will be obliged to carry out any amendment to the Project where to do so would be inconsistent with that Researcher's research capacity or would place that Researcher in a conflict of interest, having regard to any obligations owed by the Researcher to a third party extant at the time, or which are then under bona fide consideration or negotiation by that Researcher.
- 14.2 No Party will be liable for any work performed or expenditure incurred in relation to any Project variation, which has not been authorised in accordance with this clause 14 [Project Variation].
- 14.3 The Parties will allow the Centre access to the Parties' relevant books of account for the purpose of cost investigation of any variations proposed or approved pursuant to clause 14.2. The Parties will use their reasonable endeavours to procure for the Centre similar access to the books of account of any of their sub-contractors to this Project.
- 15. COMPLETION OF PROJECT**
- On completion of the Project the Project Leader will complete, sign and deliver a Project Close Out Form to the CEO who will copy it to each Party and attach it to the Project Description.
- 16. INTELLECTUAL PROPERTY**
- 16.1 Centre Intellectual Property shall be owned, protected, used and Commercialised in accordance with the Centre Agreement and the Commonwealth Agreement.
- 17. WITHDRAWAL FROM THE PROJECT**
- 17.1 Subject to the provisions of this clause, a Party (hereinafter referred to in this clause as a "withdrawing Party") may by ninety (90) days' written notice withdraw from the Project and this Agreement, where the funds it is to provide in relation to the Project are no longer available through no fault of its own or in its reasonable opinion the Project is no longer relevant to its operations. Such notice of withdrawal will be effective on receipt by the other Parties.
- 17.2 Any licence granted by a withdrawing Party to use its Background Intellectual Property will continue notwithstanding such withdrawal until this Agreement is terminated.
- 17.3 Where a Party withdraws from the Project and this Agreement each other Party will have the right to withdraw from the Project and this Agreement by ninety (90) days' written notice to all remaining Parties which notice will be effective on receipt by those Parties.
- 17.4 A withdrawing Party will only be entitled to payments under the payment provisions of this Agreement for the Project rendered in accordance with the Agreement before the effective date of withdrawal.
- 17.5 If a Party (hereinafter in this clause called the "default Party"):
- (a) goes into liquidation or a receiver or receiver and manager is appointed or, in the case of an individual, becomes bankrupt or enters into a scheme of arrangement with creditors or becomes the subject of any form of insolvency administration; or
- (b) fails, within thirty (30) days after receipt of written notice, to take steps to the satisfaction of the other Parties, such approval to not be unreasonably withheld, to remedy any default in performance of the following obligations, namely:
- (i) to commence or to proceed at the rate of progress strictly in accordance with or as reasonably contemplated by the Agreement;
- (ii) to perform or observe the terms and conditions of the Agreement; or
- (c) is expelled or retires from the Centre,

then one or more of the other Parties after consultation with the Governing Board may, by written notice to the default Party (which notice is to be copied to each of the other Parties) expel the default Party from the Project and this Agreement. Such expulsion is effective on receipt by the defaulting Party of a notice to that effect.

- 17.6 Where a default Party is expelled pursuant to clause 17.5 each Party will have the right to withdraw from the Project and this Agreement by ninety (90) days' written notice to all remaining Parties which notice will be effective on receipt by those Parties.

18. SECONDED PERSONNEL

- 18.1 Participants will ensure that it makes available to the Project the Seconded Personnel for the period described in the Schedule.
- 18.2 Subject to this clause 18, the Seconded Personnel of Participants will remain subject to the terms and conditions of employment by which they are employed by Participants.
- 18.3 Each of the Participants covenants and undertakes to procure that Centre Intellectual Property created by any of its Seconded Personnel will be owned and dealt with according to the provisions of this Agreement.
- 18.4 Participants may withdraw any of its Seconded Personnel upon sixty (60) days notice to the CEO provided it replaces such personnel with a person or persons (as the case may be) acceptable to the CEO. In the cases where sixty (60) days notice cannot be achieved, a shorter period will be negotiated and agreed with the Governing Board.
- 18.5 Should the Project require the services of persons not presently employed by any of the Parties, such persons will be retained pursuant to arrangements determined by the Governing Board, and the expenses incurred in so doing will be deemed to be expenses incurred in the performance of the Project.
- 18.6 The Governing Board may, at any time, direct that any Seconded Personnel be replaced.
- 18.7 Participants will procure the time availability described in the Project Description of the Project Leader to the Project.

19. TERMINATION

This Agreement will terminate where pursuant to clause 17 all but one of the Parties

has withdrawn or been expelled from the Project and this Agreement, or upon the Completion Date, whichever occurs first.

20. GENERAL

- 20.1 This Agreement is governed by the laws of the State of Victoria and each Party submits to the jurisdiction of the courts of that State and the courts of appeal therefrom.
- 20.2 This Agreement may be executed in any number of counterparts. All counterparts taken together will be taken to constitute one agreement.

21. GST

- 21.1 In this clause, the terms "GST", "supply", "taxable supply" and "valid tax invoice" have the meanings given to them by the A New Tax System (Goods and Services Tax) Act 1999 (Cth).
- 21.2 All Contributions, Project Fees or other sums payable or consideration to be provided under or in accordance with this Agreement, are exclusive of GST.
- 21.3 If GST is imposed on any supply made by a party ("Supplier") to another party ("Recipient"), to the extent that any consideration payable or to be provided by the Recipient for the taxable supply is exclusive of GST the Recipient must pay to the Supplier, in addition to that GST exclusive consideration, an additional amount for the taxable supply calculated by multiplying the GST rate by the GST exclusive consideration for the taxable supply, without any deduction or set off.
- 21.4 An amount payable by the Recipient under clause 21.3 is only payable on delivery by the Supplier of a valid tax invoice.
- 21.5 If an amount recovered from the Recipient on account of GST differs for any reason from the amount of GST paid or payable by the Supplier to the Commissioner of Taxation, the difference between the two amounts must be paid by or to the Recipient (as the case requires), but no amount is payable to the Recipient unless the Supplier is entitled to a refund and has been paid the refund from the Commissioner of Taxation.

Attachment B3: SAMPLE PROJECT REVIEW FORM

Purpose: For completion by the Project Management Group at the conclusion of each quarterly review..

SAMPLE PROJECT REVIEW FORM

(To be filled in and signed-off immediately after project review)

Project Number		Title	
Project Leader		Review Date:	

ATTENDEES

CRC Participants	
Name	Organisation

ISSUE IDENTIFICATION

Issues For Consideration	Action Needed?	
	Yes	No
<p>Safety Is there any safety incident or issue needing attention?</p>		
<p>Progress Against Plan Is the project on time? What needs to be done?</p>		
<p>Business Relevance Is the project still relevant to the business? Are the key assumptions still valid?</p>		
<p>Key Deliverables Any changes to deliverables?</p>		
<p>Technical Direction Does work so far indicate the current direction is OK? Is a change required?</p>		
<p>Intellectual Property Are there issues with IP? What needs to be done?</p>		
<p>Risk Are there any new risks which could affect research delivery?</p>		
<p>Tech. Reports, Communication Is it satisfactory? Is more required? Different group?</p>		
<p>Budget / Resources Is the rate of expenditure in control? Are specific skills or people required? Services or capital?</p>		
<p>Implementation Is action required to ensure smooth transition from R&D phase to implementation phase?</p>		
<p>Additional Work Is additional R&D relevant to this project required by Program champion / Implementer</p>		
<p>New Initiatives, Project Participants, Funding Opportunities, Innovations, Spin-Offs Are there any new ideas which should be pursued?</p>		
<p>Others (Specify)</p>		

REVIEW ACTIONS

Actions Agreed	Who	When	Done
<p><i>Include</i> <i>Actions agreed at previous review - Have they been completed?</i> <i>Suggested actions from Monthly reports (CRC Research Team)</i> <i>Suggested actions at time of review</i> <i>(Actions no longer outstanding are removed from the list)</i></p>	<p><i>Project Leader</i></p> <p><i>Implementer</i></p>		

PROJECT DIRECTION

Continue with Current Plan/Agreement
 (no change)

New Project Agreement (new agreement date)

Amend Current Project Agreement
 (and update the Progressive Record of Changes to
 Project Agreement)

Terminate Project (closure date)

NEXT REVIEW

Date:

SIGNATURES

Project Leader	Chief Executive Officer, CRC
<p>Date</p>	<p>Date</p>

Attachment B4: SAMPLE PROJECT VARIATION FORM

PROGRESSIVE RECORD OF CHANGES TO PROJECT DESCRIPTION

<u>Date</u>	<u>Change From</u>	<u>Change To</u>	<u>Approval</u>	
	<i>eg. Business Basis</i> "estimated to be \$12m per year"	"estimated to be \$8m per year"	<i>Project Champion</i> Signature Date:	<i>CEO</i> Signature Date:
	<i>eg. Milestone 1 due</i> <u>31/1/00</u>	<u>Milestone 1 due 1/3/00</u>	<i>Project Champion</i> Signature Date:	<i>CEO</i> Signature Date:
	<u>Team Members</u> "A. Researcher (100%)"	"J.Citizen (100%)"	<i>Project Champion</i> Signature Date:	<i>CEO</i> Signature Date:

Attachment C1: SAMPLE PROJECT CLOSE OUT FORM

Purpose : For completion by Project Management Group and Project Leader at project completion.

PROJECT CLOSURE CHECKLIST

Complete Project Closure Form (attached)

- Value Capture Evaluation—R&D phase
- Value Capture Evaluation—Implementation phase
- Finance (e.g. WIP, outstanding invoices, commitments)
- Project Documentation Archiving
- Library - Hard Copy (eg IP Record books, notes, reports)
- Computer Services - Electronic backups

PROJECT CLOSURE

Program Title			
Program Manager			

Project Number		Title	
Project Leader		Project Budget	
Project Start Date		Project Expenditure	
Project Closure Date		Follow-Up Date	

REASON FOR PROJECT CLOSURE

- Project cancelled (state reason) _____
- Project completed; no further R&D / implementation required
- Project completed; continue to another CRC Research project? (state project) _____
- Project completed; further development / implementation outsourced
(state group/company responsible) _____

ACCOUNT STATUS

- WIP is clear (zero)
- Charge WIP To Other Accounts (Approval and details) _____
- Write Off WIP (Approval from Administration Manager required) Amount: \$ _____

Business Manager
Date: _____

Summary Of Project Outcomes	
Reports Issued	<i>Detail any further useful information which should be captured for future reference.</i>
Additional R&D Required	<i>Summarise details of any additional work required, arising from the project.</i>

Rating: 1 2 3 4 5 6 7 8 9 10
 Poor Fair Average Good Excellent

PARTICIPANT(s) SATISFACTION INDEX

	Parameter	Rating	
		Project Customer	Program Champion and/or Project Implementer
1	How well were the project deliverables achieved?		
2	How well were the time commitments met?		
3	How well were the cost targets met?		
4	What level of commitment did the CRC Research Team show towards your business?		
5	What is your level of enthusiasm towards working with Team again?		
	CSI (CSI is calculated by adding up scores to questions 1 to 3 and half the score to questions 4 and 5. This number is then multiple by 2.5 to give a CSI out of 100)		

PARTICIPANT'S COMMENTS

SIGNATURES

Project Leader	Project Participant (s)
Date:	Date:

Attachment C2: VALUE CAPTURE EVALUATION - R&D PHASE

Purpose : For completion by Project Manager and Project Leader at project completion.

(To be evaluated by Project Leader and Program Manager at the end of R&D phase)

Project Number		Title	
Statement			
Value Capture (What went really well for this project?/ Lessons learnt during R&D phase)			
Comments			

Value Loss

(Please enter a rating between 0 and 4 in each box)

(0=not applicable; 4=key factor for value loss)

Effectiveness Loss

Customer fails to meet commitments as specified by performance imperatives, eg

- Attending direction-setting reviews
- Making decisions
- Providing perspective

Failure to clearly identify and sign off on deliverables /non-deliverables at planning stage

Researchers did not solve all or right issues

Researchers did not understand entire problem

Task/project learning/skills not captured

Reinventing the wheel

Lack of creative thought - too busy to think

Other (specify)

Efficiency Loss

Unforeseen roadblocks

Poor understanding of business/operations context of project

Customer's demand exceed/at odds with initial agreement

Poor project management

Poor initial estimating of project/task requirements (time, cost and resources)

Excessive paperwork and administration

Resources/skills not available, or siphoned off to more "critical" projects

No full-time team members (parallel processing of projects/tasks)

Team members are unmotivated-no sense of urgency

Dysfunctional team behaviour

Other (specify)

SIGNATURES

Project Leader	Program Manager
Date	Date

Attachment C3: VALUE CAPTURE EVALUATION - IMPLEMENTATION PHASE

Purpose : For completion by PMG and Project Leader at end of implementation phase.

(To be evaluated by Manager, Project Participants and Implementer at the end of implementation phase)

Project Number		Title	
Statement			
Value Capture (What went really well for this project?/ Lessons learnt during implementation phase)			
Comments			

Value Loss

(Please enter a rating between 0 and 4 in each box)

(0=not applicable; 4=key factor for value loss)

Effectiveness Loss

Incomplete implementation due to:

- Change in market
- Change in strategy
- Change in operations
- Poor quality R&D
- Limited resources
- Customer fails to meet implementation commitments
- Unforeseen roadblocks

Project not implemented due to:

- Implementation champion not appropriate or does not meet commitments
- Return on R&D not communicated to customer
- Other (specify)

Efficiency Loss

- Poor implementability of R&D solution
- Increase in implementation costs/resources
- Excessive paperwork and administration
- Other (specify)

SIGNATURES

Chief Executive Officer	Project Participant(s)
Date	Date