

# Project & Program Portfolio Management IS PPM-IS

(Mission, prerogatives and interactions)

**Responsible:** VPO-DSI / Head of Governance IS

**Distribution:** Vice-Presidents, PPM Members, SI Group Managers, Department Managers, Unit Managers, Project Managers, IT Service Managers, IT Security Managers, IT Architect.

## Tracking changes

Version	Date	Modification	Author(s)
0.1	30.06.2022	Creation	Salim Guerid, Alfredo Sanchez, Chiara Mugelli von Burg, Luc Tritten
3.0	10.03.2023	Approved 1 <sup>st</sup> version	PPM Members
4.0	28.05.2024	Approved 2 <sup>nd</sup> version	PPM Members

## Table of contents

1. CONTEXT.....	3
2. MISSION .....	3
3. ACTIVITIES OUTSIDE THE SCOPE .....	3
4. PROJECTS WITHIN THE SCOPE .....	4
5. PREROGATIVES FOR PROJECTS AND PROGRAMS.....	4
6. PROJECT AND PROGRAM MANAGEMENT .....	4
7. PROJECTS AND PROGRAMS FINANCIAL AND RESOURCE MONITORING.....	4
8. PPM MEMBERS .....	5
9. ROLES AND RESPONSABILITIES OF THE MEMBERS.....	6
10. MEETINGS FORMAT .....	7
11. DEPENDENCIES & COORDINATION .....	7
12. COMMUNICATION .....	8
13. DASHBOARDS & METRICS .....	8
14. PROCEDURES .....	9
14.1 Divergence management.....	9
14.2 Decision escalation and arbitration.....	10
14.3 Requalification of a “monitored activity” or a PPM-IS portfolio project .....	10
14.4 Simplified procedure / Excluding a project from PPM-IS portfolio.....	10
15. Abbreviations and glossary.....	11

## 1. CONTEXT

In 2021, the VPO decide to implement a Demand Management process (DM) and a Portfolio Management process (PM).

The DM process covers the life cycle of project requests: acceptance, evaluation, analysis, prioritization and launch of the project or termination of project application.

The PM process monitors the health of the entire portfolio of projects and programs and ensures that defined best practices are adhered to. It also includes assessing and monitoring dependencies between projects in the portfolio.

The VPO has set up a structure in charge of IT digitalisation projects and programs portfolio management: PPM-IS.

## 2. MISSION

- Maintain an overview of the health of the projects and programs portfolio (Key Performance Indicators KPI, risks, etc.)
- Ensuring that methodologies and standards are applied (ex. HERMES)
- Assess and monitor dependencies between projects, programs and other portfolios
- Provide support and advice to project and program stakeholders: Project and programs managers (CP), sponsors, steering committee members (SC)
- Evaluate and monitor schedules, scope and resource deviations (see chap.14)
- Report risky or critical situations to management bodies
- Share information on the sequencing of projects in the overall portfolio schedule, following decisions taken outside the PPM committee<sup>1</sup>
- Contribute to the continuous improvement of the PPM's processes

## 3. ACTIVITIES OUTSIDE THE SCOPE

- Challenging the strategic need for projects
- Managing or leading projects (project manager, sponsor or steering committee responsibility)
- Managing “monitored activities”, their budgets and associated resources
- Arbitrating the allocation of DSI human resources
- Managing urgent projects (refer to "*DM-MP-PPM Definitions v2.docx*")

---

<sup>1</sup> These decisions are taken at ad hoc meetings, organised for example between the IT department, the business units, Purchasing, HR and other areas or departments, depending on the needs/problems that arise during a project's lifecycle.

#### **4. PROJECTS WITHIN THE SCOPE**

Digitalisation or IS infrastructure projects and programs from Demand Management or Masterplans. Depending on their nature, the PPM-IS can requalify projects (see chap. 12.3)

#### **5. PREROGATIVES FOR PROJECTS AND PROGRAMS**

To accomplish its mission, the PPM-IS has the following prerogatives:

- Have access to progress reports provided by the project managers (costs, planning, risks, etc.) according to established frequency and rules or as needed
- Require and control the application of methodology and standards for project management
- Validate or block methodology-related phase transitions, validate project closures
- Recommend that the project or program be put on hold in agreement with the parties concerned
- Recommend project termination in agreement with the parties concerned

#### **6. PROJECT AND PROGRAM MANAGEMENT**

The project managers must comply with the quality standards defined by the PPM and in particular:

- Knowing and applying the HERMES project and program methodology
- Present new portfolio entries
- Present each phase transition or closure for validation
- Present project/program status according to established rules or as required
- Provide project progress reports at regular intervals<sup>2</sup>, according to established rules and schedules
- Cooperate transparently with the committee and comply with the PPM's decisions and recommendations.

#### **7. PROJECTS AND PROGRAMS FINANCIAL AND RESOURCE MONITORING**

The financial and resource monitoring of the PPM-IS must be carried out accurately by the project managers with regular updates in the specified tools.

The following items are required:

- Proactively report any variations to sponsors and PPM members.
- Monitor (real) costs, updated commitments and estimated future expenses
- Updated estimates of resources involved in projects (capacity planning)

---

<sup>2</sup> In Word format or as reports in the project reporting tools eg ServiceNow

- Formalise the financial situation and capacity planning of projects through project status reports and presentations to the PPM-IS.

## 8. PPM MEMBERS

The table below summarizes the roles and status of the various PPM-IS members. They are designated by the entity represented:

Nom	PPM role	Status
Bruce Colombet	PPM-IS Leader (ISGOV Head)	Permanent members
Rafael Corvalan	DSI Director	
Chiara Mugelli von Burg	PPM Coordinator (ISGOV-GE)	
Luc Tritten	PPM Financial Manager (VPO general staff)	
Alfredo Sanchez	Data and Project Manager (VPO general staff)	
Philippe Morel	ITOP Head	
Fatine Ezbakhe	VPA General staff	
Carole Guex Marmy	Presidency representative	Non- permanent (depending on the projects presented during the monthly meetings)
Olivier Colomb	VPF representative	
Patrick Jermann	VPA representative	
Lisa-Luna Letist	VPI representative	
Agnès Le Tiec	VPT representative	
Gaël Anex	Faculties representative	
Eric Cardoso Jean-Maurice Jeannerat	IS-AS et IS-CS Heads	

In addition to project managers and sponsors, the following additional people may be invited to PPM sessions on an ad hoc basis, depending on the needs:

Data Protection Officer Information Systems Security Manager IT Architecture Data Manager Services portfolio manager	Expert-consultants	Experts called upon for specific phases or subjects
--	--------------------	---

Service Desk representative EPFL buyers		
--	--	--

**9. ROLES AND RESPONSIBILITIES OF THE MEMBERS**

Each member (permanent or non-permanent) is responsible for :

- Participating actively in the PPM-IS decision-making processes
- Relaying the needs and constraints of the entities represented
- Contributing to risk identification
- Relaying relevant information to the organisational entity represented

The table below describes the responsibilities associated with each role:

<b>Role</b>	<b>Responsibilities</b>
<b>PPM leader</b>	<ul style="list-style-type: none"> <li>• Ensure that PPM-IS meetings run smoothly</li> <li>• Validate the agenda for PPM-IS sessions</li> <li>• Decide whether to accept or postpone phase transitions or closures</li> <li>• Validate the allocation of project budgets from the PPM-IS fund</li> <li>• Validate the allocation of additional resources based on reported variations and within defined limits</li> <li>• Decide, in collaboration with the PPM, whether to reclassify a project as an ongoing activity or vice versa, depending on the determining factors.</li> <li>• Decide to activate escalation procedures as required or in the absence of committee consensus.</li> </ul>
<b>PPM Coordinator</b>	<ul style="list-style-type: none"> <li>• Plan, organise and coordinate PPM-IS sessions</li> <li>• Obtain and consolidate project/program reports to present KPIs</li> <li>• Communicate PPM-IS information and decisions to relevant stakeholders</li> <li>• Ensure the application of PPM-IS standards by project/program CPs</li> <li>• Provide the necessary support to PCs and principals during the project/program life cycle</li> <li>• Propose continuous improvement measures for the PPM-IS processes</li> </ul>
<b>PPM Financial leader</b>	<ul style="list-style-type: none"> <li>• Monitor financing plans for projects and programs</li> <li>• Evaluate the impact of requested financial variations from allocated budgets</li> <li>• Evaluate and challenge project/program financial metrics at each phase transition or as needed</li> <li>• Coordinate with VPO, VPF and RFF financial managers</li> </ul>

<p><b>VPO Data &amp; Projects Manager</b></p>	<ul style="list-style-type: none"> <li>• Impact assessment in terms of cross-functional resources and other VPO project portfolios</li> <li>• Identify opportunities to optimise PPM-IS processes and promote the use of VPO standards</li> <li>• Report relevant PPM-IS information to O-Dir</li> <li>• Evaluate and challenge the use of VPO resources</li> </ul>
<p><b>ITOP Head</b></p>	<ul style="list-style-type: none"> <li>• Assess and report project requirements and their impact on IT infrastructure</li> <li>• Validate ITOP resource allocations and prioritisations</li> <li>• Coordinate project planning with IT infrastructure maintenance plans</li> <li>• Evaluate and coordinate information exchanges with PPM Construction</li> </ul>
<p><b>VPA, VPI, VPF, VPT, Presidency &amp; Faculties representatives</b></p>	<ul style="list-style-type: none"> <li>• Assess the impact of projects on the Presidency, Vice-Presidencies and Faculties</li> <li>• Report relevant information and decisions to the stakeholders represented</li> </ul>
<p><b>IS-AS &amp; IS-CS Heads</b></p>	<ul style="list-style-type: none"> <li>• Validate IS-AS and IS-CS resource allocations and prioritisations</li> <li>• Provide relevant elements of IS-AS and IS-CS digital domains to support phase transition presentations</li> </ul>

**10. MEETINGS FORMAT**

Frequency: 1x per month (or exceptionally) in hybrid format (face-to-face and remotely)

The agenda is divided into three parts:

- **Entry of new projects/programmes into the portfolio**

At the following intervals:

- Demand Management: 15 May, 15 September, 15 January
- Masterplans: throughout the year, according to schedule

- **Presentation of progress/phase transition**

The project managers and their sponsors present the relevant elements, according to the defined timeline, in order to obtain validation of the phase transition or project closure.

- **Portfolio health check**

The PPM-IS Coordinator presents the state of health of the portfolio and reviews the relevant risks for the past and future period as well as the dependencies between projects.

**11. DEPENDENCIES & COORDINATION**

The following levels of dependency have been identified:

- **Dependency between projects in the PPM-IS portfolio**

Analysis, coordination and reporting by the PPM Coordinator

- **Dependency between the Infrastructure and PPM-IS portfolios**

Analysis, coordination and reporting by the ITOP Head

- **Dependency on other VPO projects and portfolios**

Analysis, coordination and reporting by the VPO General Staff

## 12. COMMUNICATION

The matrix below defines the different communication/information channels and those who are responsible for them:

Recipient	Channel	Frequency	Format	Responsible
Presidency / Vice-presidencies / Faculties	Dashboard	Monthly/Real time		PPM Coordinator
	Project status reports	Monthly/quarterly	+	Project Manager
	Members invited to PPM meetings	Monthly		Invited members
Sponsors	Project status reports	Monthly/quarterly	+	Project Manager
	PPM-IS minutes of the meeting	Monthly		PPM Coordinator
PPM Members	Dashboard	Monthly/Real time		PPM Coordinator
	PPM-IS leader	Monthly /according to need		PPM-IS Leader
CPs	PPM-IS	Monthly /according to need	ou	PPM-IS Members
	PPM-IS minutes of the meeting	Monthly		PPM Coordinator

## 13. DASHBOARDS & METRICS

The PPM-IS Coordinator provides KPIs to visualise the health of the portfolio and projects. These indicators reflect the health of the portfolio in terms of financial and human resources, risks, deadlines and scope.

The KPIs and various dashboards are updated on a monthly basis and are subject to continuous improvement.



**14. PROCEDURES**

**14.1 Divergence management**

A. For digital projects:

The Sponsor must approve variations in planning, scope and resources (\$ and HR). Some variations may be submitted to the PPM-IS for assessment in accordance with defined rules. Based on the information received, the PPM-IS reviews the impact of the change on the portfolio and on resources and takes a decision within the limits defined below.

Beyond the following limits, the PPM-IS reports the changes to the Demand Management team.

Topic	PPM’s limit of approval
Budget	<ul style="list-style-type: none"> <li>• <b>+50K CHF</b> versus initial budget<sup>3</sup> of the project or operations cashout (excluding internal resources) and approved in Demand Management or Masterplans</li> </ul>
DSI Human Resources (cross-functional technical resources) <sup>4</sup>	<ul style="list-style-type: none"> <li>• At the discretion of DSI services heads</li> </ul>

B. For infrastructure projects:

Components	PPM’s limit of approval
Budget	<ul style="list-style-type: none"> <li>• <b>+100K CHF</b> versus initial budget<sup>5</sup> of the project or operations cashout (excluding internal resources) and approved in Demand Management or Masterplans</li> </ul>
DSI Human Resources (cross-functional technical resources) <sup>6</sup>	<ul style="list-style-type: none"> <li>• At the discretion of DSI services Heads</li> </ul>

C. For Programs :

Budgetary or resource variations linked to the components of a programme (project) are arbitrated at programme management level according to the defined envelope.

If the PPM-IS is unable to reach a consensus the PPM-IS leader must activate the escalation process.

<sup>3</sup> Including initial budgets exceeding 230KCHF and including budgets financed outside the VPO

<sup>4</sup> Sponsors and project managers are responsible for the risks of exceeding business line resources

<sup>5</sup> Including initial budgets exceeding 230KCHF and including budgets financed outside the VPO

<sup>6</sup> Sponsors and project managers are responsible for the risks of exceeding business line resources

## **14.2 Decision escalation and arbitration**

If arbitration cannot be reached during a PPM-IS meeting, the PPM-IS leader must involve the following bodies in the following sequence:

1. DSI-Dir
2. O-Dir
3. Demand Management

The PPM-IS leader organises arbitration meetings with the body concerned and the stakeholders. Final decisions are communicated by the PPM-IS leader to the stakeholders.

## **14.3 Requalification of a “monitored activity” or a PPM-IS portfolio project**

Under certain circumstances, and if the variation linked to a “monitored activity” exceeds the threshold defined for the project (budget and HR thresholds exceeded), the PPM-IS leader may propose to upgrade the activity to a project in the PPM portfolio. Depending on the life cycle, the nature of the activity and the resources required, she/he may also decide to submit it to the Demand Management process for analysis and decision.

The same applies to projects in the PPM portfolio that no longer meet or exceed the defined thresholds, and which are reclassified as “monitored activities” or are returned to the Demand Management process.

The following criteria are assessed as part of the requalification process:

1. Total cost of the project over 5 years (including investment and operating costs)
2. Strategic importance for EPFL's IS or the school's key processes
3. Risk and impact of cyber security and data protection

The PPM-IS leader takes the final decision on whether to include a “monitored activity” into the PPM's portfolio or to exclude a project from this portfolio (and transfer it to a “monitored activity” portfolio), in collaboration with sponsors et business representatives. The decision is shared during PPM-IS monthly meetings.

## **14.4 Simplified procedure / Excluding a project from PPM-IS portfolio**

If the nature of an IS project represents only a limited risk and the expenditure does not consist of acquiring a new IT system, the IS PPM leader may decide to exclude a project from the portfolio. The purpose of this exceptional procedure, based on good risk management, is to avoid making it more difficult to achieve the objectives of an IS activity without good reason. An exception analysis grid is presented to the PPM members during the monthly meetings, in order to validate the requalification decision.

## 15. Abbreviations and glossary

Abbreviation / word	Explication
Monitored activity	These are mainly projects that have not been selected for the PPM project portfolio (after an analysis by Demand Management, the PPM committee or the DSI)
Other portfolios	Monitored activity portfolio and transition portfolio
SC	Steering Committee
PM	Project Manager
DM	Demand Management
DSI-Dir	Information Systems Direction (made up of the DSI Director and her/his heads of services)
CPO file	Total Cost of Project and Operations = the sum of the project costs plus the operating costs for the 5 years following the project
HERMES	Project and program management method HERMES 5.1; it is an eCH standard.
MP	Masterplans: Multi-year vision of future projects (construction, renovation, technical maintenance and IS upgrades)
O-Dir	Weekly meeting attended by the VPO, domain directors (DSI, DA, DRH, DSE, DDC) and VPO's general staff
PM	Project Management (PMc): All the activities required to deliver a project on time and within budget.
PPM	Project Portfolio Management: (PPM): Management and monitoring of all the projects in a portfolio. It is not the management of the project itself.
PPM-IS	PPM-IS: Portfolio of digitalisation and IT infrastructure projects

**End of document**