PPM **programme & project** management

South African Government Extension to the GTAC PPM Toolkit

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Version: 1
Release Date: November 2020

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1. Introduction

The Government Extension to PMBOK provides information on managing projects within the unique environment of the Public Service. It may also have application in specific circumstances for public entities or the local sphere of government.

This guide builds on the Programme and Project Management Guides and Tools developed by the Government Technical Advisory Centre (GTAC).

This guide is based on the Project Management Model, illustrated in the figure below. The model for project management in the Public Service is composed of three main components:

See Section 197(1) of the Constitution (Act 108 of 1996 (as amended)) for the definition of the public service.

Chapter 7 of the Constitution addresses the definitions related to the local sphere of Government. (https://www.gov.za/documents/constitution-republic-south-africa-1996)

Refer to the Public Service Act, Public Service Regulations and related prescripts from the DPSA (http://www.dpsa.gov.za/legislation.php
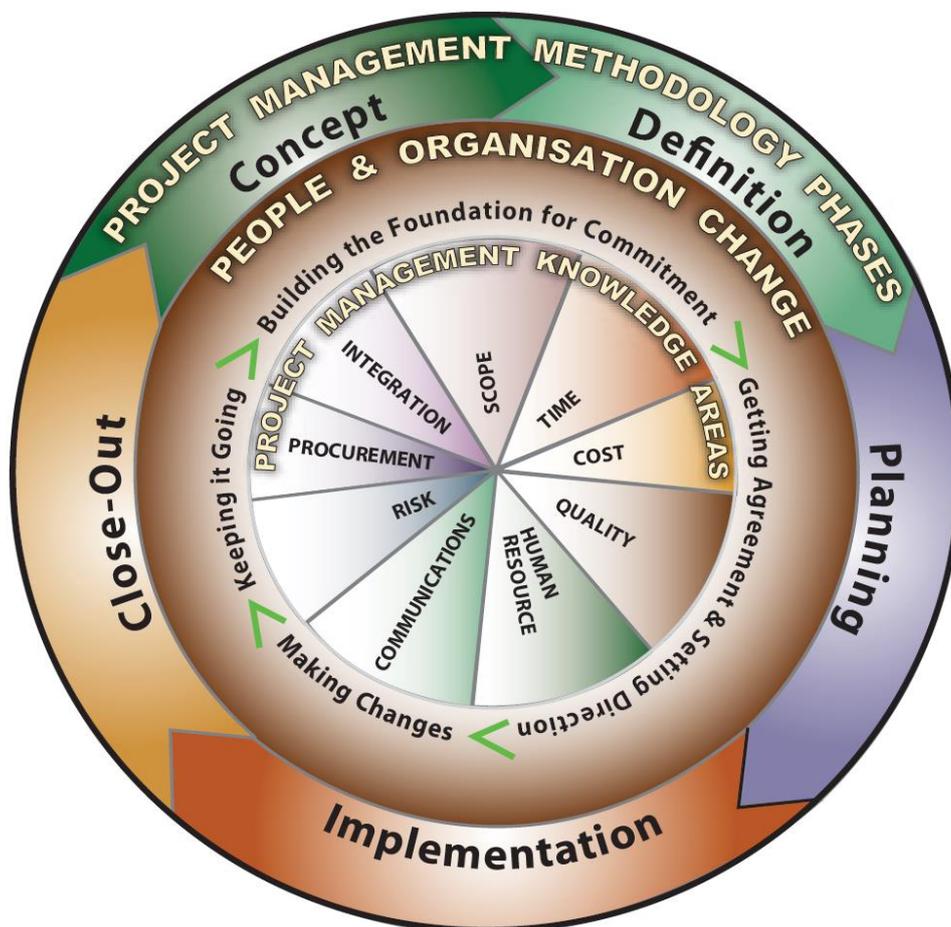
Figure 1: The Integrated Project Management Model

- The **nine PMBOK® Guide (published by the Project Management Institute®) project management knowledge areas** form the centre for this model, since the generally recognised knowledge described in these areas is the basis for sound project management. These knowledge areas cover all the various aspects, processes, tools

and outcomes of a project that need to be considered and incorporated into the project life cycle.

- The middle ring represents the importance of understanding the **people & organisation change management principles** that need to be considered, and actions that need to be taken in order to manage the impact of the project on the people and organisations involved. Four phases of the Change Design model are illustrated in this ring.

- The outer ring illustrates the **five phases of the customised Public Service Integrated Programme and Project Methodology**. The methodology seamlessly incorporates the principles and practices of the two inner rings into a step-by-step methodology that is organised into the five phases.

In this guide each project phase is set out in terms of the outcomes[1] and outputs and key activities describing why particular activities are required, by whom and what stage and ends with a key deliverable and decision point.

Each project phase is colour coded for ease of reference and supported by a table in **Appendix A** listing the guides, tools and templates available[2] to the project management practitioner.

This guide provides specific linkages to the five phases of the project cycle identified below. The user is required to refer to the relevant guides, tools and templates and these are not repeated herein.

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[1]   Refer to the National Treasury Framework for Managing Programme Performance Information, the Framework for Strategic Planning and Annual Performance Plans and related Results Based Management literature for definitions and examples of outcomes, outputs and activities.

[2]   https://www.gtac.gov.za/publications-and-resources/toolkits-methodologies-and-manuals/ppm-toolkit
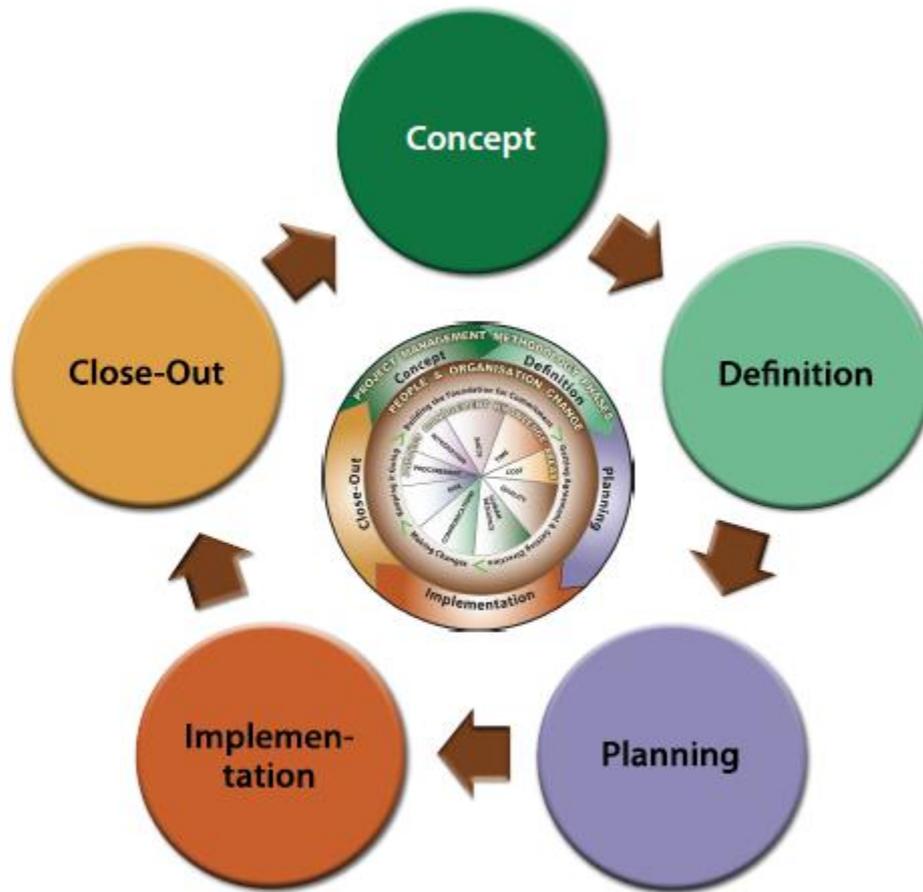
1.1 Purpose of the Government Extension

The *PMBOK Guide* Third Edition sets forth the subset of the Project Management Body of Knowledge that is generally recognised as good practice. It provides an overview of **practices that apply to most projects most of the time**, and for which there is widespread consensus about their value and usefulness. The concept of good practice implies that the correct application of skills, tools, and techniques not only can increase the chances of project success, but can be extended to many diverse application areas.

The key characteristics of public sector projects are listed below.

Appendix D of the *PMBOK Guide* describes application area extensions. Application area extensions, such as this government extension, are

> The PMBOK Guide set the basis for the development of the GTAC Programme and Project Management Guides and Toolkits.
>
> This Government Extension supplements all the GTAC PPM material and focuses on the South Africa Public Sector.
>
> All the GTAC PPM material is available at
> https://www.gtac.gov.za/publications-and-resources/toolkits-methodologies-and-manuals/ppm-toolkit

necessary when there are generally accepted knowledge and practices for a category of projects in one application area that are not generally accepted across the full range of project types in most application areas. Application areas reflect:

- Unique or unusual aspects of the project environment of which the project management team must be aware in order to manage the project efficiently and effectively

- Common knowledge and practices that, if followed, will improve the efficiency and effectiveness of a project (e.g., standard work breakdown structures).

Projects undertaken by government organisations are primarily funded by and executed for the benefit of citizens, rather than for financial results. To this extent, the focus of the *Government Extension to the PMBOK Guide* –Third Edition centres on two distinguishing factors peculiar to public service / public sector[3] organisations that can affect project governance:

- The law which stipulates precise terms for the execution and enforcement of fiduciary, managerial, and socio-political responsibilities

- Responsibility of the project team to serve as stewards of the public interest.

This Government Extension provides a framework for improving the management of public service projects. The recommendations presented here are focused on providing guidance in managing the intricacies of SA government project specifics. They provide guiding principles for ensuring the efficiency and effectiveness of project controls to allow accountability to South African citizens, as required by public law (see text box) as applicable.

This extension serves as a foundational reference for anyone involved in or with the profession of project management, working for or doing business with public sector organisations. This includes, but is not limited to:

- Political leaders / Executive Authorities

- Accounting officers

- Senior executives

- Programme managers and managers of project managers / Project Sponsors (See Guide to Project Sponsorship)

- Project managers and other project team members

- Members of a project management office (see Programme / Project Management Office Set Up Guide)

- Functional managers with employees assigned to project teams

> This broadly encompasses The Constitution, The Public Finance Management Act, The Public Service Act, The Municipal Structures Act, The Municipal Systems Act, The Municipal Finance Management Act (amongst others) and the related regulations, prescripts and directives) (https://www.gov.za/document/latest)

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[3]   For ease of reference, the terms public service and public sector are used interchangeably.

- Internal and external auditors, and project personnel who define and assess project controls

- Public Sector trainers developing project management educational programmes

- Researchers analysing public sector project management / projects

- Public sector monitoring and evaluation practitioners.

> It is not possible to include a comprehensive list the legislation applicable to the government projects or the government environment.
>
> It is imperative that the project management team understand the core mandates applicable to their institution.

For the definitions related to project management and related terms, refer to the following 4 guides that are central to the overall approach:

- Project Management Summary Guide

- Project Management Framework

- People and Organisational Change Framework

- Project Management Methodology

> All the GTAC PPM material is available at https://www.gtac.gov.za/publications-and-resources/toolkits-methodologies-and-manuals/ppm-toolkit

1.1.1   Why are Government Projects Unique?

Government projects are generally considered to have distinct characteristics from those in the private sector. The project management team must recognise the following unique characteristics in order to manage the project efficiently and effectively:

- **Legal constraints on government projects**

  Although private sector projects may be subject to certain laws and regulations, government projects are generally subject to additional laws and regulations that can significantly impact government projects. Government bodies establish laws and regulations that set clear limits on the government body, the executive leadership, and the ministries, agencies, and departments. To proceed beyond these limits, government officials generally must obtain permission from the government body or from an administrative body having delegated authority if granted, this permission can take the form of the necessary approval, a change in the law or a waiver of a legal requirement.

- **Accountability to the public**

  In private sector projects, project managers are accountable to the immediate client and a limited number of stakeholders such as shareholders, employees, etc. However, in government projects, the project managers are accountable to many stakeholders beyond the immediate client (usually citizens). In the public sector, participants in the accountability process are internal and external to the government body. Internal participants can include various members of the government body including the executive leadership and representatives of ministries, agencies, and departments, as

well as employees. External participants include members of the public, special interest groups, the press, and other spheres of government. All of these participants in the accountability process may have the right to challenge or protest decisions made by project managers in public sector projects

- **Utilisation of public resources**

  Government budgets are funded with public resources that come from *mandatory* taxes, duties, and other fees that require budget authority to obligate and subsequently spend, or outlay, the funds. Execution of budget authority is generally a three-step process:

  - Funds are *committed* through the national or provincial budget legislative process that reflects consensus of the legislative body

  - Funds are *obligated* when a procurement action is undertaken and completed

  - Funds are *outlaid* when the goods are delivered or services are rendered.

  The project manager has a duty to use the public funds to meet the goals set by government bodies – usually outlined in the Strategic Planning and Annual Performance Plans. The approval and budgeting process, as well as financial and scope control mechanisms, help to ensure that the expenditure of funds collected from mandatory sources complies with applicable laws and regulations, and that funds are well utilised to provide better public service for the citizens. Although Costs Benefits Analysis and Return on Investment (ROI) are sometimes used in the public sector to evaluate government projects, project success is more often measured in benefits to the public rather than revenue or cost savings to the government body.

  Project decisions should be guided by professional judgment consistent with the public interest and trust. Officials, project managers, and auditors are entrusted with the responsibility to ensure that public resources are used efficiently and effectively.

1.2 Project Management in the Government Context

The *PMBOK Guide* characterises programme management as *"the centralised, coordinated management of a group of projects to achieve the programme's strategic objectives and benefits."* Their strong focus on strategic planning distinguishes such projects from more tactical projects.

In the private sector, projects are aligned with strategic plans and company objectives, and may be part of programmes or portfolios. In large companies, such project hierarchies are formalised most of the time, whereas in small or mid-size organisations, the projects might only have implicit interdependencies.

This extension applies to three generally recognised spheres of government namely the national, provincial and local spheres who must conduct their activities in accordance with the principles of co-operative governance

The Budget allocates money between the three spheres of government (national, provincial, local) based on revenue collected. The national and provincial budget process is a continuous cycle that runs from April to March every year. (See "How the Budget Works –

https://www.parliament.gov.za/educational-publications)

The Medium-Term Strategic Framework (MTSF) and the Medium-Term Expenditure Framework (MTEF) set the basis for medium-term planning and expenditure in government. (https://www.dpme.gov.za/keyfocusareas/outcomesSite/Pages/mtsf2021.aspx)

as well as specific legislation. (see Chapters 3, 4, 5, 6 and 7 of the Constitution as well as the PFMA, PSA, Intergovernmental Relations Framework Act).

1.2.1   Project and Stakeholder Interdependencies

Government projects are determined by the government's agenda (National Development Plan, Medium Term Strategic Framework, New Growth Path, Economic Reconstruction and Recovery Plan and other relevant government policy statements), and have to be approved and budgeted in advance. Government projects are not normally analysed on an individual basis; for larger bodies (such as national and provincial governments), it is more practical to group them as programmes from a budgeting, accountability and control perspective. The long approval and budgeting cycles require government projects to be much more strategically oriented than private sector ones.

In the public sector, not only is there a higher percentage of projects that are part of programmes than in the private sector, but project interdependencies are more clearly identified and documented. The governance and management flows hierarchically from political agenda items down to the execution level (as represented by projects).

In most cases, the stakeholders involved at each level represent and draw authority from the stakeholders involved at the upper level in the hierarchy. For example, if a government agenda item requires cooperation at the programme level from two departments / agencies, the specific branches or divisions and stakeholders within each department / agency would be involved.

1.3 Structure of the Government Extension

The *Government Extension to the PMBOK Guide Third Edition* is organised into the following three sections:

- The Project Management Framework

- The Standard for Project Management of a Project

- The Project Management Knowledge Areas

> Pronouncements in the State of the Nation / Province **must** be backed by budget (and related resource) commitments to be activated as Programmes / Projects

As noted above, reference must be made to the GTAC PPM guides, tools and templates.

1.3.1   Programmes and Programme Management

See Section 2.3 of the GTAC Project Management Framework, with an understanding that programmes are generally more common in government than in the private sector. In government programmes, there is often far more emphasis on the ongoing operations described in the PMBOK Guide definition and, in some cases, some government bodies classify ongoing operations themselves as a programme. Further, some departments /

agencies also treat programmes like portfolios of projects. Unlike commercial programmes, government programmes are used to set social goals, provide social services, and set priorities through public discourse (meetings and voting) and accountability (audits, hearings, legal actions, and the media).

Government bodies, especially larger departments, generally appropriate funds to programmes rather than to individual projects. The legislative body sets programme goals and priorities but cannot review the details of every project. For example, such bodies may appropriate funds for a programme of school improvements, with rules for how the funds are to be divided among individual projects. The government body has the authority to fund and then later redirect programme funding to other purposes, provided there is a clear and legal authority to do so.

On the other hand, in local governments, the legislative body (Council) may appropriate funds for individual projects and/or programmes. A local body may, for instance, appropriate funds for an individual project involving new local water reticulation or bulk water supply improvements. The use of public funding, public accountability and setting of social goals that are measured in social good rather than return on investment make government programmes unique.

2. Project Life Cycle and Organisation

2.1 The Project Life Cycle

A responsible government department or agency will require an executive to submit intermediate deliverables during project development. The phases of government projects often correspond to these deliverables. For the purpose of this chapter the phases referred to are as per the box on the right.

As noted above, applicable areas have different guides. The PMI have also issued a Construction Extension. Government construction projects, for instance, typically have the three phases with subphases as shown below:

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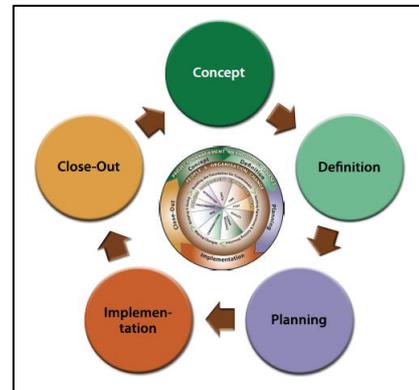
a) **Origination**
Origination document, used to obtain funding

b) **Planning and Design**
Alternative selection (planning – which is often controlled by environmental law and regulations. In SA, Environmental Impact Assessments, or EIAs, are a key tool in effective environmental management[1].

Bid Documents (design) controlled by public law. (Refer to Supply Chain legislation, regulations and guides – www.treasury.gov.za for the latest legislation, regulations and directives)

c) **Procurement**
Property acquisition
Construction

2.2 Project Stakeholders

The GTAC Project Management Framework and Stakeholder Analysis Tool lists key stakeholders on every project, including the project manager, customer, performing organisation, project team members, and sponsor. On government projects, the project manager, customer, and project team members are the same as on private sector projects. The performing organisation is a department or agency that reports to the executive. The sponsor is either an executive official or a government body.

Government projects have several other key stakeholders:

- *The general public*. In addition to participation through their representative bodies, individuals and organisations may participate directly in a project through public hearings and reviews, as well as in lobbying efforts for and against the project, and for and against the various project alternatives.
- *Regulators*. These are individuals or organisations that must approve various aspects of the project. Regulators enforce rules and regulations. They are actively involved in the project, but generally have no interest in its success, since it will not affect them.

Regulators are either agents of a higher government, or of another agency in the same government as the performing organisation. Inadequate communication between the project manager and regulators can delay or even destroy a project.

- o National government projects are regulated by national government agencies. They are generally not subject to regulation by regional and local governments. National projects may also be regulated by international compacts such as the European Union, African Continental Free Trade Agreement (AfCFTA), General Agreements on Tariffs and Trade (GATT), and Convention on International Trade in Endangered Species (CITES).
- o Provincial government projects are subject to the same regulation as national government projects and are also regulated by other provincial government agencies.
- o Local government projects are subject to the same regulation as regional government projects and are also regulated by other local government agencies.

- *Opposition Stakeholders.* Though not found in every project, this is a special class of stakeholders who perceive themselves as being harmed if the project is successful. An example is the homeowner who lives beside a park that is to be converted into a highway. Early involvement of opposition stakeholders may result in a more positive outcome for all stakeholders.
- *The Press.* In countries that have freely elected governments, such as South Africa, the press is always present on major projects where large sums of money are involved. The press has a duty to report on the project in an objective manner, but often focuses more on problems than successes.
- *Sellers*. In the procurement process, these are often significant stakeholders.
- *Future Generations*. During their limited tenure, governments have a responsibility to future generations regarding long-term debt, viable and affordable infrastructure, and a feasible environment.
- *The Private Sector*. The private sector provides counterpart funding and participates in public-private partnerships.

2.3 Organisational influences

The electoral cycle exerts an intense organisational influence on government projects and, consequently, projects must demonstrate policy success. If there is a change in the leadership of the government, there is the possibility of a reversal or change in policy, which can dramatically affect the life of the project.

It is critically important that the project officials document all process and changes, especially those brought about by an exertion of pressure. The importance of separation of the Executive and Accounting authorities cannot be over-emphasised.

2.3.1 Organisational Systems

The budgeting system and process for government projects are controlled by policy and law. Funds are budgeted for a specific time period. Projects compete for new funding for each fiscal year. Organisational systems and governance programmes which ensure that projects meet

the required standards for the government entity can cause delays in project progress and, in some cases, termination of the project due to expired funding.

Many times, the programme office is separate from the project office. There must be an open and active communications system to keep any stakeholders informed of any potential changes to the status of the project and its ability to meet the requirements in fulfilling the mission of the organisation.

The system of public scrutiny, allowing the public to hear both sides of the story, is necessary to ensure that the voter population is informed and understands both the advantages and disadvantages of the project. This area needs greater attention to ensure project success.

The systems in place for government procurement are heavily regulated, and consequences for non-compliance can be severe, depending upon the nature of the violation. Procurement laws and regulations are under constant scrutiny and project managers need to ensure that they fully comply with the most recent proclamations / directives.

Systems for collecting, managing, and maintaining government records are required to meet the standards defined by law. The project archive must be maintained for the required number of years and in the required format as prescribed by governing records and managing standards.

2.3.2   Organisational Cultures and Styles

Communications requirements unique to government planning relate primarily to establishing a culture of information sharing in a functional bureaucracy. Government departments tend to be compartmentalised – "not projectised". Therefore, when inter-governmental communication will be required, consideration as to how this will be accomplished should be planned into the project. This applies to the necessary approvals at inter-ministerial level, if necessary. As noted above, the impeccable documentation of these decisions is critical.

In many organisations, performance contracts for project managers and team members are common. The contracts are linked to the relevant key performance indicators of the specific programme being managed, and are monitored as part of the project evaluation reports. Performance measurement in government is likely to involve scrutiny by independent departments / agencies (for example, the DPME, Auditor General, Public Protector).

The ability of citizens in many countries to view almost all government records, with a few non-absolute exceptions (prompted by secrecy and invasion of privacy laws), may restrict project managers in maintaining confidential information

2.3.3   The Role of the PMO in Organisational Structures

Project management offices (PMOs) can be vital to the success of government projects. The ability to provide up-to-date source-driven project information can be very important to the continued life of the project and the successful transition from one project phase to another.

See: Programme / Project Management Office Set Up Guide

Many government projects have multiple vendors, stakeholders, inspectors, etc. involved in the operations and oversight of the project activities, and these complex relationships would

be more difficult to coordinate without a PMO. The use of a fully functioning PMO depends on the size and complexity of the project at hand.

A well-designed and developed PMO[4] facilitates the active participation and review of all parties. It can also serve as the repository for all project records, including correspondence, memos, reports (written or electronic), presentations of content, and any other documents describing and detailing the project. This information may become available to the public.

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[4]   The PMO set up guide is available on the GTAC website (https://www.gtac.gov.za/publications-and-resources/toolkits-methodologies-and-manuals/ppm-toolkit)

3.   Project Management Processes for a Project

Project management in the government sector utilises the same Project Management Process Groups as in the private sector. However, it should be noted that enterprise environmental factors in government require rigid application of certain processes to comply with laws and regulations.

In the South African Government context please refer to the following key documents:

- Project Management Summary Guide

- Project Management Framework

- People and Organisational Change Framework

- Project Management Methodology

The Government Extension has not brought about any changes to the issued GTAC PPM guides and tools.

The generic project management life cycle is displayed in the **GTAC Project Management Methodology**.

The methodology life cycle is organised into five phases:
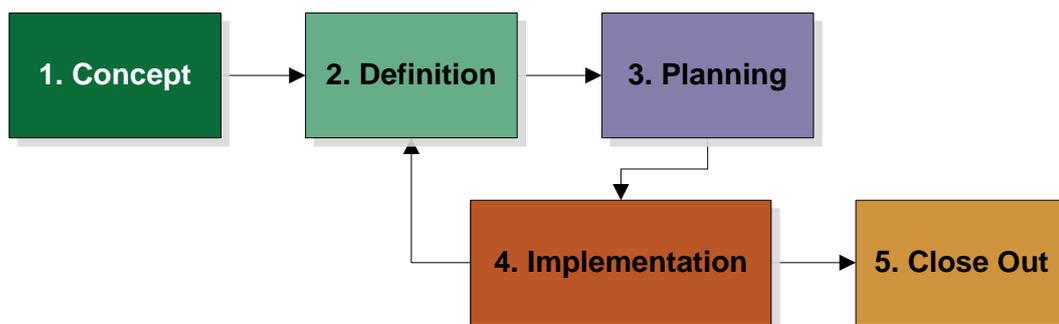
4. Project Integration Management

Project Integration Management includes "the processes and activities needed to identify, define, combine, unify, and coordinate the various processes and project management activities within the Project Management Process Groups." Chapter 4 of the GTAC Project Management Framework describes seven major integrative project management processes in greater detail:

- Develop Project Charter
- Develop Preliminary Project Scope Statement
- Develop Project Management Plan
- Direct and Manage Project Execution
- Monitor and Control Project Work
- Integrated Change Control
- Close Project

Refer to PPM Guide and the relevant templates

In many instances, government projects – and the priority accorded to them – result from public policy requirements, which stipulate that project managers ensure there is clear and continuing integration between these policy requirements, the programme, and the project's scope and deliverables. Changes in policy might affect the programme and, in turn, cause the project to be modified or even terminated. The issue of Fruitless and Wasteful Expenditure needs to very carefully considered.

Fruitless and wasteful expenditure refers to expenditure that was made in vain and could have been avoided had reasonable care been taken. (PFMA)

With effect from 2020, the Public Audit Amendment Act[5] **empowers** the Auditor General to refer material irregularities to relevant public bodies for further investigations in accordance with their mandate. Additionally, failure to implement the AG recommendations may result in the issue of a "Certificate of Debt" to recover the financial loss. The public, servant project manager, Accounting Officer and / or the Executing Authority may be held liable in their personal capacity or jointly and severally liable for the recovery any losses to the state.

4.1 Develop Project Charter

Government projects may be initiated in order to achieve a specific policy goal of the administration, for example, a reduction in budget deficit, or to achieve an essentially political goal, such as the nationalisation or privatisation of a utility. However, the more common reasons to initiate a public sector project are:

- Public health needs (such as mass immunisation, hospitals, sanitation, water purification, research, and food and pharmaceutical administration)

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[5]   https://www.agsa.co.za/AboutUs/Legislation/PublicAuditAct.aspx

- Public safety needs (such as defence, police and fire protection, disaster prevention and mitigation, crime prevention and drug trafficking control)

- Welfare, socioeconomic, and environmental needs (such as community development, poverty alleviation, education and schools, water supply, transportation and roads, energy, social security, environmental protection, and parks and recreation).

See: GTAC PPM Guide to Charter Writing and the Definition Phase Templates.
The end product is the Project Charter

4.2 Project Close Out: Project Files

In government projects, the keeping of government records, including project files, is often required by a myriad of laws, regulations, and policies. The objective of these laws, regulations, and policies is to assure that project files may be accessed many years after completion of the project and understood by those unfamiliar with the project.

National Archives and Record Service of South Africa Act sets the basis for government archiving and record keeping.

The project files are maintained for the number of years prescribed by the laws, regulations, and policies applicable to the government body.

5. Project Scope Management

5.1 Scope Planning

Section 5.1 of the GTAC Project Management Framework, describes the processes involved in ascertaining that the project includes all the work required, and only the work required, to complete the project successfully. It consists of the Scope Planning, Scope Definition, Create Work Breakdown Structure (WBS), Scope Verification, and Scope Control.

The following additions (to the PMBOK Third Edition) better express the scope planning ground rules that are unique to public sector projects. Whether the organisation is setting initial scope, revising the scope after the project is underway, or deciding whether to authorise the next phase, all government entities are subject to two overarching controls: **spending authority and public accountability.**

When planning and executing scope, government entities are expressly prohibited by law from: (a) spending in excess of the approved budget without additional spending authority; (b) spending budgeted programme funds on something other than that for which they were intended/budgeted; and (c) fraud, waste, and abuse of programme funds (for instance, spending to meet budget levels so as to avoid losing the unspent funds).

Discussion of these controls provides a good transition to other chapters dealing with specific areas of project control, such as cost and risk management.

Refer to PPM Guide and the relevant Project Planning Templates

5.2 Scope Definition

Section 5.2 of the GTAC Project Management Framework, begins with the recognition that government projects are faced with unique scope definition challenges in the context of citizen-driven activity. Due to the presence of the general public as the ultimate stakeholder for government projects, the identification and conversion of stakeholders' needs into specific project requirements might become a never-ending task.

When addressing essential services like health, education, fire and police protection, utilities, etc., the public sector project scope must include a requirement of continuous service delivery throughout the project implementation.

For both new products and the enhancement of existing product initiatives, scope definition methods, such as packaging sets of desired changes in releases or phases, are primarily driven by political or social criteria (e.g., the need to implement a law change in an existing system by a certain date), not by efficiency factors (as is usually the case in the private sector).

Other elements of scope definition (inputs, tools and techniques) remain the same in the third edition.

5.3 Stakeholder Analysis

Particular attention is drawn to Stakeholder Analysis in the PMBOK Government Extension. While not regularly an input on projects undertaken in the private sector, stakeholder analysis

has a definite impact in the definition of work packages for public sector projects, due to hard boundaries between executing organisational stakeholders.

It is not unusual for multiple ministries or agencies to execute a joint project, but, in most cases, this will result in separate project teams within each organisation that will only coordinate activities through a few predefined communication channels. By contrast, in a private sector project, a similar issue would usually be resolved by creating a single, cross-functional project team based on efficiency criteria.

An additional consideration in a public sector project's Work Breakdown Structure (WBS) is the involvement of "opposition stakeholder" analysis. Involvement of opposition stake-holders in this early creation of the WBS may assist in a more "positive outcome" for all stakeholders. An additional consideration in public sector projects is the involvement of regulators, opposition stakeholders, the press, etc. (see above) in the creation of the WBS and definition of work packages.

5.4 Scope Verification

Section 5.4 of the GTAC Project Management Framework describes Scope Verification as stakeholders' verification and acceptance of the level of completion achieved by a project's deliverables.

Since the ultimate stakeholder in a government project is the general public (which is not usually directly involved in the project), this verification is fulfilled through specific project controls such as compliance and public accountability.

While each sphere of government may have unique characteristics, project controls that ensure governmental integrity are maintained across all public sector initiatives.

5.5 Scope Control

See Section 5.5 of the GTAC Project Management Framework, with the recognition that governmental projects are more exposed to external influences (e.g., political disturbances, programme-level impacts, etc.) depending upon circumstances outside a project's sphere of control or influence. Scope is always subject to change based on various influences – most of them socio-political – and these changes are usually reflected through budget adjustments based on priorities of the current political agenda.

6. Project Time Management

Chapter 6, Project Time Management, describes the processes concerning the timely completion of the project. It consists of the Activity Definition, Activity Sequencing, Activity Resource Estimating, Activity Duration Estimating, Schedule Development, and Schedule Control project management processes.

The bulk of the chapter refers to the existing Guides and Templates.

Refer to PPM Guide and the relevant Project Planning Templates

6.1 Schedule Development: Inputs – Project Scope Statement

In addition to the inputs described in Section 6.5. of the GTAC Project Management Framework, the annual budget cycle is a unique, and often most difficult, constraint for government projects. Budgets are typically for one fiscal year at a time. This means that projects and programmes often must be divided into one-year slices. Use it or lose it provisions generally require funds to be spent by the end of the fiscal year.

Project delays can cause the loss of funding if work moves from one fiscal year into the next. Fortunately, funds are generally appropriated to programmes rather than individual projects (see Section 1.6 of this document). Effective programme managers can often move funds between projects to minimize the overall loss of funding. However, some very large projects keep their budgetary identity. No movement of funds to or from one of these projects can be processed without clearance by the National Treasury or those to whom the government has delegated that authority.

6.2 Line-Item Projects

These projects are added to the budget by the representative body on a project-by-project basis. They often are not supported by a proposal from the executive / council (see Section 2.1.2).

The representatives set their schedules and budget. As a result, these projects may have poorly defined scopes, inadequate funding, or unreasonable schedules.

The project manager must work with the customer expeditiously to determine the scope of work and the appropriate acquisition strategy to accomplish the project within the time constraints.

6.3 Schedule Development: Tools and Techniques –

See Sections 6.5. of the GTAC Project Management Framework. In addition to these tools and techniques, another, which is common in government projects, is described below:

6.3.1   Obligations

Obligations, encumbrances or commitments help to address the annual budget cycle constraints (see Section 6.5.1.2 of the PMBOK Guide for additional information).

They are useful on projects with large procurements, but can be used only if the representative body or the relevant Treasury enacts rules to make them possible. It is possible to obligate the funds if they are contractually committed before the end of the fiscal year.

An obligation places the contract funds into a separate account / fund that can be used only for the specific contract. The funds remain available for additional years, depending upon the rules set by the governing body. This technique avoids the need to appropriate funds in each fiscal year. Obligations are also used in intergovernmental agreements, sometimes called transfer payments.

7. Project Cost Management

Chapter 7, **Project Cost Management**, describes the processes involved in planning, estimating, budgeting, and controlling costs so that the project is completed within the approved budget. It consists of the Cost Estimating, Cost Budgeting, and Cost Control project management processes.

Section 7.1 on Cost Estimating has not changed.

Refer to PFMA, MFMA and the relevant Regulations and Treasury Instructions / Directives regarding "in-year monitoring", Quarterly Reports and the Annual Report Cycle.
This has to be within the context of the Medium-Term Expenditure Framework

7.1 Cost Budgeting

As stated in GTAC Project Management Framework (section 7.2.1), "Cost budgeting involves aggregating the estimated costs of individual schedule activities or work packages to establish a total cost baseline for measuring project performance."

7.1.1   Cost Budgeting: Inputs

Section 7.2. of the GTAC Project Management Framework discusses nine inputs to Cost Budgeting, all of which are used on government projects. There is an additional input used when managing government projects, the "annual budget cycle."

► **Annual Budget Cycle**

The annual budget cycle is the unique, and often most difficult, time constraint for government projects. To prevent abuse, the National Treasury budgets funds for only a limited time. Budgets are typically for one fiscal year at a time. This means that projects and programmes may be divided into one-year slices. "Use it or lose it" provisions require funds to be spent by the end of the fiscal year. Project delays can cause the loss of funding if work moves from one fiscal year into the next. Fortunately, funds are generally appropriated to programmes rather than individual projects. Effective programme managers can often move funds between projects to minimize the overall loss of funding.

7.2 Cost Budgeting: Tools and Techniques

The PMBOK Government Extension Guide describes additional tools and techniques (see 7.2.2.1 through 7.2.2.4). There are five additional tools used in government projects:

• **Split Funding**

If a single project receives financial contributions from more than one programme or fiscal year, it is split-funded. Common methods of split funding include defined elements of work, defined contribution, and percentage split.

Split funding by programme. Programmes are discussed in GTAC Project Management Framework. Government bodies in large governments generally assign funds to programmes rather than to individual projects. They set rules for how the funds are to be divided among individual projects. If the government body budgets by programme, each project must be funded from one or more of these programmes. It is possible that a single project can contribute to the goals of more than one programme. This is particularly common in transportation infrastructure projects at provincial and local government level. For example, a road-widening project could be combined with pavement rehabilitation, bridge rehabilitation, waste water retrofit, or new signals. These are generally budgeted as separate programmes.

Similar situations are common whenever new facilities are budgeted separately from rehabilitation. It generally makes sense to have a single contractor perform both the new work and the rehabilitation at a particular location. This minimizes the overhead cost of developing and managing multiple contracts, and it minimises the disruption to the occupants of the facility. To the legislative body, defined elements of work is often the preferred method, because each programme pays only for the elements that it wants. However, this method requires a detailed manual accounting system, because an automated system can seldom discern which elements are being worked on. Such a manual process is prone to inaccuracy, and requires a large commitment of time for reporting and auditing.

The increased cost generally outweighs the slight increase in the accuracy of charges. The defined elements of work method also require a far more detailed work breakdown structure (WBS) than the other two methods. To capture each programme's portion accurately, the WBS must be defined to a level where each programme's portion maps uniquely to a set of WBS elements. This level of detail is generally far greater than what is needed to manage the project.

The defined contribution does not require an amendment to the WBS. Typically, contributions are established as a percentage split. When the limit is reached for the fixed programmes, the split is changed to a 100 percent payment by the risk-bearing programme. If the project is completed within budget, the change never occurs. Percentage split is the simplest approach and is often the most efficient method. The contribution of each programme is estimated at the start of the project. Based on that estimate, each programme bears its percentage of the project cost. Since programmes fund many projects, variances on one project will probably be counterbalanced by opposite variances on other projects.

Split funding by fiscal year. Split funding by fiscal year is funding allocated over more than one annual budget cycle. (The annual budget cycle is discussed in Section 7.2.1.) If a project begins in one fiscal year and ends in another, it will need funding from the budget of each fiscal year in which there is project work. This split funding by fiscal year can be decreased through obligations, if the government body allows them (see Section 6.4.2.).

Funding by fiscal year requires that project managers plan their work by fiscal year with great care. It is important to note that the annual budget cycle is a long and complex process. It requires the consensus of Ministers and MECs across various sectors. It also begins at least 12 – 14 months in advance. This is more than fifteen months before the start of the fiscal year. Once a budget request is submitted, changes are difficult to effect.

Fortunately, funds are generally appropriated to programmes rather than individual projects (see Section 1.6). Programme managers can use funds from projects that underrun their fiscal year budgets to fund the overruns in other projects. These are fiscal year variances, not

variances in the total cost of the project. Private sector firms could not survive with the government budget process. They must respond quickly to market challenges from their competitors. Without a quick response, they will lose business and may descend into bankruptcy. Large private firms, therefore, delegate the detailed budget decisions to smaller cost centres. In operational work, annual budgets achieve this goal; in projects, they often fail. For a discussion of operations and projects, see Section 2.2.2 of the GTAC Project Management Framework.

The executive must request budgets for each project in fiscal year slices. This focus on fiscal years can draw attention away from the overall multiyear cost of the project. The government body may not see this overall cost. Projects can incur large overall cost overruns without the government body becoming aware of this fact. Therefore, government bodies need to be aware of this problem and require multiyear reports. Project managers should provide multiyear reports to their project sponsors. Government accounting standards often fail to recognise the peculiar needs of multiyear projects. Project managers should keep records on the entire project that are reconciled with the government's official accounts. Some governments have begun to adopt performance-based budgeting as an alternative to the rigid annual budget process.

- **Matching Funds**

Matching funds are a form of split funding by programme (see Section 7.2.2.5 of the PMBOK Guide). When governments "devolve" project selection to lower government spheres, they often require those lower spheres to pay a portion of the project costs. This ensures that the lower government is committed to the project. Matching funds may be apportioned on a percentage basis or as a defined contribution.

Refer to Municipal Infrastructure Grant / Jobs Fund for further details of a Matching Fund approach

- **Obligations**

Obligations are tools to minimize the impact of split funding by fiscal year. They can be used only where there is a contractual commitment to fund the project.

7.3 Cost Control

7.3.1 Cost Control: Inputs

Section 7.3 of the GTAC Project Management Framework identifies performance reports as an input to cost control. Performance reports are also cost control inputs for government projects. These reports are not only internal to the organisation, but they provide project performance information to external funding sources. Upon acceptance of the project performance reports, the external funding sources release funds to the project. These reports are distributed to the external stakeholders by the government department / agency.

8. Project Quality Management

Chapter 8 of the GTAC Project Management Framework states that "Project Quality Management processes include all the activities of the performing organisation that determine quality policies, objectives, and responsibilities so that the project will satisfy the needs for which was undertaken." On government projects, these needs are defined by the government body acting on behalf of the public. In large governments, the needs are generally stated as goals for a program, rather than for individual projects. Project Quality Management on government projects is frequently an oversight activity under-taken as part of procurement; see Chapter 12 (Project Procurement Management) in this extension.

Chapter 8 of the GTAC Project Management Framework describes three processes:

> 8.1 Quality Planning
> 8.2 Perform Quality Assurance
> 8.3 Perform Quality Control

Chapter 8, **Project Quality Management**, describes the processes involved in assuring that the project will satisfy the objectives for which it was undertaken. It consists of the Quality Planning, Perform Quality Assurance, and Perform Quality Control project management processes.

8.1 Quality Planning

Section "8.1 Quality Planning" was significantly revised from the previous version of the Government Extension to update the quality planning inputs. Performance based budgeting, listed as a specific quality planning tool in Government Extension – 2000 Edition, was moved to Section 7.2 and treated as a specific budgeting tool.

8.1.1 Quality Planning: Inputs

Section 8.1.1 of the GTAC Project Management Framework discusses inputs to Quality Planning. All inputs listed are used on government projects, and two have particular application in government:

- **Enterprise Environmental Factors**

Governmental regulations, rules, standards, and guidelines specific to the application area may affect the project. This is particularly true in developing the project charter, and all of the organisation's enterprise environmental factors and systems that surround and influence the project's success.

See also Section 4.1.1.3 of the PMBOK Guide.

- **Organisational Process Assets**

According to the PMBOK Guide, "the quality policy, as endorsed by senior management, is the intended direction of a performing organisation with regard to quality." In government, quality policy is rooted in the laws and regulations, or in policies established by the government body. This is commonly referred to in the South African context as Norms and Standards.

The PMBOK Guide also states that, "the project management team is responsible for ensuring that the project stakeholders are fully aware of [the quality policy]." On government projects,

this means that they must be aware of their responsibilities under the constitution and under law; see Section 1.2.4 on "Why are Government Projects Unique?".

Because government quality policy is rooted in the constitution and other documents that seldom change, government quality policies should not change much. Projects may vary considerably, but they remain focused on service to the voters and taxpayers in accordance with established quality policy.

8.1.2   Quality Planning: Tools and Techniques

Section 8.1.2 of the GTAC Project Management Framework discusses five tools and techniques for Quality Planning. All are used on government projects. Under the fifth heading an additional tool specific to government projects is mentioned:

1. Cost Benefitting Analysis – No changes from the Third Edition

2. Benchmarking – No changes from the Third Edition

3. Design of Experiments – No changes from the Third Edition

4. Cost of Quality – No changes from the Third Edition

5. Additional Quality Planning Tools – See Section 7 Above

6. Performance-Based and Gateway Budgeting – Challenges with the Annual budget cycle have been raised in Section 6 above.

Quality projects deliver the required product scope on time and within budget. If a change is made to any of the three factors, at least one other factor must change. Every change is, therefore, a change in quality.

For programmes and projects, the government agency establishes performance measures for each of the three quality factors. Programme managers are permitted to trade-off between the three factors to achieve the overall programme goals. This includes permission to change the annual budget, within prescribed limits.

Performance-based budgeting can be of great benefit to the voters and taxpayers. However, there are pitfalls:

•   Performance measures must be carefully designed to encourage desirable behaviour.

•   Poorly defined measures can require managers to make the wrong decisions in order to meet their performance target.

•   The design of the measures requires a thorough understanding of the programme.

For performance-based budgeting, annual reports are inadequate. If performance is not adequate or the process is abused, the government department / agency must be able to take action more frequently than once a year. This typically requires an independent "watchdog" body, with paid auditors who review data from the programme and report to the government body if there is a need to take immediate action.

Other governmental entities are employing "gateway" or "zero-balance" budgeting. Considering the three factors of project management (scope, time, and cost), these entities begin with a "zero-balance" budget at the start of the project, ask the project manager to determine the cost of the project in phases, and request these funds prior to the beginning of a new phase. Gateways are appropriate windows in the project process for monitoring progress and making decisions through project reviews. The following gateways are suggested for budgeting considerations:

> In October 2020, the Minister of Finance, announced a decision to gradually implement zero based budgeting. In principle, the Minister requires, through National Treasury, that every organ of state must justify every Rand they would need and how it will be spent. (http://www.treasury.gov.za/)

(a) Phase 1—Concept
Approval of the Business Case

(b) Phase 2 – Definition
Signed Project Charter

(c) Phase 3 – Planning
Approved Project Plan

(d) Phase 4 – Implementation
Part Payments as approved
Project Delivery

(e) Phase 5 – Close Out
Hand over Project Archives
Release of retentions

The gateways are usually identified by selecting a small group from a highly detailed work breakdown structure (WBS) diagram, where each WBS spans no less than 80 hours. This allows the project manager to "track" resource loading. The project manager can then prepare and submit a new budgeting request within the time frame necessary to keep the project funded over the next budgeting period. In effect, gateway or zero-balancing budgeting assists the project manager in better understanding the cost benefit of each phase of the project, and making the calculations for earned value more meaningful to the sponsors and stakeholders.

8.2 Perform Quality Assurance

Quality assurance, for some government-regulated facilities, such as defence / security / correctional facilities is substantially different from the norm for other industries, as specified in the PMBOK Guide.

Such facilities must meet specific requirements and regulations, as well as the supporting guidance documents that are often issued by regulatory bodies overseeing these facilities.

Government is ultimately responsible for quality assurance, a duty that cannot be delegated.

8.2.1   Perform Quality Assurance: Inputs

Section 8.2. of the GTAC Project Management Framework provides the guidance for the ten inputs to Perform Quality Assurance, all of which apply in government projects.

An eleventh input, Regulatory Requirements and Guidance, has been added, and its special application to government projects is explained in Section 8.2.

- **Regulatory Requirements and Guidance**

This heading refers to regulatory requirements and guidance, such as those expressed in national, provincial and local regulations, as well as documents produced by standards-setting organisations like SABS, PMI, ISO, and others. These provide a level of work guidance for audits, investigations, testing, and inspections.

The results of audits, investigation, testing, and inspections should be formally documented and included in the overall Quality Assurance process.

8.2.2   Perform Quality Assurance: Tools and Techniques

Additional aspects of quality audits are inspections, investigations and walk-throughs. The inspections and investigations are also structured, independent reviews, but are more in-line with performance-based activities checks than reviews to determine whether project activities are in compliance.

The walk-through is a process during which a trained specialist observes activities based on procedure compliance, where the activity is being walked through, not performed. In this instance, quality audits inaccuracies can be observed, recorded and remedied without the hazard of non-compliance.

Continuous quality improvement also relies on observing Quality Assurance inaccuracies during audits, inspections, surveillance, and walk-throughs. When quality issues arise, such as non-compliance with a requirement or a violation of regulatory requirements, state or plan procedures, documentation is required that details these issues, including the requirement in question and the item(s) of non-compliance. Tracking these items of non-compliance from the time of observation to close out and detailing the corrective actions taken as "lessons learned" can assist in preventing additional non-compliance.

9. Project Human Resource Management

According to Chapter 9 of the GTAC Project Management Framework, ''Project Human Resource Management includes the processes that organise and manage the project team.'' Project Human Resource Management is one of the two Project Management Knowledge Areas in the PMBOK Guide that focus on the acquisition and use of project resources. The other is Project Procurement Management

Human resources used on a project are obtained either from inside the performing organisation or they are obtained by procurement.

The public service project management team must be fully aware of the Public Service Act, Regulations and relevant prescripts

Chapter 9, of the GTAC Project Management Framework describes the processes that organise and manage the project team. It consists of:

- Human Resource Planning
- Acquire Project Team,
- Develop Project Team, and
- Manage Project Team

> Key Public Service Legislation is available at http://www.dpsa.gov.za/legislation.php

9.1 Human Resource Planning

The outputs section in "9.1 Human Resource Planning" discusses authority delegation constraints in government environments – which can limit flexibility in human resource planning.

It is important to note that the DPSA has developed comprehensive Human Resource Planning Guidelines, tools and templates[6].

► **Organisational Environmental Factors**

The GTAC Project Management Framework refers to Enterprise Environmental factors – See Section 9.1.1 of the Framework for a discussion of the list of organisational / enterprise environmental factors. In addition to these factors, constraints limit the project team's options, Examples of constraints that can limit flexibility in the Human Resource Planning process are:

Organisational structure. An organisation whose basic structure is a weak matrix means a relatively weaker role for the project manager. In government projects, the authority to make certain key decisions cannot be delegated to persons who are not government employees.

Collective bargaining agreements. The collective bargaining agreements impacts on all aspects of public servants' relationships and rights in the workplace.

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[6]   http://www.dpsa.gov.za/dpsa2g/hrp_documents.asp

Economic conditions. Economic conditions directly affect the ability of a department / agency to compete with the private sector.

Public Service System. The PMBOK guide refers to the "civil service system". As noted above the project management team must be fully cognisant of the relevant public sector laws, regulations and prescripts.

The principles and concepts related to the management of change are described in the People & Organisation Change Management Framework (https://www.gtac.gov.za/publications-and-resources/toolkits-methodologies-and-manuals/ppm-toolkit).

9.1.1   Hybrid Staff

Government departments / agencies occasionally contract for temporary human resources, whereby the government entity pays the actual salary and overhead for such employees. Such an arrangement allows the department to rapidly "staff up and down" to meet project human resource requirements.

Refer to DPSA Circulars dated 24 & 25 January 2019 regarding appointment of temporary employees in the public service. (http://www.dpsa.gov.za/legislation.php#20)

Such temporary human resources are not public service employees, and are often called contract employees. On many government projects, the project staff is comprised of both temporary contract employees and permanent government employee – and this kind of combination is known as hybrid staff.

Contract employees are typically integrated into a project staff for the duration of a project. A project manager often supervises such contract employees much like other staff – except for personnel matters (e.g., benefits and compensation, which is normally not accorded to contract staff)

10. Project Communications Management

Chapter 10 of the GTAC Project Management Framework, **Project Communications Management**, describes the processes concerning the timely and appropriate generation, collection, dissemination, storage, and ultimate disposition of project information. It consists of the Communications Planning, Information Distribution, Performance Reporting, and Manage Stakeholders in the project management processes.

> *The Government Communication and Information System (GCIS) has established extensive protocols and standards for government communication. (https://www.gcis.gov.za/content/services)*

Section "10.2 Communications Planning" discusses inputs and tools and techniques particular to government environment regarding external stakeholders and the general public.

As most government projects require some sort of public communication, the social and political factors listed in Section 4.1.1.3 have a significant impact on planning the communication scope, channels, and timing.

A likely constraint in government projects is a lack of understanding about the complexity of the communication processes on the part of team members (especially service providers / contract staff), sponsors, and other stakeholders. In many government projects, contracted vendors / consultants (sellers) run the project day-to-day, reporting to an appointed government employee (project manager) who may have a limited project management background (or be selected as project manager based on technical expertise, rather than project management skills). The project documents (especially external communication) might also be more formal and require the appropriate signatures.

10.1 Communications Planning: Tools and Techniques.

► **Communications Requirements Analysis**

Beyond the considerations expressed in Section 10.2.2. of the GTAC Project Management Framework, the information needs of organisational stakeholders have unique requirements based on information sharing in a functional bureaucracy. Government departments tend to be compartmentalised, so special planning is required when multiple departments, branches, agencies, or ministries are involved in the same project.

Project stakeholders include not only the office holders, but also the public (that is, the constituents, those governed, the taxpayers). Therefore, timely and appropriate information needs to be clearly understood by a broader range of affected individuals than is the case for most private sector projects. Analysis and planning to manage the information and consultation needs for all stakeholders can be beneficial in obtaining balanced outcomes.

► **Communication Technology**

The compatibility of technologies used to transfer information can vary significantly from one agency or sphere of government to another. The availability of funding for technology upgrades to mitigate communications inconsistencies should be factored into the communications planning.

With wide (and ever-growing) public acceptance of the Internet, government's relationship with its citizens relies more and more on specific tools for Web-based communication, such as official Web sites and government portals. E-government initiatives are currently undertaken by many national, provincial, and local government bodies as an efficient way to provide information and services to the general public.

10.2 Communications Planning: Outputs

Section 10.2.4 of the GTAC Project Management Framework discusses the communications management plan as one output from Communications Planning. This is also produced on government projects, and has a particular application in government: On government projects, government officials (rather than the project manager) sometimes possess control over the communications. This can work well, but when it does not, it can become difficult to pinpoint reasons for the communication breakdown.

10.3 Information Distribution

Information Distribution describes particular tools, techniques and outputs for public sector projects to satisfy informational needs of the public. Also, government audit or public accounts committees often require project information (all project records, not only the final reports) to be archived for a minimum period time, such as 5 – 10 years after completion of the project. Project records may include correspondence, memos, reports (written or electronic), audio or video recordings, presentations of content, and any other document describing and detailing the project.

This information may become available to the public, or be made available via Access to Information requests or similar processes.

11. Project Risk Management

Chapter 11, **Project Risk Management**, describes the processes concerned with conducting risk management on a project. It consists of the Risk Management Plan, Risk Identification, Qualitative Risk Analysis, Quantitative Risk Analysis, Risk Response Planning, and Risk Monitoring and Control project management processes.

Government projects follow the same processes, but the project risks include social, environmental, and political risks, in addition to financial risks. Many government projects would be rejected or abandoned if they were subjected to objective financial analysis, as typically used in the private sector. For example, a return on investment (ROI) analysis considers both upside risk (e.g., profit potential) and downside risk (e.g., loss potential). Government projects often do not demonstrate a profit potential, but are intended to generate a return through benefits to the public-at-large or to a segment of the public.

11.1 Risk Management Planning

Section 11 of the GTAC Project Management Framework discusses four inputs to Risk Management Planning. An additional input that has application in government projects is Laws and Regulations. However, the SA Government has not yet established mandatory practices for government projects in the form of laws and regulations. ***In 2012, the Forum of South African Directors-General supported the roll-out of the GTAC PPM Guides, Tools and Templates. This is the closest to a formal prescript on project management in the SA government context.***

However, it is imperative that projects consider policies and practices that may relate to:

- Air and water quality
- Affirmative action and assistance to disadvantaged groups
- Archaeological, historical, and architectural preservation
- Mitigation of impacts to affected businesses and communities
- Endangered species protection
- Protection of endangered ecological systems such as wetlands, grasslands, or waterways
- Noise or sound mitigation
- Religious freedom and the protection of sacred places
- Protection of scenic areas and parks.

Several of the above categories are often combined into an omnibus environmental protection law that must be adhered to from a risk management perspective.

11.2 Risk Management Planning: Outputs

See Section 11.2. of the GTAC Project Management Framework. In addition to the outputs described in this section, the following additional information pertaining to risk categories is relevant to public sector projects:

Risk Categories. In government projects, political risk is another subcategory within the external risk category. Government projects are more susceptible to political risk than projects in the private sector. Each phase of a government project is typically subject to government approval. In addition, government priorities can change for various reasons, reflecting a change in the will of the citizens as expressed through the election process. Thus, if government priorities change before approval of the final phase of a project, the project could be halted prior to completion – significant political risk.

The National Treasury has extensive guidelines on Risk Management (Public Sector Risk Management Framework). https://oag.treasury.gov.za/RMF/Pages/s101ExecutiveSummary.aspx

Sources of political risk vary and may include, for example:

Other stakeholder conflicts. For instance, stakeholders may want to commute to work alone each day in their private vehicles, but other stakeholders support reducing air pollution by promoting the use of high-occupancy vehicles or carpooling. In some cases, stakeholders may not be sure about their priorities

Changes over time. Stakeholders may support a project when funds are plentiful, but may later oppose the project when funds are scarce and tax increases are needed to complete it.

The PFMA has extensive guidelines on Risk Management that must be adhered to.

The Planning Phase tools also provide templates on risk management.

12. Project Procurement Management

Chapter 12, **Project Procurement Management**, describes the processes that purchase or acquire products, services or results, as well as contract management processes. It consists of the Plan Purchases and Acquisitions, Plan Contracting, Request Seller Responses, Select Sellers, Contract Administration, and Contract Closure project and management processes.

The PMBOK Government Extension covers procurement in great detail. However, these are based predominantly on United States and Canadian Standards, which are not applicable in the South African context.

Public service project management teams MUST comply with, inter alia, the Constitution, the Preferential Procurement Policy Framework Act and associated regulations as well as the Supply Chain Management Regulations issued in terms of the Public Finance Management Act.

12.1 Understanding the South African Public Sector Procurement Regime

The 2015 Public Sector Supply Chain Management Review conducted by National Treasury, highlighted that:
- There are more than 80 different legal instruments that govern public sector SCM.
- All of these laws and regulations relating to public procurement are implemented through a large number of independent statutory instruments, with some catering for specific procurement practices and others for particular sectors or industries.
- In some respects, such division of the rules is unproblematic and even inevitable. In general, however, this fragmentation of public SCM law results in a disintegrated SCM regulatory regime.

An overview of the some of the major instruments highlighted in the report are as follows.

Universe of SA procurement legal instruments

The Constitution: Section 217 deals with the basic constitutional requirements of public procurement. Section 33 sets out the requirements for constitutionally valid administrative action and therefore the grounds on which administrative action may be reviewed by the courts. Section 195 lays down the constitutional values for the country's public administration.

Acts: Public Finance Management Act 1 of 1999 (PFMA); Local Government: Municipal Finance Management Act 56 of 2003 (MFMA); Preferential Procurement Policy Framework Act 5 of 2000 (PPPFA); State Tender Board Act 86 of 1968 (STBA); Broad-based Black Economic Empowerment Act 53 of 2003 (BBBEEA); Prevention and Combating of Corrupt Activities Act 12 of 2004 (Corruption Act); Construction Industry Development Board Act 38 of 2000 (CIDBA); National Land Transport Act 5 of 2009; National Supplies Procurement Act 89 of 1970; State Fragmentation of processes and systems makes SCM compliance difficult CHAPTER 2: PUBLIC SECTOR SCM LEGISLATIVE REFORM 11 Information Technology Agency Act 88 of 1998; Financial Management of Parliament Act 10 of 2009; Road Traffic Management Corporation Act 20 of 1999; Armaments Corporation of

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South Africa, Limited Act 51 of 2003; Administrative Adjudication of Road Traffic Offences Act 46 of 1998; Nursing Act 33 of 2005; Public Audit Act 25 of 2004; Health Professions Act 56 of 1974; Housing Act 107 of 1997; Disaster Management Act 57 of 2002; Promotion of Access to Information Act 2 of 2000 (PAIA); Promotion of Administrative Justice Act 3 of 2000 (PAJA); Local Government: Municipal Systems Act 32 of 2000 (Systems Act).

Regulations: PFMA SCM Treasury Regulations; MFMA SCM Regulations; Preferential Procurement Regulations and dti provisions for local procurement designations.

Source 2015 Public Sector Supply Chain Management Review

Notwithstanding the plethora of instruments highlighted above, the main instruments driving Procurement in the South African Public Sector are the Constitution, the Preferential Procurement Policy Framework Act and associated regulations as well as the Supply Chain Management Regulations issued in terms of the Public Finance Management Act and the Municipal Finance Management Act. Treasury Regulation 16A3 ultimately gives expression to the provisions contained in the Constitution, PFMA, and MMFA.

Treasury Regulations 16A3 Supply chain management system

16A3.1 The accounting officer or accounting authority of an institution to which these regulations apply must develop and implement an effective and efficient supply chain management system in his or her institution for –
a) the acquisition of goods and services; and
b) the disposal and letting of state assets, including the disposal of goods no longer required.

16A3.2 A supply chain management system referred to in paragraph 16A.3.1 must –
a) be fair, equitable, transparent, competitive and cost effective;
b) be consistent with the Preferential Procurement Policy Framework Act, 2000 (Act No. 5 of 2000);
c) be consistent with the Broad Based Black Economic Empowerment Act, 2003 (Act No. 53 of 2003); and
d) provide for at least the following: –
    i.   demand management;
    ii.   acquisition management;
    iii. logistics management;
    iv.   disposal management;
    v.   risk management; and
    vi.   regular assessment of supply chain performance.

The Acquisitions, Plan Contracting, Request Seller Responses, Select Sellers, Contract Administration, and Contract Closure project management processes in PMBOK, can be mapped to four of the components highlighted in section 16A3.2 (d) of the Treasury Regulations.

Supply Chain Management Component	PMBOK Project Procurement Activities
Demand Management	Plan Purchases
Acquisition Management	Acquisitions, Plan Contracting, Request Seller Proposals, and Select Seller
Logistic Management	Contract Management and Contract Closure
Disposal Management	
Risk Management	
Supply Chain Management Performance	Contract Management and Contract Closure

National Treasury's Supply Chain Management - A Guide for Accounting Officers / Authorities facilitates a general understanding of each of the components highlighted in section 16A3.2 (d) of the SCM practices. Key highlights of practices associated with the matching components are as follows:

SCM Component	Associated Activities

Demand Management	• Spend analysis to determine:
	    • Needs to achieve service delivery
	    • Required order and delivery lead times
	    • Economic order quantities etc.
	• Specifications are precisely determined;
	• Requirements are linked to the budget; and
	• Supplying industry is analysed.

Acquisition Management	• Decide on the manner in which the market will be approached i.e., • Verbal or written quotes or a competitive bidding process etc. • Establish the total cost of ownership of a particular type of asset; • Ensure that bid documentation is complete, including evaluation criteria; • Evaluate bids in accordance with published criteria; and • Ensure that proper contract documents are signed.
Logistics Management	Pertains to amongst others: • coding of items, • setting of inventory levels • placing of orders • receiving and distribution • stores/warehouse management • expediting orders • Transport management • Vendor performance This process should also activate the financial system to generate payments
Supply Chain Performance	Requires an assessment which includes: •Achievement of goals •Compliance to norms and standards •Savings generated •Cost variance per item •Contract breach etc •Cost efficiency of procurement process (i.e. the cost of the process itself) •Alignment of supply chain objectives with Government's broader policy focus; •Extent to which the reduction of regional economic disparities is promoted.

Whilst a review of the Supply Chain Management guide will provide insights into the philosophy and thinking behind South Africa's Project Procurement regime, public service officials at a minimum should refer to their Department's SCM Policy and Procedures Manuals to understand what is and is not permissible in their department. In the absence of an up-to-date SCM Policy and Procedures Manual in their Department, Public Servants should consult practitioners in their SCM Units or through their SCM unit consult their relevant Treasury for guidance.

The following section provides further details on the legislation and regulations governing Project Procurement in the South African Public Sector.

12.2 Overview of the key procurement legislation and associated regulations

There are three main applicable provisions of the Constitution which will need to be accommodated within the procurement process. These are:

➢ S217: Procurement

➢ S33: Just administrative action; and

➢ S195: Basic values and principles governing public administration

Section 217 of the Constitution provides that, when an organ of state contracts for goods or services, it must do so in accordance with a system which is fair, equitable, transparent, competitive and cost-effective. The section also provides that legislation must be set in place to give effect to categories of preference and the protection or advancement of persons, or categories of persons, disadvantaged by unfair discrimination. The Preferential Procurement Policy Framework Act 5 of 2000 ("Procurement Act") has been passed to give effect to the latter provision.

> Under section 38(1)(a)(iii) of the PFMA, the Accounting Officer of a government department must ensure that it has and maintains an appropriate procurement and provisioning system which is fair, equitable, transparent, competitive and cost-effective.

Currently a Public Procurement Bill has been released for comment. The aim of the Bill is to regulate public procurement to prescribe a framework for procurement policy as envisaged in 217(3) of the Constitution and to provide for connected matters. The Bill if passed will repeal the Preferential Procurement Act.

Section 33 of the Constitution provides that everyone has the right to administrative action that is lawful, reasonable and procedurally fair. The Promotion of Administrative Justice Act 3 of 2000 ("PAJA")[7] has been passed to give effect to the content of the right.

Section 195 of the Constitution provides that public administration must be governed by the democratic values and principles enshrined in the Constitution, including the following selected principles:

➢ A high standard of professional ethics must be promoted and maintained;

➢ Efficient, economic and effective use of resources must be promoted;

➢ People's needs must be responded to, and the public must be encouraged to participate in policy-making;

➢ Public administration must be accountable; and

➢ Transparency must be fostered by providing the public with timely, accessible and accurate information.

The above principles apply to:

➢ Administration in every sphere of government;

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[7]   https://www.justice.gov.za/paja/faq.htm

➢   Organs of state; and

➢   Public enterprises.

The Constitutional Court and the Supreme Court of Appeal have provided guidance on how the legality of a procurement framework is likely to be assessed.

In *Steenkamp*, Moseneke DCJ stated:[8]

> "Section 217 of the Constitution is the source of the powers and function of a government tender board. It lays down that an organ of State in any of the three spheres of government, if authorised by law may contract for goods and services on behalf of government. However, the tendering system it devises must be fair, equitable, transparent, competitive and cost-effective. This requirement must be understood together with the constitutional precepts on administrative justice in section 33 and the basic values governing public administration in section 195(1)."

In *Millennium Waste* the Supreme Court of Appeal (per Jafta JA) elaborated:[9]

> "The . . . Constitution lays down minimum requirements for a valid tender process and contracts entered into following an award of tender to a successful tenderer (section 217). The section requires that the tender process, preceding the conclusion of contracts for the supply of goods and services, must be 'fair, equitable, transparent, competitive and cost-effective'. Finally, as the decision to award a tender constitutes administrative action, it follows that that the provisions of the Promotion of Administrative Justice Act apply to the process."

In the recent Constitutional Court of *Allpay* further content to the court's reasoning was provided by Froneman J as follows:[10]

> "Procurement disputes about the proper interpretation and application of section 217 of the Constitution raise constitutional matters. The outcome of this case is a matter of national importance and public interest. It is because procurement so palpably implicates socio-economic rights that the public has an interest in its being conducted in a fair, equitable, transparent, competitive and cost-effective manner... Procurement policy under section 217 also involves the protection and advancement of persons or categories of persons disadvantaged by past unfair discrimination. The public interest in the fairness of that vital aspect of the economic transformation of our country is also clear"

The Constitution does not set out a prescribed procurement process but rather establishes a procurement framework against which procurement processes will be assessed. Thus, not every contract for the procurement of goods or services must be made by a competitive bidding process. The Constitution merely requires it to be made in accordance with a system which is generally competitive. The system may provide for exceptions to the general rule when it is warranted by the particular circumstances.

However, where exceptions are followed the five procurement principles contained in s217 must be accommodated to the maximum extent possible and the exceptions must be rational and reasonable under the particular circumstances.

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[8] Steenkamp v Provincial Tender Board of the Eastern Cape (CCT71/05) [2006] ZACC 16; 2007 (3) SA 121 (CC); 2007 (3) BCLR 300 (CC) (28 September 2006) at paragraph 33
[9] Millennium Waste Management v Chairperson Tender Board [2007] SCA 165 (RSA) at paragraph 4
[10] Allpay Consolidated Investment Holdings (PTY) Ltd and others v Chief Executive Officer of the South African Social Security Agency and others, CCT 48/13, 2013, ZACC 42 at paragraph 4

In the Allpay case the court noted:[11]

> "One of the primary reasons for the express inclusion of the five principles in section 217(1) of the Constitution is to safeguard the integrity of the government procurement process. The inclusion of the principles, in addition to ensuring the prudent use of public resources, is also aimed at preventing corruption."

The Constitutional provisions underpinning public procurement are given content of general application in the Preferential Procurement Framework Act and the Public Finance Management Act 1 of 1999 ("PFMA").

Under section 38(1)(a)(iii) of the PFMA, the Accounting Officer of a government department must ensure that it has and maintains an appropriate procurement and provisioning system which is fair, equitable, transparent, competitive and cost-effective. It does not go further than the constitutional requirement except to impose the duty of compliance on the Accounting Officer of the department.[12]

Section 76(4)(c) of the PFMA allows National Treasury to make regulations or issue instructions to all institutions to which the PFMA applies concerning, the determination of a framework for an appropriate procurement and provisioning system which is fair, equitable, transparent, competitive and cost effective.

The Treasury Regulations promulgated under section 76 of the PFMA give effect to the procurement requirements of the Constitution and the PFMA. They make it clear that government procurement must generally be done by competitive bidding processes:

➢ Regulation 16A3.1(a) provides that the accounting officer of every government department must develop and implement an effective and efficient supply chain management system for the acquisition of goods and services.

➢ Regulation 16A3.2(a) provides that such a supply chain management system must be fair, equitable, transparent, competitive and cost-effective.

➢ Regulation 16A6.1 contemplates that the procurement of goods and services must ordinarily be done by way of quotations or through a bidding process.

➢ However Regulation 16A6.4 provides that an accounting officer may procure goods or services by means other than an invitation of competitive bids, if it is impractical to invite competitive bids in the particular case. Where competitive bids are not invited, the reasons for doing so must be recorded and approved by the accounting officer.

➢ Practice Note Number SCM 2 of 2005 makes provision for four types of procurement: petty cash purchases, verbal or written quotations, written price quotations and competitive bidding.[13] The use of a procurement type depends on the financial value of the transaction where high value transactions should be conducted by way of competitive bidding.

These provisions make it clear that government procurement must generally be done by a competitive bidding process. It is not an absolute rule but the accounting officer of a government department may only deviate from it if it is impractical in any particular case to invite competitive bids.

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[11] Allpay, Footnote 50, at paragraph 40.
[12] In terms of section 36 of the PFMA, the Accounting Officer of a national government department is the head of that department, the Director-General.
[13] P Bolton, Grounds for Dispensing with Public Tender Procedures in Government Contracting, Public Expenditure Review, Public Expenditure Law Journal, 2006, Vol 9, Number 2 at p5 and 6

This understanding is confirmed by Allpay where it was stated:

> "The national legislation prescribing the framework within which procurement policy must be implemented is the Preferential Procurement Policy Framework Act (Procurement Act). The Public Finance Management Act is also relevant.

> An "acceptable tender" under the Procurement Act is any "tender which, in all respects, complies with the specifications and conditions of tender as set out in the tender document". The Preferential Procurement Regulations (Procurement Regulations) define a tender as "a written offer in a prescribed or stipulated form in response to an invitation by an organ of state for the provision of services, works or goods, through price quotations, advertised competitive tendering processes or proposals".[14]

> "The Treasury Regulations issued pursuant to section 76 of the Public Finance Management Act require the development and implementation of an effective and efficient supply chain management system for the acquisition of goods and services that must be fair, equitable, transparent, competitive and cost-effective. In the case of procurement through a bidding process the supply chain management system must provide for the adjudication of bids through a bid adjudication committee; the establishment, composition and functioning of bid specification, evaluation and adjudication committees; the selection of bid adjudication members; bidding procedures; and the approval of bid evaluation and/or adjudication committee recommendations. The accounting officer or accounting authority must ensure that the bid documentation and the general conditions of contract are in accordance with the instructions of the National Treasury, and that the bid documentation includes evaluation and adjudication criteria, including criteria prescribed by the Procurement Act and the Broad-Based Black Economic Empowerment Act (Empowerment Act)." [15]

Deviations from normal procurement processes are contemplated by National Treasury itself. At national and provincial government level, Practice Note Number SCM 2 of 2005 provides for the non-use of tender procedures if it is "impractical to invite competitive bids", for example, in the case of 'emergencies' or a 'sole supplier'. In such instances, procurement may take place by other means, such as price quotations or negotiations, provided that a record is kept of the reasons for deviating from an invitation for competitive bids and such reasons are approved by the relevant authority.

The Practice Note does not provide much content as to exactly when it would be impractical to invite competitive bids nor what constitutes an emergency nor when a sole supplier should be utilised.

When considering what amounts to an emergency reference can be made to the Green Paper on Public Sector Procurement Reform. The Green Paper provides that emergency situations may include, for example:

> …[t]he possibility of human injury or death; [t]he prevalence of human suffering or deprivation of rights; [t]he possibility of damage to property, or suffering and death of livestock and animals; [t]he interruption of essential services, including transportation and communication facilities; [t]he possibility that the security of the State could be compromised; [t]he possibility of serious damage occurring to the natural environment; [and/or] [t]he possibility that failure to take necessary action may result in the State not being able to render an essential community service.

> The prevailing situation or imminent danger should, however, –

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[14] Ibid Allpay paragraphs 33 and 34
[15] Ibid paragraph 37

> …be of such a scale and nature that it could not readily be alleviated by interim measures, in order to allow time for normal procurement systems to be used.

In the case of an emergency or an urgent need, an institution is allowed to bypass the competitive bidding process and procure the goods/works or services by requesting quotations. An emergency is defined as a case where a good or service has to be purchased immediately to avoid a dangerous or risky situation. An urgent need is defined as when the delivery of the good or service is of critical importance and when following a competitive bidding process is either impossible or impractical.

Organs of state should, where use is made of emergency procurement procedures, carefully consider limiting the value and length of contracts concluded in order to address only the immediate emergency. In this way, ongoing needs and requirements can, as far as possible and where appropriate, be met by way of public tender procedures.[16]

Where an organ of state is of the opinion that there are not enough suppliers in the market to provide the goods, works or services needed a limited bidding procedure can be contemplated. The reasons for not inviting competitive bids should be recorded and approved by the institution's accounting officer. If the value of the goods or services to be purchased is above R1 million National Treasury and the Auditor-General must be notified within ten working days. The reason for not being able to follow a competitive bidding process must be included in this notification. It must be noted that this decision is an administrative action which can be challenged. It therefore follows that deciding to pursue a limited bidding procedure must be reasonable and procedurally fair.

Depending on the circumstances, a limited bidding process can take the form of multiple source bidding, single source bidding or sole source bidding. In the case of multiple source bidding, a few prospective bidders are allowed to submit proposals. Single source bidding is allowed when after thorough market analysis and a transparent and equitable pre-selection process, one amongst a few possible bidders is asked to submit a proposal. Sole source bidding is allowed when there is no competition (i.e. there is only one supplier of the product/service) and there is therefore only one prospective bidder.

Of all the procurement methods, single source procurement has the potential to defeat compliance with all the principles in the Constitution. It is important, therefore, for proper safeguards to be in place. A claim that there is only one provider for the particular goods or services should be fully justified and supported by compelling evidence. The onus is also on an organ of state to prove that no reasonable alternative or substitute exists for the goods or services in question.[17]

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[16]Op Cit Bolton at p21
[17] Ibid Bolton at p30

13. Conclusion

The Government Extension to PMBOK® Guide -Third Edition provides an account of key attributes of project governance that apply to most public sector organisations that are "generally recognised as good practice applicable to most projects most of the time," and with "widespread consensus about their value and usefulness".

- It establishes a framework for ensuring effective and efficient management of projects in the public sector

- It does not provide "how to" guidance

- Project Management professionals should use both the Government Extension and PMBOK® documents in the execution of their responsibilities.

Appendices

Appendix A: Guides, Tools & Templates

Summarised in the table below are the key guides tools and templates available to assist you with the preparation and management of your project. Each of these is colour coded for ease of reference and is contained in the PPM Framework Guides and Toolkit (see https://www.gtac.gov.za/publications-and-resources/toolkits-methodologies-and-manuals/ppm-toolkit).

Toolkit Section	Ref #	Document Name	Type
1		**Framework and Methodology and Guides**	
	SUM	Project Management Summary Guide	Summary
	FWK1 *	Project Management Framework	Framework
	FWK2 *	People and Organisational Change Framework	Framework
	MET1 *	Project Management Methodology	Methodology
	GUI1	Guide to Project Start Up	Guide
	GUI2	Guide to Project Sponsorship	Guide
	GUI3	Guide to Charter Writing	Guide
	GUI4	Guide to Project Planning	Guide
	GUI5	Guide to Smaller Projects	Guide
	GUI6	Health Check Guide	Guide
	GUI7	Programme / Project Management Office Set Up Guide	Guide
2		**Concept Phase**	
	CON1	Environmental Scan	Template
	CON2	Situational Assessment	Template
	CON3	Needs Statement	Template
	CON4	Commitment to Change	Tool
	CON5	Stakeholder Analysis	Template
	CON6	Vision Statement	Template
	CON7	Impact, Outcomes, Outputs, Indicators	Template
	CON8	Alignment to Strategy	Template
	CON9	Options Analysis	Template
	CON9a	Option Analysis Checklist	Checklist
	CON10	Clients and End-User Requirements	Template
	CON11	Business Case	Template
	CON12	Change Readiness Questionnaire	Tool
	CON13	Concept Phase Checklist	Checklist
	CON14a	Lessons Learnt Gathering Form	Template
	CON14b	Lessons Learnt Log	Template
3		**Definition Phase**	
	DEF1a	Governance Structure	Template
	DEF1b	Organisational Structure	Template
	DEF2	Terms of Reference	Template
	DEF3	Core Team Member Requirements	Template
	DEF4	Human Resource Management Plan – Core Team	Template
	DEF5	Project Team Member Evaluation	Template
	DEF6	Project Team Directory	Template

Toolkit Section	Ref #	Document Name	Type
	DEF7	Roles and Responsibilities Matrix	Template
	DEF8	Team Agreement	Template
	DEF8a	Establishing Ground Rules	Tool
	DEF8b	Operating Effectiveness of Team	Tool
	DEF8c	Elements of Team Work Audit	Tool
	DEF9	Scope Statement	Template
	DEF10	Stakeholder Interests Needs Assessment	Template
	DEF11	Project Charter	Template
	DEF12	Definition Phase Checklist	Checklist
	DEF13a	Lessons Learnt Gathering Form	Template
	DEF13b	Lessons Learnt Log	Template
4		**Planning Phase**	
	PLA1	Scope Management Plan	Template
	PLA2	Work Breakdown Structure	Template
	PLA3	Project Deliverables Chart	Template
	PLA4	Project Budget	Template
	PLA5	Project Schedule	Template
	PLA6	Human Resource Management Plan - Implementation Team	Template
	PLA6a	Performance Development Plan (Short)	Template
	PLA6b	Performance Development Plan (Comprehensive)	Template
	PLA7	Communications Management Plan	Template
	PLA7a	Communications Worksheet	Template
	PLA7b	Performance Reporting Chart	Template
	PLA8a	Quality Management Strategy	Template
	PLA8b	Quality Assurance & Control Chart	Template
	PLA9a	Risk Management Plan	Template
	PLA9b	Risk List & Risk Matrix	Template
	PLA10	Stakeholder Management Plan	Template
	PLA11	People and Organisation Change Plan	Template
	PLA11a	Building Consensus	Tool
	PLA11b	Change Resistance Scale	Tool
	PLA11c	Evaluate the Change Plan	Tool
	PLA12	Project Plan	Template
	PLA13a	Lessons Learnt Gathering Form	Template
	PLA13b	Lessons Learnt Log	Template
5		**Implementation Phase**	
	IMP1	Meeting Agenda	Template
	IMP2	Meeting Minutes	Template
	IMP3	Action Items List	Template
	IMP4	Weekly Status Report	Template
	IMP5	Monthly Status Report	Template
	IMP6	Risk Management Form	Template
	IMP7	Issues Management Process	Template
	IMP7a	Issues Management Form	Template
	IMP7b	Issues Log	Template

Toolkit Section	Ref #	Document Name	Type
	IMP8	Change Control Process	Template
	IMP8a	Change Request Form	Template
	IMP8b	Change Control Log	Template
	IMP9	Deliverables Acceptance Sheet	Template
	IMP10	Start-Up Checklist	Checklist
	IMP11a	Lessons Learnt Gathering Form	Template
	IMP11b	Lessons Learnt Log	Template
6		**Close Out Phase**	
	CLO1	Sponsor Sign-Off Form	Template
	CLO2	Customer Sign-Off Form	Template
	CLO3	Lessons Learnt Report	Template
	CLO3a	Lessons Learnt Log	Template
	CLO3b	Lessons Learnt Gathering Form	Template
	CLO3c	Facilitating Lessons Learned Sessions	Tool
	CLO4	Project Close-Out Report	Template
	CLO5	Close-Out Phase Checklist	Checklist
7		**Smaller Projects**	
	SML1	Business Case for Smaller Projects	Template
	SML2	Project Charter for Smaller Projects	Template
	SML3	Project Plan for Smaller Projects	Template
	SML4	Change Request for Smaller Projects	Template
	SML5	Status Report for Smaller Projects	Template
	SML6	Lessons Learnt for Smaller Projects	Template

* **Project Management Framework; People and Organisational Change Framework and Integrated Project Management Methodology** are published as separate stand-alone documents and are not included in the PPM Toolkit folder.