GAPPS | Global Alliance for the Project Professions

A Framework for Performance Based Competency Standards for Project Controls

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Foreword

As program and project management have become more widely recognised management approaches, governments, individuals, and both public and private sector organisations have become interested in frameworks and standards that describe levels of acceptable workplace performance for program and project personnel.

The *Global Alliance for the Project Professions, formerly known as Global Alliance for Project Performance Standards* (GAPPS) is a volunteer organisation working to create such frameworks and standards by providing a forum for stakeholders from differing countries, systems, backgrounds, and operating contexts to work together to address the needs of the global program and project management community.

These frameworks are intended to support the development and recognition of local standards and to provide a sound basis for mutual recognition and transferability of project, program and other management role related qualifications.

The GAPPS frameworks are intended to be used by businesses, academic institutions, training providers, professional associations, and government standards and qualifications bodies globally. Frameworks may be used "as is" to speed the development of local standards, or they may be adapted to local needs.

This document is the fourth framework produced by the GAPPS. In 2006 the GAPPS released the first version of *A Framework for Performance Based Competency Standards for Global Level 1 and 2 Project Managers.* In 2011 the GAPPS released the first version of *A Framework for Performance Based Competency Standards for Program Managers*. In 2015 the GAPPS released the first version of A Guiding Framework for Project Sponsors.

Future documents may address other roles involved with projects and programs.

Further information or copies of the frameworks can be found at https://www.globalpmstandards.org

Version	Date	Summary of Changes
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A Framework for Performance Based Competency Standards for Project Controls

1. Process and Scope

Work on performance or competency based standards for a 'Project Controls' job family began in October 2011 at GAPPS Thought Leadership Forum No 23 hosted by the BG Group/QGC in Brisbane. The starting point was a review of existing standards for Project Controls in various forms, initially drawing on the following resources:

- ProVoc[1]/ ACostE Project Control Qualifications
- National Occupational Standards for Project Control – UK NVQ 2004
- Total Cost Management Framework – First Edition, 2006, AACE International
- South African Qualification Authority standards for project controls
- APM Introduction to Project Control
- Competency Standards for Quantity Surveyors, Asia Pacific Region, 2001

It is noted that a number of these resources have since been updated.

Review and comparison of these documents provided a picture of coverage of roles in project controls and formed the basis for input and development over subsequent GAPPS Thought Leadership Forums. Globally representative and experienced project management and project controls professionals (see Appendix A) were asked to focus on what practitioners are required to do when providing project control services and oversight for projects. At each of the sessions where project controls were addressed the work of previous groups was reviewed and progressed in an ongoing validation process. In 2017 a review of the document was undertaken by several experienced practitioners and their comments addressed during 2018 GAPPS Thought Leadership Forums.

Accepted practice in development of performance based competency standards[2] is to seek input from practitioners on what is considered to be minimum acceptable performance in a particular role. Therefore, the process should start with a definition of the role. This proved to be extremely difficult in the area of project controls where it was agreed that roles are both broad and deep. The roles extend from entry level project support roles to very senior Project Controls Director roles which may be at Board level. Project Controls are also provided by specialist consulting firms and include a wide range of specialist areas including cost, scheduling, risk, quality, estimation, quantity and document control.

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[1] ProVoc is the UK National steering Committee raising the profile of Professional level National Vocational Qualifications (NVQs) for Project Management and Project Control staff in industry and commerce.

[2] Heywood, L., Gonczi, A., & Hager, P. (1992). A Guide to Development of Competency Standards for Professions. Canberra: Australian Government Publishing Service.

Work to date has focused on developing an understanding of a core set of performance based competencies expected of a Project Controller or Project Controls Manager. This was intended to provide a shared understanding of the 'job family' and a basis for further attempts at actually defining the roles.

At GAPPS Thought Leadership Forum No 38 in London the core set of performance based competencies were agreed in the form provided in this document.

A Project Controls Role Definition is provided in Section 1.2 and it is intended that this will be provided in a Wiki via the GAPPS website to enable ongoing development between GAPPS sessions.

1.1. Role Context

The role of the *project controls manager* in this context may be for single or multiple projects. The role *of project controls manager* is generally to support the project manager(s) to achieve project objectives by establishing the baseline plan, confirming the control basis, metrics and assumptions, identifying deviations and recommending corrective actions.

In some organizations the *project controls manager* is a position with that title, while in others, it may be termed differently. This may be a position or an assignment. Whenever a single individual is clearly responsible for providing project controls support to the project manager, that individual can be considered to be a ***project controls manager*** for the purposes of this framework.

Incidental notes:

- Activities referred to in the standard may be undertaken by the Project Controls Manager or by a member of their team or other specialist.
- Every decision must support business value.
- The project controls manager is the navigator. The Project Manager is the pilot.
- Project Controls have a key role of providing reliable information in a timely manner to enable decision makers to make informed decisions.

1.2. Role Definition for Project Controls

Level	At this level you would typically be responsible for:	Desirable attributes would include:
Strategic	In line with the organisational risk appetite: – setting the overall governance and policy framework for controls including roles and responsibilities, reporting and operating structures, assurance processes, tools, compliance and continuous improvement; – monitoring performance of the overall project, program or portfolio to identify systemic and cumulative risk, – intervening to maintain strategic alignment; – developing and sustaining organisational controls capability; – embodying desired values, behaviours and ethics.	– an interdisciplinary understanding of the business context, – credibility that enables engagement with and influence of stakeholders, – intuitive insight into control functions – maintain confidentiality Typical role titles: Head of Project Controls Controls Director
Tactical / Integrative	Within strategy, governance and policy framework – implementing policy, developing project specific procedures and making tactical level decisions – evaluating risks and dependencies within the project and applying appropriate control approaches – gathering and making sense of data, monitoring and reporting on performance – recommending decisions, approaches and response options – managing and developing control teams – resolving conflicts as required	– an interdisciplinary understanding of the controls function – interpersonal, influencing, delegating and negotiation skills that enable coordination and timely elicitation of performance data – ability to understand the full extent of the project / program – an appreciation of systems architecture and tools – analytical ability – maintain confidentiality Typical role titles: Controls Manager Project Controls Manager Controls Executive Officer Baseline Manager Integrative Baseline Manager Project Controller
Discipline specific	In one or more of the control disciplines: – providing expertise including production, collection, collation, dissemination, synthesis, analysis and meaningful interpretation and administration of data and information – providing timely insights, advice and contributions in areas of discipline expertise – interfacing effectively with other project disciplines and functions	– technical / sub discipline expertise – accuracy and proactive ability to obtain information and apply judgement – understanding of their role within the overall controls function – ability to identify and communicate pertinent information – maintain confidentiality Typical role titles: Planning / Cost Engineer Scheduler Quality Controller/ Quality Controls Manager Estimator Risk Controller / Risk Manager Cost Controller Cost Schedule Analyst Cost Account Manager

Figure 1. Descriptions of Role Differentiators

2. Project Controls: Units, Elements, and Performance Criteria

2.1. Overview of Performance Based Competence Standards

This section provides a brief overview of the subject of performance based competency standards (PBCS) for potential users of this document who are not familiar with the topic.

Competent comes from the Latin root *competere* which means "to be suitable." In today's workplace, the term "competent" is generally used to describe someone who is sufficiently skilled to perform a specified task or to fill a defined position — a competent physician, a competent salesperson, a competent plumber. Increasingly, organisations are interested in assessing the competency of individuals in order to guide employment and development decisions.

Broadly speaking, there are two major approaches to defining and assessing competency:

- *Attribute based* wherein personal attributes such as knowledge, skills, values, attitudes, and other characteristics are identified and assessed. Competency is inferred based on the presence of the necessary attributes.
- *Performance based* wherein work outcomes and performance levels are identified and assessed. Competency is inferred based on the demonstrated ability to satisfy the performance criteria.

PBCS, also called occupational competency standards, are widely used throughout the world and have been developed within the context of government endorsed standards and qualifications frameworks in Australia (Department of Employment, Education and Workplace Relations: DEEWR), New Zealand (New Zealand Qualifications Authority: NZQA), South Africa (South African Qualifications Authority: SAQA), and the United Kingdom (Qualifications and Curriculum Development Agency: QCDA). Although all of these approaches are focused primarily on *performance based* competency assessment, some approaches do include aspects of *attribute based* competency assessment.

2.2. Design of the GAPPS Framework

PBCS typically address at least the following two questions:

- What is *usually* done in this occupation, profession, or role by competent performers?
- What standard of performance is *usually* considered acceptable to infer competency?

In the GAPPS frameworks, these questions are answered by defining:

- **Units of Competency**

  A Unit of Competency defines a broad area of professional or occupational performance that is meaningful to practitioners and which is demonstrated by individuals in the workplace. This GAPPS framework includes 6 Units of Competency.

- **Elements of Competency**

  Elements of Competency describe the key components of work performance within a Unit. They describe *what* is done by individuals in the workplace but do not prescribe *how* the work is done. For example, project sponsors must "cultivate stakeholder commitment," but they can do this using approaches and tools of their own choice. This GAPPS framework includes a total of 24 Elements of Competency.

- **Performance Criteria**

  Performance Criteria set out the type and/or level of performance required to demonstrate competency in each element. They describe observable results and/or actions in the workplace from which competent performance can be inferred. In the GAPPS framework, Performance Criteria can be satisfied in many different ways; there are no mandatory approaches, tools, or methodologies. This GAPPS framework includes a total of 79 Performance Criteria.

- **Explanatory Statements**

  Explanatory Statements help to ensure consistent interpretation of the Elements and the Performance Criteria by expanding on critical or significant aspects of them to enable consistent application in different contexts. They also may include a description of a range that may apply to the context of the experience. Where the Explanatory Statements contain lists, the lists are generally illustrative and not exhaustive.

Although some of the terms and definitions of the GAPPS framework described above differ in some respects from other PBCS, the overall approach is consistent and compatible with generally accepted practice within the field of competency development and assessment.

The Performance Criteria in this document focus on *threshold* performance — demonstration of the ability to do something at a standard considered acceptable in the workplace. They do not measure *superior* performance — what the best project controllers do. Superior performers should be able to satisfy the threshold criteria without difficulty.

The GAPPS frameworks include the minimum number of Performance Criteria needed to infer competency. As a result, a candidate must satisfy all of the Performance Criteria in the applicable Units in order to be viewed as competent. In addition, the Performance Criteria represent different levels of effort. The number of Performance Criteria in a Unit or Element is not proportional to the amount of time or effort that an individual must spend in that area to be viewed as competent.

The material in this document can also be used to support learning and development when applied by qualified educators and trainers. In order to provide such support, the GAPPS framework would need to be expanded to address questions such as:

- What skills and knowledge are needed to demonstrate this standard of performance?
- What are the parameters for collecting evidence and assessing performance?

2.3. Detail of Units, Elements, and Performance Criteria

The following pages detail the Units, Elements, and Performance Criteria of this framework. They are presented using the format illustrated below in Figure 2.

PC0X	**Unit Title**
Unit Descriptor	A Unit of Competency defines a broad area of professional or occupational performance that is meaningful to practitioners and which is demonstrated by individuals in the workplace. This GAPPS framework includes 6 Units of Competency.

PC0X	**List of Elements**
X.1	Elements of Competency describe the key components of work performance within a Unit.
X.2	They describe *what* is done by individuals in the workplace but do not prescribe *how* the work is done.
X.3	This GAPPS framework includes a total of 24 Elements of Competency.

PC0X	**Element Y**
X.Y	Element description is repeated here.

Performance Criteria	**Explanatory Statements**
X.Y.1 **Performance criteria** set out the type and/or level of performance required to demonstrate competency in each element. X.Y.2 **Performance criteria** describe observable results and/or actions in the workplace from which competent performance can be inferred. X.Y.3 **Performance criteria** are written using the passive voice to facilitate evaluation of evidence during assessment. X.Y.4 This GAPPS framework includes 79 **Performance Criteria**.	a. **Explanatory statements** are provided for key words and phrases in the element descriptions or the **performance criteria**. b. **Explanatory statements** may provide clarification and a general guide for the scope and context in which an individual is expected to perform by describing a range of situations or conditions that may apply c. The **explanatory statements** provide guidance for both Assessors and for the individuals being assessed. c. **Explanatory statements** are provided the first time each term is used in a unit. Although additional explanations may be included if required to clarify the context of a criteria

Figure 2. Illustration of presentation format for Units, Elements, and Performance Criteria

2.4. Summary of Unit Titles and their Elements

Units	Elements
PC01. Appreciate the context for project control	1.1 Understand project control requirements
	1.2 Work within governance framework
PC02. Develop control processes	2.1 Establish monitoring processes
	2.2 Develop coding structures
	2.3 Utilize information management systems
	2.4 Apply measurement approaches
PC03. Support development of integrated baseline	3.1 Facilitate refinement of project deliverables and requirements
	3.2 Define executable packages of work
	3.3 Establish the baseline
	3.4 Communicate with other functions
	3.5 Support validation of the baseline
PC04. Implement control framework	4.1 Apply project control processes
	4.2 Ensure information quality
	4.3 Analyse comparative data
	4.4 Implement agreed reporting structures
	4.5 Recommend corrective action
	4.6 Support implementation of corrective actions
PC05. Exercise professional and social responsibility	5.1Observe and apply professional ethics and values
	5.2 Maintain effective working relationships
	5.3 Ensure continued personal and professional performance
PC06. Manage the control team (optional for Project Controller)	6.1 Allocate work to the team
	6.2 Agree objectives with team and individuals
	6.3 Develop the skills of team members
	6.4 Build an environment of confidence and trust within the control team

Figure 3. Summary of Unit Titles and Elements

2.5. Detail of Units, Elements, and Performance Criteria

The following pages detail the Units, Elements, and Performance Criteria of this framework.

PC01	**Appreciate the context for project control**
Unit Descriptor	This Unit defines the Elements required to demonstrate an understanding and appreciation of the requirements for project controls. It includes the Performance Criteria required to demonstrate competency in how the project controls work, within an organisation/project and within a governance framework.

PC01	**List of Elements**
1.1	Understand project control requirements
1.2	Work within governance framework.

PC01	**Element 1**
1.1	Understand project control requirements

Performance Criteria	**Explanatory Statements**
1.1.1 Project and project control objectives are understood. 1.1.2 Established **budget** for project **control function** is confirmed 1.1.3 Understanding of **project control organization structure** is demonstrated. 1.1.4 Limits of **personal expertise** are acknowledged. 1.1.5 **Roles and responsibilities** are **confirmed**. 1.1.6 **Operating processes and procedures** are identified. 1.1.7 **Control requirements** of **relevant stakeholders** are understood.	**Appreciate** should be interpreted and applied relative to the context within which the person is operating. **Budget** may be in terms of time, cost and/or resources. Note that this is the budget for the **control function** for the project. The budget may be provided or may be negotiated by the Project Controls Manager. **Project control organization structures** will vary according to project type, size and complexit**y.** Controls include a wide range of specializations. Acknowledgement of **personal expertise** is an important element in determining additional controls assistance and expertise that may be required. **Roles and responsibilities** will include reporting relationships and authority levels. **Confirmed** may include negotiation to deal with variations in expertise. **Operating processes and procedures** are those relevant to the project and the controls function. They may be those of the parent organization, joint venture or alliance partners, contractors and any other relevant parties. **Control requirements** may include interpretation and treatment of baselines and change requests. They include approval, monitoring and reporting processes and may include or be affected by such things as the level of project complexity, form of contract, commercial and regulatory requirements. They may include defining measures, tolerances, frequencies or other parameters. **Stakeholders** include individuals and organisations whose interests may be affected by the project, or whose actions may have an effect on some aspect of the project. Stakeholders may include project proponents, sponsors, clients, customers, contractors, collaborators, contributors, champions, constituent project managers, project team members, project support staff, subcontractors, suppliers, media representatives, and the general public. Stakeholders may be internal to or external from the sponsoring organisation. The **relevance** of a stakeholder may be affected by the impact on the stakeholder, or by the stakeholder's impact on the project, and by cultural or ethical considerations. Different stakeholders are relevant in different situations. Relevant stakeholders will include contractors and the control requirement including process and submissions required from them.

PC01 Element 2	
1.2 Work within **governance framework**	
Performance Criteria	**Explanatory Statements**
1.2.1 Alignment of reporting structures with organisational and project strategy is maintained. 1.2.2 **Information** required to control the project is defined, agreed and **reviewed** 1.2.3 Prescribed signing and approval authorities are fully understood and applied. Approval processes and authorities are confirmed and applied.	**Governance framework** refers to the corporate and project governance frameworks within which the project will be conducted. Breadth and depth of **information** gathered should be limited to the minimum required to satisfy stakeholder control requirements. Information requirements should be **reviewed** at key stages of the project life cycle to ensure they remain fit for purpose

PC02	Develop control processes
Unit Descriptor	This Unit defines the Elements required to develop project control processes. It includes the Performance Criteria required to demonstrate competency in how to establish monitoring processes, develop coding structures, utilize information management systems and apply measurement approaches.

PC02 List of Elements
2.1 Establish monitoring processes
2.2 Develop coding structures
2.3 Utilize information management systems
2.4 Apply measurement approaches

PC02 Element 1	
2.1 Establish monitoring processes	
Performance Criteria	**Explanatory Statements**
2.1.1 **Criteria for acceptable performance** are established and agreed. 2.1.2 Report content, formats and frequencies are determined. 2.1.3 **Sources of data** are identified. 2.1.4 Responsibilities for **information provision, monitoring and control** are defined and accepted.	**Criteria for acceptable performance** may include tolerances e.g. 5% above or below budget or schedule; triggers for unacceptable performance, escalation, key performance indicators (KPI) and the like. **Sources of data** should be transparent and traceable. They may include any of the parties involved in the project such as project team / functions principal sub-contractors and supply chain, customer, and any data systems used by these parties. Regular and other meetings required for **information provision, monitoring and control** such as board meetings should be scheduled and included in the communication plan in order to coordinate and facilitate the flow of information. The Project Manager should include this in the communication plan.

PC02 Element 2	
2.2 Develop coding structures	
Performance Criteria	**Explanatory Statements**
2.2.1 **Coding structures** are selected to facilitate measurement and reporting requirements. 2.2.2 Compatibility with organizational accounting and data reporting requirements is maintained.	**Coding structures** are a means of integrating elements of project control, reporting and accounting particularly for use with information management systems. They may be provided or required by the client, based on organizational processes, industry or ISO standards, determined by the information management system to be used, or developed specifically for the project. They may be a combination of the above.
PC02 Element3	
2.3 Utilize information management systems	
Performance Criteria	**Explanatory Statements**
2.3.1 **Information management systems** are selected or adapted to suit the specific requirements of the project. 2.3.2 A data repository is established. 2.3.3 Agreed data integrity and security principles are applied.	**Information management systems** should be used effectively for sharing of information and integrated reporting.
PC02 Element 4	
2.4 Apply measurement approaches	
Performance Criteria	**Explanatory Statements**
2.4.1 **Performance measures** to be used are determined and agreed by **relevant stakeholders.** 2.4.2 Compliance with **applicable industry standards** is ensured**.** 2.4.3 **Measurement criteria** are established.	**Performance measures** will be appropriate to the size and complexity of the project and may include staff turnover, rates of production, number of rejects, number of change requests, rate of work performance or output compared to expectations, safety performance, labour productivity. Earned Value measures of SPI and CPI are examples of performance measures. **Stakeholders** include individuals and organisations whose interests may be affected by the project, or whose actions may have an effect on some aspect of the project. Stakeholders may include project proponents, sponsors, clients, customers, contractors, collaborators, contributors, champions, constituent project managers, project team members, project support staff, subcontractors, suppliers, media representatives, and the general public. Stakeholders may be internal to or external from the sponsoring organisation. The **relevance** of a stakeholder may be affected by the impact on the stakeholder, or by the stakeholder's impact on the project, and by cultural or ethical considerations. Different stakeholders are relevant in different situations. **Applicable industry standards** include local and national regulations. The same information may need to be provided in different ways to satisfy different requirements. **Measurement criteria** would be developed as a basis for monitoring. They would be specific to each project. They may include quality, efficiency, stakeholder expectations and acceptance criteria. This may be an iterative process to ensure satisfaction of all relevant parties

PC03	Support development of integrated baseline
Unit Descriptor	This Unit defines the Elements required to support the development of an integrated baseline for a project. It includes the Performance Criteria required to demonstrate competency in defining packages of work, establishing, validating and integrating baselines and communicating with other functions. In the context of project controls, a baseline is an approved start point used as a basis for performance measurement

PC03 List of Elements

3.1 Facilitate refinement of project deliverables and requirements
3.2 Define executable packages of work
3.3 Establish the baseline
3.4 Communicate with other functions
3.5 Support validation of the baseline

PC03 Element 1

3.1 Facilitate **refinement of project deliverables and requirements**

Performance Criteria	Explanatory Statements
3.1.1 Detail of **deliverables and requirements** for the overall project or phase are verified. 3.1.2 **Assumptions and constraints** are documented.	**Integrated baseline** may also be referred to as the project plan. Items in Integrated baseline should include audit requirements. High level **deliverables and requirements** would be provided by the Project Manager. Input for **refinement of deliverables and requirements** may be obtained from participating specialists. **Assumptions and constraints** made in developing baselines must be documented.

PC03 Element 2

3.2 Define executable packages of work

Performance Criteria	Explanatory Statements
3.2.1 Detailed **breakdown structures** are developed. 3.2.2 Responsibilities for work packages are identified.	**Breakdown structures** may include breakdown of project, product, resource, organisation and work breakdown structures, milestone deliverables, work packages and the like.

PC03 Element 3

3.3 Establish the **baseline**

Performance Criteria	Explanatory Statements
3.3.1 **Resource requirements** are determined 3.3.2 Sources of data are identified. 3.3.3 **Input** is sought from **other functions.** 3.3.4 **Scope, cost, schedule, risk and quality baselines** are integrated.	**Baseline** in the context of project controls is an approved start point used as a basis for performance measurement. **Resource requirements** may include staffing, material, funding, machinery, time, equipment, supplies **Input** may include confirmation of resource availability, scope, cost, timing, regulatory, environmental, political, economic, contractual and other implications and do-ability review **Other functions** may include design, engineering, procurement, construction, human resources, finance, commercial, operations and the like. Development of **scope, cost, schedule, risk and quality baselines** may be the responsibility of separate specialists. Procurement, operational, environmental, communication, resource and other baselines may be included.

PC03 Element 4	
3.4 Communicate with other functions	
Performance Criteria	**Explanatory Statements**
3.4.1 Report content, formats and frequencies are determined. 3.4.2 Responsibilities for information provision are defined and accepted. 3.4.3 Baseline information is provided as an input to **other functions**. 3.4.4 Information on quality and availability of potential **resources** is provided.	**Resources** may include but are not limited to staffing, material, funding, machinery, time, equipment, supplies
PC03 Element 5	
3.5 Support validation of the baseline	
Performance Criteria	**Explanatory Statements**
3.5.1 Compliance with applicable standards and regulations is verified. 3.5.2 Alignment with **declared strategy** is maintained. 3.5.3 **Independent expert review** is sought. 3.5.4 Supporting **artefacts** are provided	**Declared strategy** is that which has been adopted by the project. It may be specific for the project, an organisation strategy and / or the project control strategy. **Independent Expert review** may include peer review or be provided by specialists independent from the project, internal or external. **Artefacts** may include but is not limited to written, printed or electronic documents, digitised matter, drawings, models, or photographs that provide information or evidence or that serve as an official record.

PC04	Implement control framework
Unit Descriptor	This Unit defines the Elements required to implement the control framework. It includes the Performance Criteria required to demonstrate competency in how to support the project applying control processes, gathering and analysing data and information, providing reports, recommending corrective actions and supporting the implementation of corrective action.

PC04 List of Elements

4.1 Apply project control processes
4.2 Ensure information quality
4.3 Analyse comparative data
4.4 Implement agreed reporting structures
4.5 Recommend corrective action
4.6 Support implementation of corrective actions

PC04 Element 1

4.1 Apply project control processes

Performance Criteria	Explanatory Statements
4.1.1 Actual performance data is captured 4.1.2 **Impacts** of **change** are analysed. 4.1.3 **Approved changes** are incorporated into the baseline and relevant documents	**Impact** is the effect of a change on the baseline or project objectives. **Change** is a positive or negative deviation from baseline and can be as the result of for example; a scope change, inefficiencies, external influences, safety issues. **Approved changes** should only result in a change to the baseline if this is in accordance with the governance framework.

PC04 Element 2

4.2 Ensure information quality

Performance Criteria	Explanatory Statements
4.2.1 Ability to obtain information from stakeholders is demonstrated. 4.2.2 Information is questioned for meaning, validity and **reliability**. 4.2.3 Information is stored, maintained, updated and utilized	**Reliability** includes backward (accurate) and forward looking (forecast) perspectives. It also includes confidence that information will continue to be provided predictably.

PC04 Element 3

4.3 Analyse comparative data

Performance Criteria	Explanatory Statements
4.3.1 Performance **variances** are analysed 4.3.2 Performance forecasts are conducted.	**Variances** may be positive or negative differences from the baseline

PC04 Element 4	
4.4 Implement agreed reporting structures	
Performance Criteria	**Explanatory Statements**
4.4.1 Project reports are issued in accordance with the governance and control frameworks. 4.4.2 Applicable **regulatory and commercial control requirements** are supported. 4.4.3 Information is collated to validate **submissions**.	**Regulatory requirements** will usually be imposed as a result of legislation. They may be generic or industry specific and will normally vary with jurisdiction. **Commercial control requirements** will be defined by the contract or other applicable form of engagement. **Submissions** may be from contractors, suppliers, vendors, service providers, consultants or to customers, clients or other stakeholders and may include claims, bids / tenders, product reviews, invoices, reports, updated schedules etc.
PC04 Element 5	
4.5 Recommend corrective action	
Performance Criteria	**Explanatory Statements**
4.5.1 **Response options** are generated. 4.5.2 **Viable** options are identified. 4.5.3 Selected **response options** are documented and proposed	**Corrective actions** address reported variances in project performance. They may relate to variations from baseline or to requirements or opportunities for continuous improvement. **Viability** is established by way of expert judgement or a qualitative assessment, or by quantitative analysis. **Response options** may include but is not limited to requests for further information / detail, engagement of other experts, coaching and mentoring, updating of systems, re-planning, or stopping depending on the particular challenge. Impact analysis may be undertaken in developing options.
PC04 Element 6	
4.6 Support implementation of corrective actions	
Performance Criteria	**Explanatory Statements**
4.6.1 Approved **response options** are communicated for implementation. 4.6.2 Relevant documents are updated to reflect the impacts of action approved for implementation. 4.6.3 **Adjustments** to systems, policies, and procedures are documented, proposed, approved by relevant stakeholders and tracked to **resolution**. 4.6.4 **Impacts** of implemented corrective actions are monitored, captured and reported.	**Adjustments** may be highlighted by insights from, for example; reviews, system failures and gaps, benchmarking. **Resolution** may include updated or changed systems, processes, policies and procedures but may be finalised by non-acceptance. Where possible official sign-off should be obtained. **Impacts** may be positive or negative.

PC05	Exercise professional and social responsibility
Unit Descriptor	This Unit defines the Elements required to maintain effective and professional working relationships. It includes the Performance Criteria required to demonstrate competency in applying values and ethics in a professional manner, achieving effective working relationships and continuing development of performance.

PC05 List of Elements

5.1 Observe and apply professional ethics and values

5.2 Maintain effective working relationships

5.3 Ensure continued personal and professional performance

PC05 Element 1

5.1 Observe and apply professional ethics and values

Performance Criteria	Explanatory Statements
5.1.1 Accepted **values and ethics** are defined and communicated 5.1.2 **Behaviours** reflect accepted ethics and values 5.1.3 **Sensitivity** to local cultural values, ethics and practices is demonstrated.	**Values** and **ethics** referred to here will include industry ethics and those stated at organisational, team, professional and cultural level. **Behaviours** may be agreed at organisational, project or team level. **Sensitivity** includes accommodation of differing values, ethics and practices of communities, suppliers, workforce, political context and the like.

PC05 Element 2

5.2 Maintain effective working relationships

Performance Criteria	Explanatory Statements
5.2.1 Desired results are achieved through influence and positive behaviour. 5.2.2 The priorities, expectations and needs of colleagues are understood and considered when making decisions and taking actions. 5.2.3 Issues are resolved in a **constructive manner**. 5.2.4 **Communication**s are conducted in accordance with the approved communication plan. 5.2.5 People are treated with **respect.**	**Constructive manner** may include Conflict resolution techniques such as: Crucial conversations, Negotiation, escalation up the line, dealing with the issue not the person. **Communications** may include content required, method used (e.g., electronic, phone, meeting), geographical dispersion, protocols, cultural differences, and confidentiality requirements. They may be documented formally or informally and may be included in other project documentation**.** **Respect** may include consideration of cultural differences, sensitivity of information shared etc.

PC05 Element 3

5.3 Ensure continued personal and professional performance

Performance Criteria	Explanatory Statements
5.3.1 Personal development plan is documented, updated and implemented. 5.3.2 Personal performance is **evaluated** and reviewed against an agreed **performance contract**	**Evaluated** may include 360 degree and other approaches and will usually be in accordance with organizational performance evaluation processes. It should be supported by individual review and reflection on personal performance. A **performance contract** is the formal or informal agreement between an individual and their employer concerning expectations of their performance in their role.

PC06	Manage the control team (optional for Project Controller)
Unit Descriptor	This Unit defines the Elements required to manage the project control team. It is an optional unit as a specialist project controls person may not be managing a team. It includes the Performance Criteria required to demonstrate competency in how to allocate work, support and develop the team.

PC06	List of Elements
6.1	Allocate work to the team
6.2	Agree objectives with team and individuals
6.3	Develop the skills of team members
6.4	Build an environment of confidence and trust within the control team

PC06	Element 1	
6.1	Allocate work to the team	
Performance Criteria		**Explanatory Statements**
6.1.1	Roles and responsibilities are clarified, agreed, documented and communicated	**Agreed** includes documentation of said agreement.
6.1.2	Work is assigned and **agreed**.	

PC06	Element 2	
6.2	Agree objectives with team and individuals	
Performance Criteria		**Explanatory Statements**
6.2.1	Performance criteria for each team member are clarified, negotiated and agreed.	**Team Objectives** are aligned to the project objectives
6.2.2	**Team objectives** are mutually developed, understood and agreed.	
6.2.3	Individual and team performance is monitored and feedback provided.	

PC06	Element 3	
6.3	Develop the skills of team members	
Performance Criteria		**Explanatory Statements**
6.3.1	**Professional development** is encouraged and acknowledged.	**Professional development** may include internal accreditation / internal licence to operate.

PC06	Element 4	
6.4	Build an environment of confidence and trust within the control team	
Performance Criteria		**Explanatory Statements**
6.4.1	Team members are treated fairly and equitably.	
6.4.2	Open discussion is encouraged and facilitated	
6.4.3	Differences are managed constructively.	
6.4.4	Issues and concerns are attended to in a timely manner.	
6.4.5	Interpersonal and leadership styles are chosen and applied based on the circumstances.	
6.4.6	Personal commitments are realistic and honoured.	
6.4.7	An independent and objective perspective is maintained.	

Figure 4. Detail of Units, Elements, and Performance Criteria

APPENDIX A

Record of contributors to the performance based framework for Project Controls

NAME	REPRESENTING	COUNTRY
Adamopoulos, Pierre	Heriot Watt University	UK
Aitken, Alicia	PPG / Telstra	Australia
Al-Qahtani, Ali S	Ma'aden Aluminium Company	Saudi Arabia
Al-Shammary, Sami	Ma'aden Aluminium Company	Saudi Arabia
Andrew Gale	University of Manchester	UK
Andrew Tims	Major Projects Authority, UK	UK
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Baker, Chris	NAB	Australia
Baker, Rod	APMG	UK
Bibby, Jon	Costain	UK
Ben Aiben, Saad	Ma'aden Aluminium Company	Saudi Arabia
Bentley, Lesley	Living Planit	Australia
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Billat, Pensilla	Sasol Ltd	South Africa
Botes, Melani	SOLAL	South Africa
Buhagiar, Michael	Sydney University	Australia
Callaway, Amy	TBH Group	Australia
Castillo, Omar	Sydney University	Australia
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Chung, Ken	Sydney University	Australia
Coleman, Sarah	APM	UK
Crawford, Lynn	Bond University	Australia
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David Preece	APM	UK
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NAME	REPRESENTING	COUNTRY
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Ho, Bernard	SPM	Singapore
Hoffman, Ed	NASA	USA
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Morar, Sunil	Sasol Ltd	South Africa
Morgan, David	BG Group	UK
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Ruiz, Natalie	Heriot Watt University	UK
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NAME	REPRESENTING	COUNTRY
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Veloz, Carolina	UTS	Australia
Voolhofer, Alexander	Projekt Management Austria	Austria
Wallace, Yvonne	Living Planit	Australia
Wilson, Liz	APM	UK
Witte, Rob	Worley Parsons	South Africa
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Yuen, Mun Wye	SPM	Singapore
Ziying Liang	University of Manchester	UK