

SIPRI Project Management Guidelines

I. INTRODUCTION

Purpose and objectives

Project Management Guidelines (PMGs) shall ensure that all the Institute's projects are being managed in an efficient, systematic and accountable way.

The ultimate goal is to ensure that SIPRI continues to deliver high-level research outputs in line with the Institute's strategy and with good internal cooperation. All SIPRI projects are to be conducted and managed in the spirit of good will, mutual respect, transparency, and accountability.

Scope of application

The PMGs apply to the whole life cycle from first idea to final closure of all research and activity projects that require an application for funding, regardless of their scale, duration and level of ambition.

II. PROJECT LIFECYCLES

Initiating a project

It is good practice to discuss project ideas at a very early stage, before they are even fully formed, with colleagues, line manager and Outreach. As the idea becomes a plan, it is good to outline it in a brief e-mail or memo and share it with the relevant line manager, normally a Program Director (PD) or Director of Studies (DoS). For ambitious projects, it makes sense for the DoS to be consulted early in the process. The DoS decides whether to take the project at this stage to the SMT.

The go-ahead from the PD and DoS is an informal and provisional approval for the project initiator (PI) to develop a concept note and outline plan.

A. The concept note

The draft shall always include the project rationale, the intended impact, the anticipated timeline, the outputs and outcome(s).

At this stage, the planning addresses the resources that would be needed to implement the project as conceptualized:

- **Funds:** A preliminary discussion is held between the PI and the Grants Manager (GM) to assess costs. The PI, GM, PD and DoS identify possible sources and work out the best fundraising strategy.
- **Outreach:** The PI consults with the Outreach department on outreach aspects of the project. Report publication, including design and editing, electronic media and events must all be costed within the project budget.

- **Staffing:** If the project necessitates hiring new staff, the PI follows the guidelines set out in the SIPRI recruitment Process. This document can be found on the intranet. Decisions on hiring can only be taken by SMT. The PI must take the issue to SMT at an early stage in the planning.
- **External partners:** SMT approval is required for entering, extending or revising any form of partnership with other organisations or individuals as part of a project. Again, the PI must take the issue to SMT at an early stage in the planning.

When all necessary sign-offs have been received – GM, Outreach, SMT as appropriate – the PI may finalise the draft concept note for approval by PD and DoS. It is the DoS's decision as to whether the concept note should be forwarded to the Director, Deputy Director or other SMT members for review before signing off. The DoS's sign-off includes formally appointing the project manager (PM), should funding be received and the project be implemented.

It is the PM's responsibility to ensure that the concept note, all agreements and supporting, explanatory correspondence are kept as part of the project documentation, including where applicable, agreements etc. with external partners. All originals should be handed over to the Finance Department and stored in the Grants cabinet.

Applying for external funding

The PM drafts an application for external funding in line with the donor's requirements and deadlines. Before being submitted, the budget must be checked by the GM and the budget and the narrative by the PD and DoS. For large projects (over SEK 3m in total), approval by both the DoS and the Director or Deputy is required. Applications must be submitted for approval with enough time before any submission deadline, see appendix 1 Flowchart.

Most applications are submitted to the donor by the GM. All applications to the Swedish MFA should be submitted by the Deputy Director.

Project implementation

The project implementation can formally begin:

- as soon as a contract with the donor has been signed.
- a project plan has been set up in cooperation with the staff involved in the project, including Outreach and Finance.

Roles and responsibilities

The PM assumes the main responsibility for successful implementation of the project with timely delivery of all project outputs and in fulfilment of all other contractual obligations towards the donor(s).

Apart from working on the substance and day-to-day management of the project, the PM:

- Communicates to the Project Controller the monthly salary allocation;
- Signs time sheets for all staff involved in the project, when time sheets are required by the donor;
- Informs the Project Controller about invoicing upon deliverables and reimbursement requests to donors/partners. It is always the Project Controller who prepares and sends the invoices and reimbursement requests;
- Ensures that partners/suppliers have correct invoicing instructions before submitting invoices to SIPRI;

- Submits all relevant project documentation to the Project Controller for filing; and
- Does all other required administrative follow up. The Project Controller prepares the financial follow up and checks it with the PM.

The Project Controller:

- Creates a project code to be used in all financial matters;
- If applicable, books an audit for the project;
- If applicable, prepares time sheets to be used by the project;
- Drafts any subcontract(s) for external partners/suppliers;
- Sends invoices/requests for funds to donors;
- Sends requests for reimbursement to donor/partners;
- Prepares financial reports to the donor(s);
- Files all relevant project documentation, both in paper format as well as electronically, through appropriate entries in the project management database;
- Makes available said documentation upon demand; and
- Provides any other professional financial management support to the PM.

The DoS:

- Monitors the status of implementation of all the ongoing projects in her/his respective cluster;
- Updates the DD on the status of project(s) implementation;
- Provides advice and guidance to the PM; and
- In case of *force majeur* takes over project implementation, partially or in full, in coordination with and upon advice of the SMT.

The Communications Director:

- Designates a Point of Contact for each project so as to facilitate internal communication;
- Keeps an overview of the projects' deliverables and their timeline;
- Ensures that SIPRI Attribution Policy is applied when project deliverables include publications; and
- Suggests and implements measures so as to ensure a smooth and coordinated approach in terms of SIPRI outputs.

The Deputy Director:

- has a general overview of the status of all ongoing projects and keeps the SIPRI Director up to date.

The Cluster Coordinator:

- The Cluster Coordinators will introduce the project management guidelines first to the Programme Directors within their clusters.
- Supports the introduction of the guidelines and the project planning tool within the Clusters (in cooperation with Grants Manager and other members of the Finance team).
- Helps coordinate the implementation between the different departments and between different projects within the Cluster.
- Helps the DoS monitor the status of the implementation of all on-going projects within the Cluster.

Project closure

The project is closed when all the deliverables have been successfully produced and/or handed over and the final narrative and financial report have been submitted to the donor(s) as per contractual obligations. The project cannot be closed until the donor approves the final delivery. The PM ensures that this is done in a timely and professional manner.

The PM ensures that, where applicable, all external parties to the project are duly informed of the project closure.

The PM ensures that all signed contracts (with the donor(s)), subcontractors, external experts, suppliers etc.), time sheets and other relevant documentation (project application, key e-mails, reports, summary of main achievements etc.) are submitted to the Project Controller for filing as soon as the PM receives them. Scanned copies may be accepted in cases where originals are not available. All contracts should also be uploaded in the SIPRI Project Management Database.

All financial documentation relating to the project shall be kept by SIPRI for up to ten years after the project closure.

III. FINAL PROVISIONS

Internal evaluation

Depending on the nature and the scope of the project, and if so desired by the PM and/or other SIPRI project participants, the PM can initiate and conduct an informal internal evaluation of the project.

Data collected as part of the research activities

Any personal data collected and processed as part of a project shall be treated in accordance with the provisions of the General Data Protection Regulation. Such personal data shall be kept only as long as necessary for the purpose(s) for which it was collected, and in accordance with donor requirements and other applicable legal norms.

Data needs to be securely destroyed when no longer required.

Experience sharing and lessons learned

It shall be considered as good practice to share experiences and lessons learned from the projects on a regular basis e.g. through presentations at the cluster meetings, Research Staff Collegium or at Brown Bag lunches.

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