



University  
of Glasgow

**Estates Directorate  
Project Delivery Handbook**



<b>SECTION 1: INTRODUCTION</b>	<b>2</b>	<b>4.2. PROCUREMENT</b>	<b>16</b>	<i>4.6.4 Risk Assessments and Method Statements</i>	<b>28</b>
<b>SECTION 2: PROJECT DELIVERY</b>	<b>3</b>	4.2.1 Consultants	17	<i>4.6.5 Audits and Inspections</i>	<b>28</b>
<b>SECTION 3: UNIVERSITY GOVERNANCE REQUIREMENTS</b>	<b>5</b>	4.2.2 Contractors	18	<i>4.6.6 Incident Reporting</i>	<b>29</b>
3.1 COMMITTEE STRUCTURE	6	4.2.3 Form of Contract	18	<i>4.6.7 Don't Walk By - Safety Observation</i>	<b>29</b>
3.2 GOVERNANCE LEVELS	7	4.2.4 FF&E	18	<b>4.7 PROJECT PERFORMANCE</b>	<b>30</b>
3.2.1 Projects valued less than £0.1million	7	4.2.5 Procurement Policy Exceptions	18	4.7.1 Dashboard Reports	30
3.2.2 Projects valued £0.1million to £0.5million	7	<b>4.3 COST</b>	<b>19</b>	4.7.1.1 Statuses on the Dashboard Report	30
3.2.3 Projects valued £0.5million to £3million	8	4.3.1 Initial Estimate of Cost template	19	4.7.2 Weekly Project Updates	30
3.2.4 Projects valued £3million to £25million	8	4.3.2 Cost Management	19	4.7.3 Contract Management	30
3.2.5 Projects valued greater than £25million	9	4.3.3 Lifecycle Costing	19	4.7.4 Cashflow Reporting	33
3.3 INVESTMENT APPLICATIONS BUSINESS CASE GUIDANCE	10	4.3.4 Change Control	20	4.7.5 Campus Heat Map	33
3.4 GATEWAY REVIEWS	10	4.3.4.1 Change Control Authorisation	20	4.7.6 Master Schedule	33
3.4.1 OGC Gateway Review (Projects > £25million only)	11	4.3.5 Project Overspend Guidelines	20	<b>SECTION 5: UOFG PROJECT STAGES</b>	<b>34</b>
<b>SECTION 4: PROJECT PROCEDURES</b>	<b>12</b>	4.3.6 Risk Management	22	<b>SECTION 6: APPENDICES</b>	<b>37</b>
4.1 GOVERNANCE	13	4.3.6.1 Risk Analysis	22	<b>APPENDIX A – ROLES &amp; RESPONSIBILITIES</b>	<b>38</b>
4.1.1 Capital Plan Engagement Form	13	4.3.7 Purchase Order Requisitions	22	A1 All Stages	38
4.1.2 Project Brief	13	4.4.1 Design Standards	23	A2 RIBA Stage 0 – Strategic Definition	39
4.1.3 Funding Set up Form	13	4.4.2 Soft Landings	24	A3 RIBA Stage 1 – Preparation & Brief	40
4.1.4 Sustainability Interventions	14	4.4.2.1 Design Consultees	25	A4 RIBA Stage 2 – Concept Design	41
4.1.4.1 Sustainability Guardians	14	4.4.3 Project Execution Plan	26	A5 RIBA Stage 3 – Developed Design	42
4.1.5 Capital Revenue Split Guidance	14	<b>4.5 TIME</b>	<b>27</b>	A6 RIBA Stage 4 – Technical Design	43
4.1.6 Benefits Schedule	15	4.5.1 PM Programme Requirements	27	A7 RIBA Stage 5 – Construction	44
4.1.7 Investment Applications	15	4.5.2 Other Programmes	27	A8 RIBA Stage 6 – Handover & Close Out	45
4.1.8 Post Project Reviews and Lessons Learned	16	4.5.2.1 Project Programme	27	A9 RIBA Stage 7 – In Use	46
4.1.9 Data Retention and Information Management	16	4.5.2.2 Contract Programme	27		
		<b>4.6 HEALTH &amp; SAFETY COMPLIANCE</b>	<b>28</b>		
		4.6.1 Health & Safety Policy Statement for the Directorate	28		
		4.6.2 Compliance Team	28		
		4.6.3 Contractor Induction	28		

Version	Review date	Reviewed by
2.1	June 2023	M. Hipkin
2.0	October 2022	R. Andrews

Next review date: January 2024

To recommend additions or amendments please complete this form:  
[Project Delivery Handbook - Amendments & Additions](#)

## Section 1: Introduction

The University of Glasgow (UofG) owns and operates an estate of over 295 buildings with a gross floor area of circa 400,000m<sup>2</sup> across 17 locations. The Estates Directorate manages and maintains the physical building assets for the University including the delivery of Projects and Programmes.

The University undertakes a broad range of projects through the annual Estates Capital Plan. The most common types of projects found in Estates are:

- Refurbishments
- New Builds
- Compliance
- Business Improvement
- Maintenance (Reactive, PPM, Lifecycle and Backlog)

These projects and programmes are separated into three financial categories:

Asset Management Projects	Campus Enhancement Projects	Major Projects
Typically covers asset management works	Typically take place on the existing UofG estate	Typically involve strategic, campus expansion works
Project types include Compliance and Maintenance	Project types include refurbishments	Project types include New Builds
Typical funding categories include Annual Maintenance and Asset Management	Typical funding categories include Campus Enhancement, College funded, Learning Spaces & Sustainability	Typical funding categories is Major Projects

As Estates delivers such a wide range of projects, the Project Management Framework must be as adaptable as possible. The framework consists of three basic elements and features common elements from several external best practice resources:

- The Standard Project Lifecycle,
- Processes, and
- Tools, i.e., systems, templates, etc.

There are standard Project Management processes as well as University Business processes relevant to projects. Some processes are relevant only to specific project phases and some are relevant across the entire project lifecycle. Each process is supported by a standard procedure which can be found in the **Project Management (PM) Library** on Teams. For relevant organisational business process which are owned and maintained by area outside Estates, this handbook references to them where applicable, but does not provide step-by-step details. In these instances, the relevant University site or department is provided for reference/queries.

Several types of organisational business systems and tools are used to support the processes throughout a project's lifecycle. These currently include:

- Estates Directorate PM templates – using Excel and Word formats.
- Estates Directorate standards, e.g., Design Standards
- Microsoft Teams & SharePoint – for access to the [Project Management Library](#) (for templates) and [PM Portal](#) (for lists relevant to project delivery)
- Agresso – UofG Financial Management System
- External standard templates, e.g., NEC3 and NEC4 contract templates

This Project Delivery Handbook provides those managing Projects with a route map, processes, and procedures to follow. These have been developed to assist individuals to deliver Projects in a standardised way whilst retaining sufficient flexibility to meet the requirements of individual Projects.

In addition, this Handbook identifies the roles and responsibilities of the various Project Team members, both University and external, through the life of the Project. It should be noted that the size of the Project Team can vary depending upon the size and/or complexity of the project. Details of specific responsibilities should be included in the Project Execution Plan (PEP) which is normally produced at an early stage in any project. The PEP is considered to be a 'live' document which will be updated through the various stages in a Project. The PEP will also include a full project Directory of key people involved in the Project.

This Handbook also includes details of the University's Governance structure for the delivery of Projects; however, it should be noted that Governance Approvals vary slightly for differing values of spend and these are as detailed in [Section 4.1 Governance](#).



## Section 2: Project Delivery

All projects delivered by the Estates Directorate are done using the NEC Suite of documents with NEC4 Engineering & Construction contracts being utilised for all new projects.

The Project Management Procedures contained within this Handbook have been developed using the RIBA Plan of Work 2020 as the backbone for their delivery and has been constructed generally in line with the eight stages contained within that Plan of Works which cover the full lifecycle of any project.



RIBA Plan of Work 2020

Activities, outputs, and approvals generally required before progressing to the subsequent stage are detailed in [Section 6 Appendices](#)

It should be noted that to allow for ease of understanding in project reporting, these 8 stages have been consolidated in to 5 key phases as detailed in the below table.

RIBA Stage	Reporting Stage
0 – Definition	Initiating
1 – Preparation and Briefing	Feasibility
2 – Concept Design	Planning & Design
3 – Spatial Coordination	
4 – Technical Design	
5 – Manufacturing and Construction	Delivery
6 – Handover	Handover
7 – Use	Embedding & Closure

UofG Lifecycle Phases

Please note that generally, text highlighted in **bold** refers to either further information of documentation (including templates) contained in the [Project Management Library](#) in Teams or specified locations. [Hyperlinks](#) refer to sections of this handbook or external resources.





## Section 3: University Governance Requirements

### 3.1 Committee Structure

The University has strict Governance requirements surrounding the delivery of all Projects.

The highest level, University Court, has oversight of all governance matters and must have confidence that projects are well managed ensuring they are delivered on time and within budget while providing a fit for purpose, built environment. Many stakeholders will be involved in the design and delivery of new Projects, and it is important that a range of processes and procedures are in place to manage their delivery, governance, and oversight in a uniform manner.

The University has a hierarchy of Boards and Committee in place to oversee the delivery of projects and govern the proper use of the University's resources. The table below illustrates the relationship of the various bodies and their remits in broad terms along with the financial governance forms required for the relevant committees.

Further information on the Governance within the University can be accessed here: <https://www.gla.ac.uk/myglasgow/governance/corporategovernance/>

Capital Plan Steering Group	Investment Committee	Estates Committee	Finance Committee	Court
Projects up to £500k	Projects £500k to £3m	Projects £3m to £25m	Projects £3m to £25m	Projects over £25m
The Capital Plan Steering Group (CPSG) is responsible for the oversight and management of the Estates Capital Plan up to a total project value of £500k. The main purpose of the group is to monitor the delivery of projects and initiatives within the Capital Plan, maintain and review the pipeline of new work, monitor resourcing, and consider risks to delivery.	The Investment Committee (IC) is responsible for reviewing, approving, and monitoring University investments in projects and initiatives with a total value of between £500k and £3m across several University functions. Where investments exceed £3m, IC will review these ahead of submission to Estates and Finance Committees and, if applicable, University Court. The main purpose of the committee is to evaluate, approve and monitor investments to maximise financial and non-financial return on investment within agreed budgets.	Estates Committee (EC) are appointed by University Court to oversee and ensure governance for all property and infrastructure matters for the University thereby providing a duty of care to students, staff, and stakeholders. EC will endorse all relevant property strategies including the University Estates Strategy, Estates Business Plan and Estates Annual Operating Plan. The committee will also ensure that the Estates Directorate have sufficient resource to delivery strategies and other relevant activities as requested by University Court.	Finance Committee (FC) are appointed by University Court and monitor the income and expenditure of the University with oversight and pre-court approval of the annual budget. FC makes decisions on investment requests for expenditure between £3m and £25m and makes recommendations to Court for expenditure greater than £25m.	The University Court is the governing body of the University and is sometimes compared to the Board of Directors of a company. All projects over £25m must go to court for approval.
<b>Project Brief for feasibility (up to end of RIBA Stage 1, if applicable)</b> <b>Investment Application Form for all projects RIBA stage 2 onwards</b>		<b>Business Case Template &lt; £3m</b>	<b>Business Case Template &gt; £3m</b>	

Estates Financial Governance bodies

## 3.2 Governance Levels

The level of governance applied to an individual project is determined by value. There are four categories of projects, the values noted in the below headings are inclusive of total project costs including VAT.

### 3.2.1 Projects valued less than £0.1million

Projects less than £0.1million require minimal governance and will be led by the Sponsor from the College or University Services and will be delivered working with a Project Manager from the Estates Directorate and some projects, dependent on the complexity of the scope may require the involvement of a Development Manager.

Each project must ensure that the following actions are taken:

- Capital Plan Engagement Form even if project is already on the approved Capital Plan or is on a college reserve list.
- Brief/Scope taken to Capital Plan Steering Group for approval up to feasibility if applicable.
- Agresso number set up for Project (if applicable)
- Order Letter must be generated (Refer to section [4.2 Procurement](#))
- Requisition raised to generate the PO for works (Refer to section [4.3.6 Purchase Order Requisitions](#))
- Reporting carried out as per section [4.7 Project Performance](#)

### 3.2.2 Projects valued £0.1million to £0.5million

For projects that over £0.1million but under £0.5million will be led by the Sponsor from the College or University Services and will be delivered working with a Development Manager and Project Manager from the Estates Directorate.

Each project must ensure that the following actions are taken:

- Capital Plan Engagement Form even if project is already on the approved Capital Plan or is on a college reserve list.
- Brief/Scope taken to Capital Plan Steering Group for approval up to feasibility (if applicable)
- Agresso number set up for Project (if applicable)
- Order Letter must be generated (Refer to section [4.2 Procurement](#))
- Requisition raised to generate the PO for works (Refer to section [4.3.6 Purchase Order Requisitions](#))
- Investment Application taken to Capital Plan Steering Group
- Gateway Approvals undertaken at the relevant project stages.
- Project cashflow monitored & updated as required.
- Change Control
- Risk Management in line with University Policy (Refer to section [4.3.5 Risk Management](#))
- Reporting carried out as per section [4.7 Project Performance](#)



### 3.2.3 Projects valued £0.5million to £3million

For projects that over £0.5million but under £3million will be led by the Sponsor from the College or University Services and will be delivered working with a Development Manager and Project Manager from the Estates Directorate. There will also be a Project Delivery Board (PDB), or Project Steering Group established.

Each project must ensure that the following actions are taken:

- Capital Plan Engagement Form even if project is already on the approved Capital Plan or is on a college reserve list.
- Project Sponsor identified and Project Development/Delivery Board (PDB) / Project Steering Group established.
- Regular reviews (monthly at a minimum) reviewing project safety, schedule, cost, quality, tasks completed, and future tasks provided by the Development/Project Manager/Workstream leads and actions are documented.
- Brief/Scope taken to Capital Plan Steering Group for approval up to feasibility (if applicable)
- A project charter should be developed for each project and reviewed / updated by the Review Meeting on a regular basis.
- Agresso number set up for Project (if applicable)
- Order Letter must be generated (refer to section [4.2 Procurement](#))
- Requisition raised to generate the PO for works (refer to section [4.3.6 Purchase Order Requisitions](#))
- [Business Case \(Projects < £3million\)](#) taken to Capital Plan Steering Group then to Investment Committee for endorsement and approval.
- Gateway Approvals undertaken at the relevant project stages.
- Project cashflow monitored & updated as required.
- Change Control
- Risk Management in line with University Policy (refer to section [4.3.5 Risk Management](#))
- Reporting carried out, with project RAG status agreed at the review (Refer to section [4.7 Project Performance](#))
- Sponsor to escalate any concerns in relation to project RAG status to the Head of Projects

### 3.2.4 Projects valued £3million to £25million

For projects that are over £3million but under £25million will be led by the Sponsor from the College or University Services and will be delivered working with a Development Manager and Project Manager from the Estates Directorate. There will also be a Project Delivery Board (PDB) established.

Each project must ensure that the following actions are taken:

- Capital Plan Engagement Form even if project is already on the approved Capital Plan or is on a college reserve list.
- Project Sponsor identified and Project Development/Delivery Board (PDB) established.
- Regular reviews (monthly) reviewing project safety, schedule, cost, quality, tasks completed, and future tasks provided by the Development/Project Manager/Workstream leads and actions are documented.
- Brief/Scope taken to Capital Plan Steering Group for approval up to feasibility (if applicable)
- A project charter should be developed for each project and reviewed / updated by the Review Meeting on a regular basis.
- Agresso number set up for Project (if applicable)
- Order Letter must be generated (refer to section [4.2 Procurement](#))
- Requisition raised to generate the PO for works (refer to section [4.3.6 Purchase Order Requisitions](#))
- [Business Case \(Projects > £3million\)](#) taken to Capital Plan Steering Group, Investment Committee, Estates Committee and Finance Committee for endorsement and approval.
- Gateway Approvals undertaken at the relevant project stages.
- Tax classification undertaken and reviewed.
- Project cashflow monitored & updated as required.
- Change Control
- Risk Management in line with University Policy (refer to section [4.3.5 Risk Management](#))
- Reporting carried out, with project RAG status agreed at the review (Refer to section [4.7 Project Performance](#))
- Sponsor to escalate any concerns in relation to project RAG status to the Head of Projects

### 3.2.5 Projects valued greater than £25million

For projects that are over £25million will be led by the Sponsor from the College or University Services and will be delivered working with a Development Manager and Project Manager from the Estates Directorate. There will also be a Project Delivery Board (PDB) established.

Each project must ensure that the following actions are taken:

- Capital Plan Engagement Form even if project is already on the approved Capital Plan or is on a college reserve list.
- Project Sponsor identified and Project Development/Delivery Board (PDB) established.
- Regular reviews (monthly at a minimum) reviewing project safety, schedule, cost, quality, tasks completed, and future tasks provided by the Development/Project Manager/Workstream leads and actions are documented.
- Brief/Scope taken to Capital Plan Steering Group for approval up to feasibility (if applicable)
- A project charter should be developed for each project and reviewed / updated by the Review Meeting on a regular basis.
- Agresso number set up for Project (if applicable)
- Order Letter must be generated (refer to section [4.2 Procurement](#))
- Requisition raised to generate the PO for works (refer to section [4.3.6 Purchase Order Requisitions](#))
- [Business Case \(Projects > £3million\)](#) taken to Capital Plan Steering Group, Investment Committee, Estates Committee and Finance Committee for endorsement and approval.
- Gateway Approvals undertaken at the relevant project stages.
- OGC Gateway(s) – Review 3: Investment decision is the minimum requirement.
- Tax classification undertaken and reviewed.
- Project cashflow monitored & updated as required.
- Change Control
- Risk Management in line with University Policy (refer to section [4.3.5 Risk Management](#))
- Reporting carried out, with project RAG status agreed at the review (Refer to section [4.7 Project Performance](#))

- Sponsor to escalate any concerns in relation to project RAG status to the Head of Projects



### 3.3 Investment Applications Business Case Guidance

The University has developed a suite of Business Case documentation for use on Investment projects. This suite has three key documents:

- Investment Application Form
- Business Case Template (<£3million)
- Business Case Template (>£3million)

By using similar headings across the 3 documents, only one form needs to be completed for each investment request, and the same form can be used for every UofG committee, approver, or approval body.

Most investment requests will only need to complete the Investment Application Form unless the request is for more than £500k or is seeking to use funding from the Strategy or College Surplus pots.

The Business Case forms comprise of two parts that should be completed: an Executive Summary plus the main body of the document. The Investment Application Form broadly mirrors the Executive Summary of the Business Case.

Further information, guidance and a library of best practice can be viewed and downloaded here: <https://www.gla.ac.uk/myglasgow/investments/>



### 3.4 Gateway Reviews

As part of the University's approach to delivery and governance of projects there is a requirement to adopt the principles of the BISRIA Softlandings and obtain "sign off" at key stages within the project lifecycle.

These key stage approvals will ensure that all project stakeholders have awareness of projects taking place with the opportunity to influence them and provide feedback as the project progresses and completes. They also act as useful reference points should there be a need to refer to what the project detail was at a particular point in time and/or who had sight of the information.

The process of going through these key stage approvals will drive compliance with the University's **Soft Landings Policy** and **Design Standards**.

There will be three key stage approvals:

- **End of RIBA Stage 0/1**  
To sign off the project brief (Project Sponsor, Development Manager, Project Manager and Technical Lead) and inform Design Consultees that the project exists, and that input will be sought in due course.
- **End of RIBA Stage 3**  
To sign of the detailed design by the Project Sponsor, Development Manager, Project Manager, Technical Lead and Design Consultees.
- **End of RIBA Stage 5**  
For the Project Sponsor, Development Manager, Project Manager and Technical Lead to sign of the completion of the works and to inform the Design Consultees that works are complete.

### 3.4.1 OGC Gateway Review (Projects > £25million only)

OGC Gateway reviews are short, focused peer reviews. They occur at key decision points in a project's lifecycle. The reviews are conducted by a team of experienced, independent practitioners and represent a snapshot of the project at a point in time. Recommendations are based on the interviews undertaken and evidence presented. The review is intended to be supportive and forward looking and take future plans into account but only as future intentions, rather than actualities.

OGC Gateway reviews are mandatory for all Public Sector Programmes and Projects delivered by organisations covered by the terms of the Major Investment Section of the Scottish Public Finance Manual. Although the University does not fall into this category, it has chosen to undertake an abbreviated number of these peer reviews.

It is proposed that these Gateway reviews are used for all projects with a total value of greater than £25million. The intention is to have a minimum of two Gateway reviews:

- **Gateway 3** – The Investment Decision
- **Gateway 5** – Operational Benefits Realisation

However, on a project-by-project basis a further a further review will be considered as a hybrid of Gateway Review 1 & 2.

The University shall select a panel of reviewers for each Gateway from a UK wide framework of competent assessors. The team of reviewers will typically consist of 3 people. The UofG's requirements for assessors will be determined by the project and the particular gate which is being reviewed.

In general terms however the University will look for experienced Gateway Reviewers who are strong in determining if benefits are clearly called out and if they are achievable; someone who can assess the complexity of construction and whether risks are being managed effectively; and someone who can assess if the projects approach to an operating model is correct.

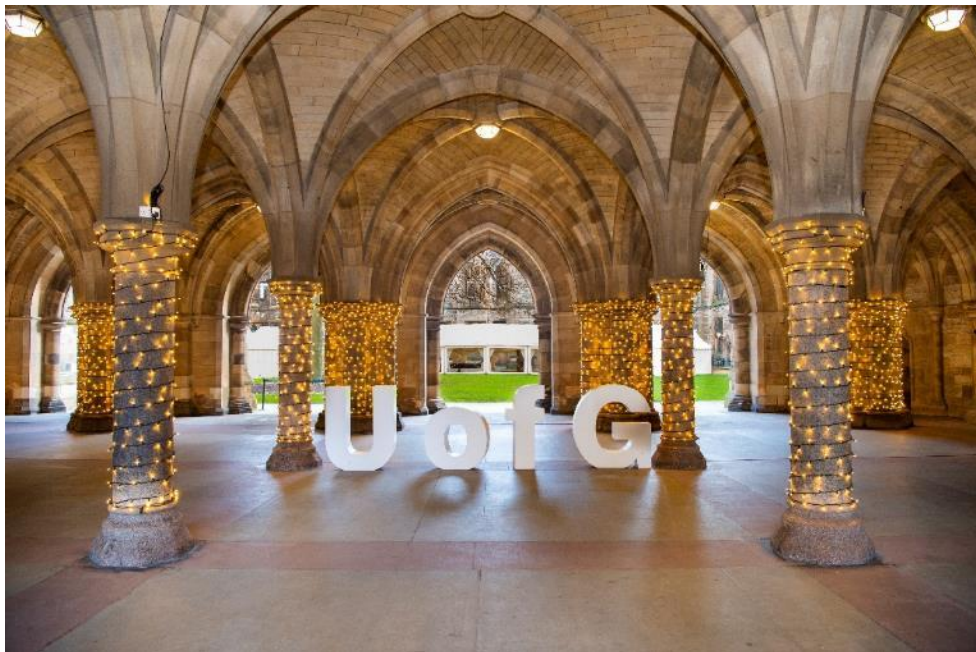
It is the intention that the Gateway Review team will report to the Project Sponsor and the relevant members of University Senior Leadership.





## Section 4: Project Procedures

## 4.1 Governance



### 4.1.1 Capital Plan Engagement Form

A **Capital Plan Engagement Form** must be submitted for all core projects and maintenance requests over £50k. All requests for reactive maintenance should be submitted via the [Estates Helpdesk](#).

The form should be completed by the user(s) requesting a new project and signed off by the College representative, Estates Business Partner, and the Estates PMO.

**If this form is not received by the [Estates PMO](#) it will not be recognised as a project, regardless of if it is on the Investment Plan, and therefore risks not being resourced.**

The intention of the form is to ensure that the project is aligned with the University's Strategic aims and prioritised before committing resource and money to develop the business case.

### 4.1.2 Project Brief

Where a project is in RIBA Stages 0/1 a **Project Brief** should be developed and approved. This document communicates the reason and approach for a project. The Project Brief should outline the objectives of the project, the scope, main deliverables, proposed funding source(s), milestones, and the timeline.

The development of the Brief is undertaken by the Project Development Manager who may be assisted by the Lead Advisor and the Design Team. However, it is imperative that the brief sets out the Client's requirements and not the Design Team or Lead Advisors view or interpretation of the requirements.

### 4.1.3 Funding Set up Form

Following the approval of the Project Brief, a **Funding Set Up Form** is required to be completed and sent to Estates Finance. This form is used to set the project up on the University's Financial Management System (Agresso). This form requires the following information to be provided:

- Budget Holder, Approver, and GRN person
- Total expected project budget
- Information of any linked sub projects
- Planned start and end dates on site.
- Project Type (New Build/Refurbishment/Maintenance etc.)
- Activities taking place in the building (Teaching/Research etc.)
- Details of any links to other buildings
- Project funding breakdown
- [Capital Revenue split](#).

#### 4.1.4 Sustainability Interventions

The University declared a climate emergency in May 2019 and has set out a route to 'net zero' carbon by 2030. Ensuring that all projects consider and implement sustainability good practice from RIBA Stage 0 will help the University to achieve its ambitions and enable the University to measure the sustainability impact of projects.

A number of interventions have been extracted from the SKA rating: Good Practice Measure for Higher Education v1.0' and these are listed in Appendix 1 of the **Project Brief** under the following headings:

- Energy Efficient Lighting
- Temperature Control
- Fabric Improvements
- Energy Efficient Lab Design
- Water
- Wellbeing
- Waste
- Transport

It should be noted if it is not possible to achieve the full requirements of the intervention then it should be addressed as far as possible. An example of this would be the requirements for cycle parking provision – if the full amount cannot be delivered then this should not be ignored, instead any additional cycle parking facilities should be delivered.

##### 4.1.4.1 Sustainability Guardians

An independent Sustainability Guardian has been appointed to support the UofG, Design Teams, and Contractor Teams with setting and subsequently delivering appropriate sustainability targets on new build and refurbishment projects. This role is intended to provide an independent appraisal of the target setting, measurement, and verification process to ensure they are ambitious, impactful and project specific.



#### 4.1.5 Capital Revenue Split Guidance

Funding for a project can either be from the Capital budget or Revenue. It can also be funded through a mix of the two. The below table provides indicative splits, dependent on the project type prior to FBC costs being known:

Project type	Capital	Revenue
Campus Enhancement	70%	30%
College Surplus Pot funded		
Learning Spaces		
Sustainability	0%	100%
Fabric / non-equipment replacement programmes		
MEP	90%	10%

#### 4.1.6 Benefits Schedule

The preferred definition of a benefit within the Higher Education sector is:

*“A benefit should establish a clear direction of improvement between two time points that is recognised by all stakeholders”.*

The project benefits should be agreed with the users. For projects >£500k, a benefits workshop should be organised amongst the PDB or Stakeholder Working Group once the scope of the works is agreed and understood.

The purpose of this workshop is to review and articulate the benefits of the proposed project and establish a baseline and measures of success.

The starting point for developing benefits should be to assess the potential impact of the project on the strategic direction of the University, as expressed in the current University Strategy.

It is expected that all projects will have more than one benefit each which are deliverable within defined time period. When defining benefits, a small number of measurable benefits (i.e., 4 or 5), and a realistic approach to measuring those benefits post implementation, is strongly preferred to a long list of minor gains or incremental improvements which will be difficult or time-consuming to track.

A tracker of benefits noted against Estates projects has been developed and can be accessed [here](#).

#### 4.1.7 Investment Applications

The templates for an Investment Application can be downloaded from the University’s Investment site [here](#) and should be used as appropriate to the total approval value being sought. The below table breaks down the levels of delegation and the template to used. All templates and guidance can be found on the [University’s Investments site](#).

Total Application Value (inc. VAT)	Delegated Approver(s)	Committee(s) submitted to	Form to be used
Up to £250k	Director of Construction and Capital Programme	Capital Plan Steering Group	Investment Application Form
£250k to £500k	Executive Director of Estates	Capital Plan Steering Group	Investment Application Form
£500k to £3million	Executive Director of Finance	Capital Plan Steering Group Investment Committee	Business Case Template (<£3m)
£3million to £25 million	Convenor of Estates Committee AND Convenor of Finance Committee	Capital Plan Steering Group Investment Committee Estates Committee Finance Committee	Business Case Template (>£3m)
Greater than £25million	Convenor of University Court	Capital Plan Steering Group Investment Committee Estates Committee Finance Committee University Court	Business Case Template (>£3m)

*Financial Approval Delegations*

**Applications planned for submission to Investment Committee must be uploaded to the PM Portal, no later than 2 weeks before the Committee date. Failure to meet this timeframe will result in the paper not being considered until the following meeting.**

Applications for fees or where there are no direct financial benefits do not require a Discounted Cashflow (DCF).

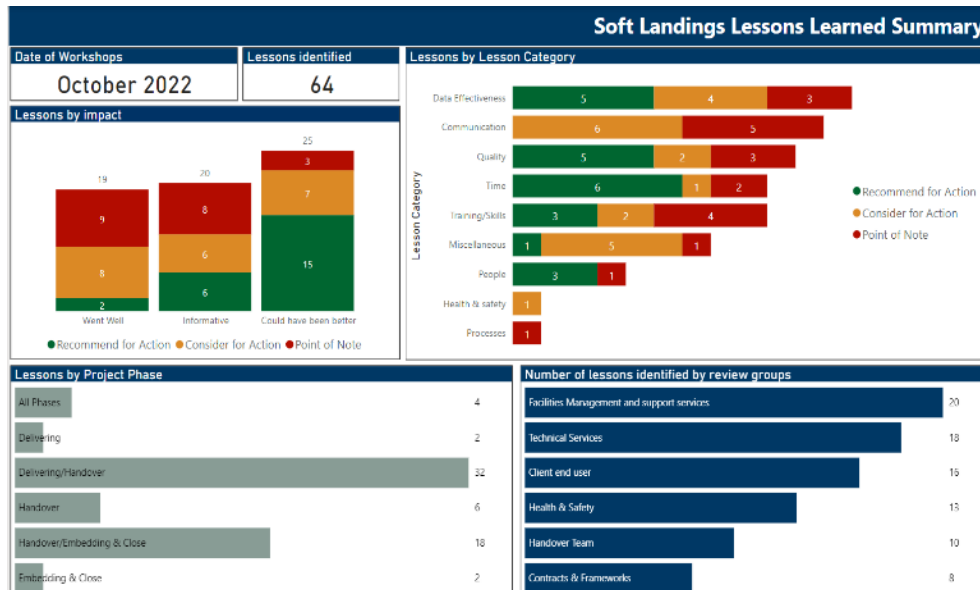


#### 4.1.8 Post Project Reviews and Lessons Learned

Post Project Reviews and/or Lessons Learned play important roles in the delivery of all Estates Projects. They provide the project team the opportunity to reflect on a project in terms of its strengths and weaknesses to determine how effectively the project was delivered. It also provides the opportunity to make recommendations for future projects to ensure that strengths continue to be enhanced and that weaknesses are mitigated to lesson any impact they have.

A lessons learned tracker is available for reference on the PM Portal SharePoint along with reports from previous projects.

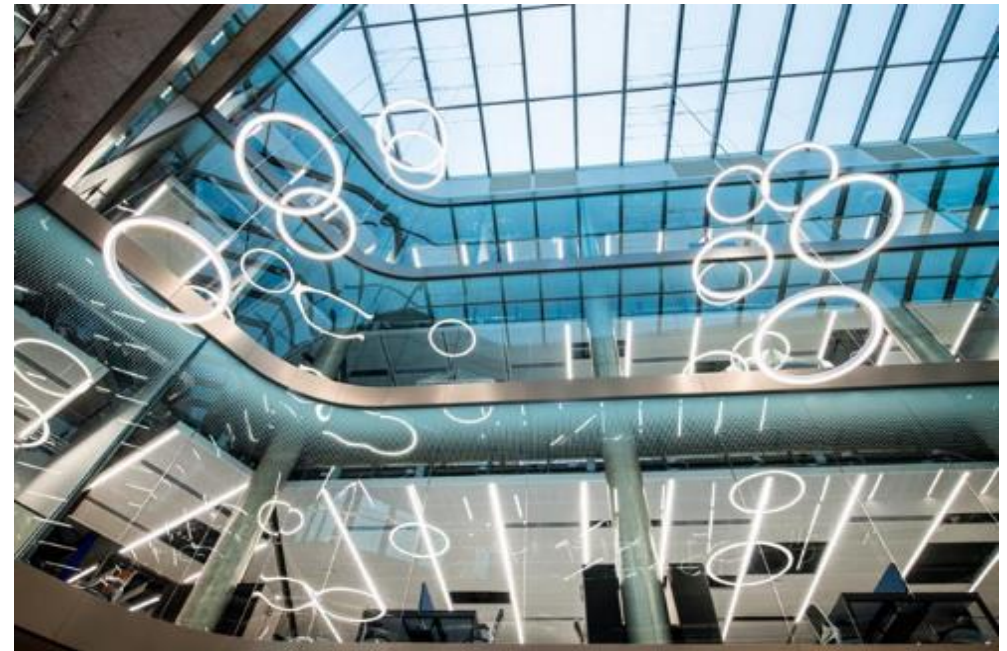
#### [Lessons Learned Tracker](#)



#### 4.1.9 Data Retention and Information Management

Data Retention and Information Management are currently under review within the University. Once confirmed, these will be made available.

#### 4.2. Procurement



To assist with the delivery of Engineering and Construction Projects the University operates several framework arrangements; the most relevant to the delivery of Estates projects are the frameworks for appointing a Consultant and Building Contractors.

Estates work closely with procurement colleagues and have developed guides for the procurement of Consultants and Building Contractors. These Buyers' guides and associate templates are available in the PM Library. If there is ever any dubiety on how these operate, Procurement Colleagues are available to offer support and guidance.

#### 4.2.1 Consultants

Consultants can be appointed through the Lead Advisor Framework which has been set-up to provide a one-stop shop for the selection and appointment of a project team. The range of services offered can be tailored to suit the project requirement. The full range of services procured through the Lead Advisor framework includes:

- Project Manager
- Principal Designer
- NEC Supervisor
- Architect
- Cost Manager
- Civil & Structural Engineer
- Building Services Engineer
- CDM co-ordinator
- Building Surveyors
- Landscape Architect
- Specialists – Fire Engineering, Acoustics, Environment & Sustainability, BMS, Asbestos, ICT, Transportation, Town Planning etc.

For the engagement of Lead Advisors there are two potential routes available to call off from the Framework agreement. Where works are up to a value of £250k a direct award can be undertaken. To proceed with this option, it is required the following are included to form the contract (unless stated the documentation is completed by the University):

- **Direct Award Justification Form** (providing this form to Procurement allows a PURCH reference to be allocated to the engagement for use going forward)
- **Services Enquiry**
- **Contract Data Part One**
- **Contract Data Part Two (completed by the Framework Consultant)**
- **The Clients Contract Data (Short Form)**
- **The Consultants Contract Data (Short Form)**
- **Activity Schedule (completed by the Framework Consultant)**
- **Pricing Schedule**
- **Order Letter**
- **Purchase Order**

Further information on the process and the templates required are available in the Project Management Library.

Where the contract value will exceed £250k the project will be subject to a mini competition. To progress with this the Project Manager must contact the Procurement Office as soon as the requirement is established.



#### 4.2.2 Contractors

Building Contractors can be appointed via the 'Construction Framework'. The purpose of this Framework Agreement is to deliver an efficient and compliant route to market for all minor works, whilst providing value for money.

The framework has been established with various bandings based on works value as follows:

Lot	Lot Description
Lot 2	Works of a value up to £250k
Lot 3	Works of a value of £250k to £3m
Lot 4	Works of a value of £3m+

*Contractor Framework Lots (valid until end of 2023)*

Where Lot 2 is being utilised, a Direct Award can be offered for works up to a value of £50k. To proceed a Direct Award, it is required the following are included to form the contract (unless stated the documentation is completed by the University):

- **Direct Award Justification Form** (providing this form to Procurement allows a PURCH reference to be allocated to the engagement for use going forward)
- **Works Enquiry**
- **Contract Data Part One**
- **Contractor Part Two (completed by the Framework Contractor)**
- **Activity Schedule (completed by the Framework Contractor)**
- **Pricing Schedule**
- **Order Letter**
- **Purchase Order**

For Lot 2 works over £50k as well as Lots 3 and 4, then a mini competition is the route of engagement. All documentation for this should be provided to the Procurement Office who will invite contractors to participate in the tender process which will be processed through Public Contracts Scotland.

Within these lots, a number of mini competitions have been undertaken to bundle project types into categories, including Lab Refurbishments, Workspaces etc. To utilise these, the Direct Award process can be utilised.

#### 4.2.3 Form of Contract

All University Construction Contracts and Professional Services are currently formed utilising one of the Contracts included in the **NEC Suite**. These can be viewed in the PM Library.

#### 4.2.4 FF&E

The University has a separate Framework agreement for the procurement of furniture and there are a number of agreements in place for the procurement of specialist equipment.

Colleagues in Procurement can advise who the current Framework and Specialist suppliers are.

#### 4.2.5 Procurement Policy Exceptions

This procedure should be used in exceptional circumstances where standard procurement guidance cannot be followed. The completed Procurement Policy Exception (PPE) Form **must** be completed and attached with requisition requests.

The PPE form and supporting guidance can be accessed and downloaded from the Procurement pages of the University website [here](#).

## 4.3 Cost



The University Finance department has a dedicated team who work in partnership with Estates, assisting in the management of cost throughout a project's lifecycle.

A project budget will be established for all projects by the end of RIBA stage 0 and this activity is included as part of the Stage Review. An **Initial Estimate of Cost** will be prepared by the Development/Project Manager and agreed with the Project Sponsor. On projects where a Lead Advisor or Cost Manager has been appointed, the Initial Estimate of Cost will be prepared in conjunction with the Consultant Team.

### 4.3.1 Initial Estimate of Cost template

The initial estimate of costs for each Project requires to include all costs arising including items such as enabling works, asbestos strip out, surveys, construction works, FF&E, staff, and removal costs. It is therefore important to capture as much detail as possible while preparing the initial cost estimate.

The **Funding Set Up Form** provides a prompt for the key types of costs to be considered on projects. Clearly some costs will not be able to be established fully at RIBA Stage 0, and where assumptions are made, these should be highlighted in an accompanying narrative.

VAT should be included for goods, services, and construction items liable at standard rate (20%) and reviewed with the Finance Team to determine a possible future recovery.

The £/m<sup>2</sup> rate for construction costs for the project should include main contractor preliminaries, overhead and profit. This rate may also include options.

The Project Team should include allowances for the relations and final connections for ICT and AV equipment by University Technical staff if this is not part of the main or specialist contractors works.

Allowance should also be made for any specialist works associated with asbestos, third party firestopping, decontamination (i.e., fume cabinets), disposal of chemicals and radiation decommissioning. Costs of Estates staff should be included and overtime for janitorial cover at weekends etc. An allowance may need to be included for inflation dependent on the duration of the project.

On large projects where early advice on specification and cost of specialist items such as FF&E are required, it may be appropriate to utilise the University Framework for advice. While this may bring a small initial fee it should bring a greater degree of cost certainty at an early stage.

### 4.3.2 Cost Management

Cost management involves the proves of planning and controlling the budget of a project, including activities such as cost planning, estimating, budgeting, funding, managing, and controlling costs so that a project can be completed with the approved budget.

### 4.3.3 Lifecycle Costing

Lifecycle costing (LLC) must be considered on UofG construction projects.

LCC is a tool to assist in assessing the cost performance of construction work, aimed at facilitating choices where there are alternative means of achieving the client's objectives and where those alternatives differ, not only in their initial costs but also in their subsequent operational costs. It allows these alternatives to be compared on the same basis. It is used for budgeting and for option appraisal.

Option appraisal using life cycle costing is specifically required for public sector organisations and guidance publications are available, notably [HM Treasury – The Green Book: Appraisal and Evaluation in Central Government](#). It is relevant to projects at all stages of the RIBA Plan of Work.

As a minimum, a Quantity Surveyor is expected to:

- Know the basic principle of life cycle costing.
- Know when to recommend a life cycle cost exercise to be done.
- Identify a suitable specialist if required.

The general principles of lifecycle costing should be applied to all projects. On larger projects or, where considered appropriate, cost consultants should prepare and present reports of life cycle costs to support better decision making.



#### 4.3.4 Change Control

Change Control is established to manage change in a structured and transparent way. It will ensure that when a potential change is proposed, all parties are in a position to make informed decisions based upon a full understanding of the implication of change, certainty of commitment and with a high degree of predictability of outcome.

Change will generally fall into a number of categories as a result of:

- University held risks.
- University initiated changes to the brief/works information (increased or decreased scope).
- Contractor held risks.
- Contractor opportunities

##### 4.3.4.1 Change Control Authorisation

Where a proposed change is out with the Project Manager's delegated authority, approval must be sought from the Project Sponsor and/or other parties detailed in Table 1 below.

The **Change Control Authorisation Form (CCF)** must be used to capture this approval from the relevant authorised persons. When presenting this change, it is important to determine if the change is to utilise an allowance in the construction cost make-up or if it is project contingency spend being requested. It is recommended that a project change tracker is presented with each proposed change control to all the authoriser to understand the financial position of the project. **Any change controls seeking over £250k (exc.) VAT must be submitted via the [Estates PMO](#).**

##### 4.3.5 Project Overspend Guidelines

In some cases, the contingency sum held is not sufficient to cover cost overruns resulting in a overspend against the approved project budget. In these cases, a separate governance route must be followed as summarised below in Table 2.

Approval must be made prior to the project exceeding the approved budget and where possible any risk of overspend should be listed in the risks and opps trackers to give prior warning to the applicable governance boards and/or Committees.

Project Lifecycle Stage	Scope of Authority	Change Requests (exc. VAT)	Project Development Manager/ Project Manager	Project Sponsor/Board & Head of Projects/ Project Director/ Head of PMO	Director of Construction & Capital Programme	Executive Director (Estates)	Capital Programme Governance Board (Executive Director of Finance)
<b>Scope of authority (Up to and Post FBC)</b>	Management of University retained and specified risks	Individual Event (Based on value)	Up to £20,000 Transferring funds into contingency	Up to £50,000	Up to £250,000	Over £250,000	Over £500,000
<b>Design/Scope changes with <u>no impact on budget</u></b>			Impact of request is minimal and is accepted by end user(s) and has no impact operationally	Impact of request requires a minor change to project scope (no schedule slippage and no risk to achieving benefits). Impact of request is not accepted by end-user(s)	Impact of change requires a major change to scope (slippage in project schedule and/or risk of not achieving project benefit(s)). Change request has significant impact operationally		

Table 1: Change Control Values & Delegation

Value of overspend	Up to £50k	£50k to £250k	£250k to £500k	Over £500k
<b>Explanation</b>	If the projected overspend is less than £50k then this should be referred to the Head of Finance who will agree the governance route.	If the projected overspend is between £50k and up to £250k then the original business case should be amended to reflect the reasons for the overspend. This should then be sent to the Head of Estates Finance, Director of Projects, and Executive Director of Estates for approval. If the Head of Finance believes that the overspend is disproportionate to the project budget, then they can choose to escalate to investment Committee for review.	If the projected overspend is between £250k and up to £500k then the original business case should be amended to reflect the reasons for the overspend and be presented to Investment Committee for approval. This should be sent to the Head of Estates Finance, Director of Projects Executive Director of Estates for approval prior to being shared with Investment Committee.	If the projected overspend is greater than £500k then the original business case should be amended to reflect the reasons for the overspend and be presented to Finance Committee for approval. This should be sent to the Head of Estates Finance, Director of Projects, Executive Director of Estates, and Investment Committee for approval prior to being shared with Finance Committee.

Table 2: Overspend Guidelines

#### 4.3.6 Risk Management

Risks and opportunities are an inherent part of any project and must be actively managed throughout the whole project by all team members. The University has a Risk Management policy and framework in place, the purpose of which is to provide:

- Definition of risk, roles and responsibilities and the encompassing governance structure
- A consistent set of tools required to adopt good practice in the identification, assessment, mitigation, and monitoring of risk. It is intended to cover risk at a strategic and operational level as well as support the delivery of change through our project management framework.

It is under this policy and framework the risk is defined as:

*The threat or possibility that an action, event or set of circumstances will adversely or beneficially affect an organisation's ability to achieve its objectives.*

*Risk management is defined as the planned and systematic approach to identifying, assessing, addressing, and managing risk.*

Further information and guidance on risk management in the University can be located here, including impact statements & scoring, probability scoring and risk appetites.

<https://www.gla.ac.uk/myglasgow/riskattheuniversity/>

##### 4.3.6.1 Risk Analysis

A qualitative analysis must be carried out which assesses risk probabilities and impacts and places them in comparative bands, these bands must reflect the project's risk appetite, be agreed by all stakeholders, and be applied to all risks.

The following tables should be used to assess risk impacts and probability/likelihood. Each project should consider if the impact values are correct for their project and adjust as required.

#### 4.3.7 Purchase Order Requisitions

Purchase Order requisition requests must be submitted to pay for project costs to companies set up on the Agresso System. Requests should be submitted via the relevant **requisition form template** in the PM Library in Teams to [Estates Business Hub](#) unless training has been received by a Project Manager to raise directly.

All PO requests must include the following information:

1. Requisition Category (selected from drop down box). This will prepopulate the additional information box. Follow instructions outlined in the box.
2. The Agresso Project number. This is the budget that will be charged the full cost.
3. The relevant PURCH number including the DA number allocated by Procurement.
4. The product code: For this, it is important the correct form in the PM Library is chosen. There are three templates: one for Capital projects, one for Revenue projects, and one for Sustainability projects. The code should start with CAP for capital projects, and EB for revenue. There are dropdown boxes in each template to choose the appropriate codes. If a CAP code is put where an EB code should be, you will be emailed to fix it.
5. Supplier name and ID
6. A short description of the service/goods being paid for.
7. The approved budget.
8. The quote value to be paid.
9. Once all this information is correctly inputted, the final box on the spreadsheet should pre-populate. If it does not, please check your formula is working correctly, and that all the information has been put in correctly.
10. If anything gets bounced back, someone from estates business services will contact you via email to fix the problem.

**Purchase Order Requisition requests should be submitted on the standard templates, (Capital/Revenue/Sustainability) accompanied by the relevant approved documentation (Business Case, Change Control etc.)**

**Please note that it is imperative that no work proceeds until there is an approved Purchase Order in place confirming financial commitment by the University.**

## 4.4 Quality



### 4.4.1 Design Standards

The **University of Glasgow Design Standards** reflect good industry practice and standards and sets out the drivers for achieving a Sustainable Campus. The Design Standards Document is primarily relevant for new build projects but also incorporates specific requirements for refurbishment and redevelopment works.

These Design Standards define the requirements for all projects undertaken by the University and must be used by all; including Staff, Contractors, Architects, Designers, Design Teams, and Consultants.

If any derogations are proposed to the criteria defined in this document, these must be detailed in a derogation schedule on a project-by-project basis and approved by UofG Design Champions through the Soft Landings Process.

Prior to commencement of Design for any Project, the below noted reference material should be considered:

- **The University of Glasgow Strategy – 2025**
- **The University of Glasgow Estates Strategy – 2025**
- [Glasgow Green: The UofG's response to the climate emergency](#)
- **The University of Glasgow Soft Landings Policy**
- **Gilmorehill Campus Masterplan and Design Guides**

The Design Standards are a live document with the latest revision available in the Project Management Library.

**Note:** When the initial Stage 0 sign-off is circulated to the Design Consultees there may be certain Consultees who decide the project has no relevance to their specialism and opt out for the remainder of the project





#### 4.4.2 Soft Landings

An important part of the University's approach to delivery and governance of Core and Asset Management projects is there is a requirement to adopt the principles of BSRIA Soft Landings and obtain "sign-off" at key stages in the Project's lifecycle.

Soft Landings is the process of aligning the interests of those who design and construct an asset with the interests of those who use and manage it. It aims to improve client and user experiences, with reduced revisits, and to give a product that meets and performs to client expectations. Per the UK Cabinet office, all publicly funded projects should be delivered in accordance with Government Soft Landings (GSL) as part of the public sector adoption of Building Information Modelling (BIM).

The key benefits of adopting a Soft Landings approach are to:

- Reduce cost and improve performance of asset delivery and operation.
- Manage aftercare during early operations, supported by the design and construction team.
- Encourage collaborative Post Operational Evaluation to measure and optimise asset performance and embed lessons learnt.
- Use BIM Level 2 as an asset/data management tool to assist the briefing process.

The key stage approvals will ensure that all project stakeholders have awareness of projects taking place, have the opportunity to influence them and have the opportunity to feedback on them after completion.

The process of going through these Key Stage Approvals will drive compliance with the University's Soft Landings Policy.

A full copy of the **Soft Landings Policy** is contained in the Project Management Library.

There are 3 Key Stage Approvals for Projects

#### End of RIBA Stage 0/1

- To sign off the project brief (Sponsor, DM, PM, and Technical Lead) and inform the Design Consultees that the project exists and that their input will be sought in due course.

#### End of RIBA Stage 3

- To sign off the detailed design (Sponsor, DM, PM, Technical Lead, and Design Consultees)

#### End of RIBA Stage 5














- To sign off completion of the works (Sponsor, DM, PM, and Technical Lead) and inform the Design Consultees that the works are complete.

When the initial Stage 0/1 sign off is circulated to the Design Consultees there may be certain Consultees who decide the project has no relevance to their specialism and opt out for the remainder of the project. This should be notified in writing to the DM/PM.



#### 4.4.2.1 Design Consultees

Design Consultees to be consulted through the Soft Landings process cover a wide range of areas and expertise. These are detailed in the below list.

	<b>FIRE- Billy Russell</b>		<b>BUILDING CONTROL- Scott Thomson</b>		<b>SALTO- Margaret Slevin</b>
	<b>COMPLIANCE- Donna Robertson</b>		<b>SERVICES (ELEC)- Ian Henderson</b>		<b>GROUNDS- Stephen McAnenay</b>
	<b>PMO- Dominic Duffy</b>		<b>SERVICES (MECH)- Lyall Smith</b>		<b>SPACE PLANNING- Lia Doolan</b>
	<b>FM ZONE- Zone Manager as per location</b>		<b>IT- Colin Gallagher</b>		<b>SUSTAINABILITY- Stewart Miller</b>
	<b>INCLUSIVITY- Clarke Elsby</b>		<b>BUSINESS CONTINUITY- Selina Woolcott</b>		<b>SECURITY- Claire Lowe</b>
	<b>PLANNING/ LISTED BUILDING- Jennifer Russell</b>		<b>CLERK OF WORKS- Brian Rodger</b>		<b>CTT- Andrena Dougall</b>
	<b>FACILITIES MANAGEMENT - Graeme Wallace</b>		<b>SPACE DATA- Sheena Dickson</b>		

#### 4.4.3 Project Execution Plan

A **Project Execution Plan (PEP)** (template in development) should be developed for most Projects, setting out the Management Strategy for the project.

It should also include strategies in relation to items outside of the scope of the Main Contract, as the overall project might include multiple contracts for the supply of goods and services, both from external organisations and from within the University, such as O&M Contracts, FF&E, relocation etc.

The PEP should initially be based on information contained within the Project Brief/Business Case, however, the PEP should be regarded as a live document and continue to be developed throughout the course of any Project and then be developed to include, where appropriate:

- Project Definition
- Project Directory
- Procurement Strategy
- Project Programme
- Cost Plan, Cost Management, and accounting procedures
- Roles and Responsibilities (RAIDS Matrix)
- Monitoring and Reporting strategies
- Stakeholder Management
- Communications strategy
- IT/AV strategy
- Risk assessment and risk allocation
- Statutory permissions
- Sustainability strategy
- Soft Landings strategy
- Operational strategy
- FF&E
- Unusual or long-lead items



## 4.5 Time

### 4.5.1 PM Programme Requirements

Every project must have a linked Gantt Chart created for it which includes:

- Start and completion dates of each RIBA stage.
- Establishes the governance dates and approval periods required.
- A Critical Path
- Float

This should be developed and maintained with input from the PMO Project Programmer as it will feed into the overall Master Schedule. This schedule is used to inform multiple parties on a monthly basis of the project timelines.

When completing the programme for a project it is important to consider the following key points:

- In combination with the key programme objectives particular to your project – it will be driven by governance dates.
- Consider what financial and other governance approvals are required on your project, review which boards and committees being targeted (dates are usually available for circa 1 year in advance) and then work back from these.

### Statutory Approvals

At the time of writing, it is typically taking longer than statutory periods to obtain Planning Permission and Building Warrants from the Local Authority. It is therefore recommended to build flexibility to the schedule to account for this.

### Procurement Processes

At the time of writing, it is estimated that it will take circa 3 or 4 weeks to be able to appoint a consultant from the point of identifying a need. It will also take circa 3 or 4 weeks to get a PO to a contractor after identifying them as the preferred bidder. Asbestos removal procurement is also estimate at 3 to 4 weeks.

## 4.5.2 Other Programmes

### 4.5.2.1 Project Programme

The Lead Advisor involved in a project should create a detailed project programme which ties in with the UofG programme, showing the multiple tasks to be undertaken to take the project through the design and procurement stages of the project.

### 4.5.2.2 Contract Programme

The building contractor will provide a detailed programme breaking down the construction bar in line with the requirements of the NEC contract. This programme will require to be updated and formally issued by the Contractor in line with the contract requirements and assessed by the NEC Project Manager.



## 4.6 Health & Safety Compliance



### 4.6.1 Health & Safety Policy Statement for the Directorate

The Estates Directorate is committed to ensuring the safety of all our Employees, Visitors, Contractors, and members of the public. Our shared goal is to provide a safe environment to visit, study, and work, ensuring that everyone returns home safely. To ensure compliance and deliver Projects with safety at the forefront, please seek advice from the Compliance Team. Project Managers must comply with the Construction (Design and Management) Regulations 2015.

The full suite of documents and safety rules and policies are held elsewhere, and further advice can be obtained through the Compliance Team.

It is important to note the suite of **Project Handover documents** must be completed when Projects reach completion and all relevant records updated accordingly across Estates.

### 4.6.2 Compliance Team

The Estates Directorate has a dedicated Compliance Team. The team supports Fire Safety Improvements, Asbestos Management and Safety Compliance across all areas of the Directorate and should be consulted on all Project works.

### 4.6.3 Contractor Induction

Contractors Site Teams should ensure they have completed University of Glasgow Health & Safety Induction with the Compliance Team before they attend Campus to begin work. This needs to then be cascaded to all operatives working on sites.

It is imperative that effective liaison exists between the University and the Contractor so each can be made aware of the others Health and Safety needs. Visitors to Campus who have not undergone the full site induction must be accompanied on sites at all times. This includes external Consultants.

The Induction covers all aspects of risks including Fire, Asbestos, Electrical, Roof Access, Permits to Work and Incident Investigation. **Processes** are also in place and available for reference.

### 4.6.4 Risk Assessments and Method Statements

For all project work, one of the most important elements to ensure that the works have been correctly assessed in identifying the relevant hazards and ensuring that effective safety controls are in place. Construction Phase Plans and/or Risk Assessments and Method Statements, (RAMS), must be in place for works being carried out and Contractors can find information on Health, Safety and Compliance set out in the Contractors Code of Practice. Specific procedures are in place for accessing roofs across the University Estate. Asbestos Management also carries significant risk and guidance can be obtained from the Asbestos Management Plan.

### 4.6.5 Audits and Inspections

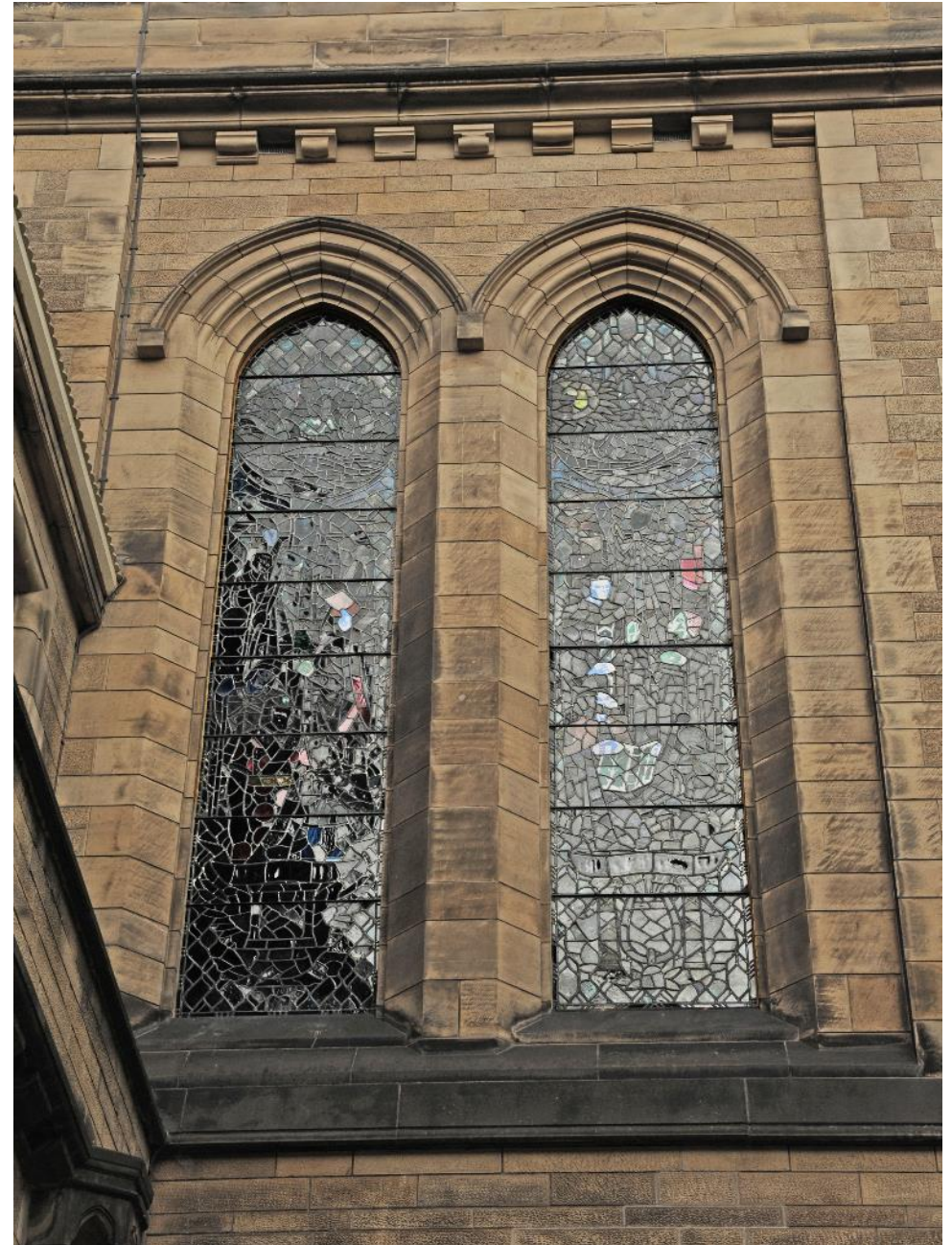
A programme of internal auditing and inspection is applied across the work activities by the Compliance Team. Project Managers should also carry out regular (monthly) Audits/Inspections of their Projects, seeking out assistance from the Compliance Team when required.

#### 4.6.6 Incident Reporting

All work-related accidents, incidents and near misses must be reported to the University Safety and Environmental Protection Services, (SEPS), Department via their website.

#### 4.6.7 Don't Walk By - Safety Observation

Estates operates a Behavioural Safety initiative called the 'Don't Walk By' Campaign. The Campaign uses a QR code, and these are displayed across Estates.



## 4.7 Project Performance

Within the Estates Directorate there are number of tools and systems utilised to monitor project performance. It is crucial that project performance reporting is accurate and up to date as these reports are used to report to various levels of University Governance.

### 4.7.1 Dashboard Reports

Completion of the Dashboard Report will be the responsibility of the Project Manager from through the Project Planning & Design and Delivery phases (RIBA Stages 2 to 5). This mandatory report updated within the Project Cashflow file no later than the end of working day 4 of the month.

The Project Manager will have a monthly review with the Head of Projects and other team members (including Development Managers and PMO) to discuss the project and identify any issues of concerns which require further escalations.

#### 4.7.1.1 *Statuses on the Dashboard Report*

Each of the reports requires an overall RAG Status is allocated to the project and an individual RAG status for 7 distinct categories. These are summarised in the following table which has been developed to support a consistent report to project status reporting.

Project Managers should make sure the explanation of the overall RAG status is detailed in the “Explanation of Current Overall RAG status box”.

#### 4.7.1.2 *Reporting to Estates Leadership and beyond*

The RAG status for the projects is included in the reporting pack that is initially reviewed by the Estates Portfolio Management Board. This meeting allows Estates Senior Leadership to be made aware of all projects, in particular those which have an overall Red or Amber Status.

Once reviewed at this meeting, the report escalates to a number of University Committees including:

- Investment Committee
- Capital Programme Board
- Estates Committee

With this escalation of reporting, it is important that the completion of dashboards is done on time and accurately.

### 4.7.2 Weekly Project Updates

As the Project dashboard reports provide a look back on the previous month, a weekly update is also required on all core and asset management projects. This is done through a SharePoint list which can be accessed [here](#).

The information populated here for each project is used in a number of reporting outputs, including:

- A weekly snapshot overviews.
- High-level project information for use in the Estates Portfolio Management Board pack
- Finance delivery lists
- Tracking project financial approvals
- Identification of projects for inclusion on the interactive Campus Heat Map

### 4.7.3 Contract Management

To manage NEC4 Professional Service Contracts (PSC) and Engineering & Construction (ECC) contracts with the Lead Advisors and Contractors, a contract Manager by Sypro is the platform utilised. This platform helps to manage the complexities associated with NEC4 contracts, therefore keeps contracts running efficiently and compliantly at all times. This is done through the uploading, review, and approval of:

- Compensation Events
- Early Warnings
- Programme
- Total Contract Cost
- Completion Date

The **Sypro Set Up Form** should be completed and sent to the [Estates PMO](#) along with the approved order letter. On this form, as well as the project team, please included the Head of PMO, PMO Analyst, Project Programmer, Head of Projects, and the Construction & Framework Commercial Manager.

**Project Dashboard RAG Thresholds**

Category	Green	Amber	Red
Time	All key milestones are forecasted AND project completion is on target in line with approved programme.	<ol style="list-style-type: none"> <li>One or more key milestones are slipping but project completion is still on track as per approved programme. No major impact to business operations anticipated but to be confirmed.</li> </ol> <p><b>OR</b></p> <ol style="list-style-type: none"> <li>Programme being re-planned and to be agreed with key stakeholders</li> </ol>	<ol style="list-style-type: none"> <li>Project completion date will not be met, and delay will have major impact on business operations.</li> </ol> <p><b>OR</b></p> <ol style="list-style-type: none"> <li>Original project completion date unachievable. Intervention required (funding, resources etc)</li> </ol>
Cost	Forecasted total cost is up to 100% of approved total cost	Forecasted total cost exceeds approved total cost by less than or equal to 5%	Forecasted total cost exceeds approved total cost by greater than (>) 5%
Quality	<ol style="list-style-type: none"> <li>Quality objectives forecast to be met <b>OR</b></li> <li>No quality issues with design or on-site progress <b>OR</b></li> <li>Approved quality objective in place and delivery on track <b>OR</b></li> <li>Quality in line with agreed plan – no impact on design and delivery identified.</li> </ol> <p><b>N.B. Quality objectives are as stated in the Design Standards</b></p>	<ol style="list-style-type: none"> <li>Quality objectives partially defined. Some definition still underway but progressing <b>OR</b></li> <li>One or more changes required to quality objectives. Update and re-approval needed <b>OR</b></li> <li>Design or construction issue has been identified with potential medium impact – solution not yet agreed <b>OR</b></li> <li>Minor issues discovered in quality design. Delivery yet to be finalised.</li> </ol> <p><b>N.B. Quality objectives are as stated in the Design Standards</b></p>	<ol style="list-style-type: none"> <li>Quality objectives yet to be agreed <b>OR</b></li> <li>Agreed quality objectives will not be met. Re-planning in progress <b>OR</b></li> <li>Design or construction issue has been identified with potential major impact – solution not yet agreed <b>OR</b></li> <li>Problems with quality resulting in significant extra work and cost <b>OR</b></li> <li>Significant concerns about quality with no acceptable workarounds in place <b>OR</b></li> <li>Major/significant quality issues and no agreement to date</li> </ol> <p><b>N.B. Quality objectives are as stated in the Design Standards</b></p>
Issues	<ol style="list-style-type: none"> <li>All open issues have agreed action plan(s) in place with agreed owners and completion dates to close out issues.</li> </ol> <p><b>OR</b></p> <ol style="list-style-type: none"> <li>Identified issues can be managed within the project team.</li> </ol> <p><b>OR</b></p> <ol style="list-style-type: none"> <li>There are no open issues in project</li> </ol>	<ol style="list-style-type: none"> <li>One or more minor issues remain open without agreed action plan and/or owner identified <b>OR</b></li> <li>One or more issues are not on track to close as per agreed plan. Re-planning in progress <b>OR</b></li> <li>One or more issues require escalation to project/programme board</li> </ol>	<ol style="list-style-type: none"> <li>One or more major issues remain open without an agreed action plan and/or owner in place <b>OR</b></li> <li>Identified issues required further escalation beyond project/programme board level <b>OR</b></li> <li>Issues currently impacting on project critical path and/or budget requiring governance board approval.</li> </ol>



Category	Green	Amber	Red
Scope	<ol style="list-style-type: none"> <li>Requirements are clear with all deliverables identified and agreed <b>OR</b></li> <li>No indications of scope change present</li> </ol>	<ol style="list-style-type: none"> <li>Agreed scope is changing and impact assessment is in progress. <b>OR</b></li> <li>Project will not deliver all items in scope, but items not being delivered are not fundamental. Reduced scope to be agreed. <b>OR</b></li> <li>For RIBA stage 2 onwards, only key deliverables have been identified. Complete set of requirements still in progress</li> </ol>	<ol style="list-style-type: none"> <li>Significant uncertainty with scope and deliverables <b>OR</b></li> <li>Scope has changed and cannot be delivered within approved budget and/or required approved programme</li> </ol>
Risk	Risk register in place with active monitoring. Each risk has an agreed risk management plan in place and in implementation.	Risk register in place but one or more risks have risk management plan(s) outstanding.	<ol style="list-style-type: none"> <li>Risk registers not yet in place <b>OR</b></li> <li>Risk registers not actively maintained in line with agreed frequency <b>OR</b></li> <li>One or more risks without agreed risk management plan(s) beyond acceptable timeframe.</li> </ol>
Health and Safety	No accidents and no significant incidents during this reporting period	<ol style="list-style-type: none"> <li>1 lost time accident during this reporting period <b>OR</b></li> <li>Any non-lost time accident during this reporting period</li> </ol>	<ol style="list-style-type: none"> <li>1 or more RIDDOR event during this reporting period <b>OR</b></li> <li>2 or more lost time accidents during this reporting period <b>OR</b></li> <li>Lost time accidents spanning across this and last reporting period <b>OR</b></li> <li>1 or more significant incidents during this reporting period</li> </ol>
Overall	All categories are green; therefore, overall status is green	Either time, cost, and/or quality category is amber; therefore, overall status is amber	Two or more categories are red; therefore, overall status is red

Project RAG definitions

#### 4.7.4 Cashflow Reporting

All projects are required to review cashflow on a regular basis. This is normally undertaken by the DM/PM initially with additional support from the Cost Consultant once appointed. A joint meeting will be held with Estates Project Accountants to review, discuss, and update the cashflow documentation, the frequency of which is dependent on the value of the project with higher valued projects reviewed more regularly. It is important that the DM/PM continues to the cashflow file in months where there is no scheduled review and highlight any changes to the Project Accountant who will make the relevant changes.

Within the process of cashflow reporting, the forecast is owned by the DM/PM for the project with ongoing support and guidance from the Project Accountant.

In advance of a cashflow review session, all relevant information should be gathered, reviewed, and challenged to ensure these are then as accurate as possible when included in the forecasts.

#### 4.7.5 Campus Heat Map

To allow for visibility of works taking place across the main campus, a Campus Map is available. This provides a high-level visual stating the project taking place, the Contractor working on site and the disruptions that the project may have to building users and the public. The information for this map is taken from the information provided in the Weekly updates on the PM Portal.

The Campus map can be viewed [here](#).

#### 4.7.6 Master Schedule

The Master Schedule is a key document utilised by a number of teams across the Estates Directorate. Due to this, it is important that Development and Project Managers meet with the Project Programmer each month.









**These schedule reviews must take place monthly, in line with the NEC contract requirement.**





## Section 5: UofG Project Stages

This section explores each stage in the Project Lifecycle and includes an outline of the required activities, outputs and approvals required before moving to the next stage. It should be noted that some phases may be combined depending on the scale and complexity of the Project.

UofG Lifecycle Phase	Initiating	Feasibility	Planning & Design			Delivering	Handover	Embedding & Close
RIBA Stage	0  Strategic Definition	1  Preparation and Briefing	2  Concept Design	3  Spatial Coordination	4  Technical Design	5  Manufacturing and Construction	6  Handover	7  Use
Estates Processes	Capital Plan Engagement Form	Project Brief developed	Project Execution Plan developed and updated as required			Project Schedule monitored and updated as required		
		Project Schedule established	Project Schedule monitored and updated as required			Post project review / Lessons Learned		
		Gateway Approval		Gateway Approval		Gateway Approval	Post project review / Lessons Learned	
			Monthly Dashboard project progress reporting (Dashboards)					
			Weekly project updates (SharePoint)					
			Project Contracts administration via Sypro/Aconex					
					7-Steps to Handover			
		Review with UofG Town Planner		Review with Building Control Submissions Manager				
					UofG Community informed of works			
		Project Delivery Board in place for projects > £3million						

UofG Lifecycle Phase	Initiating	Feasibility	Planning & Design			Delivering	Handover	Embedding & Close
RIBA Stage	0 Strategic Definition	1 Preparation and Briefing	2 Concept Design	3 Spatial Coordination	4 Technical Design	5 Manufacturing and Construction	6 Handover	7 Use
Space Planning	Definition of aspirations for workspace	Clarification of scope	Funding, Kick-Off Comms, Definition of space requirements, User engagement	Refine design. Distribute comms	Prepare and execute move in			Sustain NWOW, Case study, Lessons Learned
Financial Governance Approvals/ Processes		Outline cost plan developed	Investment Application / Business Case approved by relevant Governance level(s)					
		Feasibility cashflow commences	Frequent project cashflow reviews					
		Funding Set Up Form	Change Control Process					
			Tax Classification process for projects > £3million			Depreciation and Tax rebate addressed. (If applicable)		
Procurement Approvals/ Processes	Lead Advisor Engaged for feasibility study		Lead Advisor engaged for Design			Lead Advisor engaged for Delivery & Handover		
			Contractor engaged for ECI and Delivery					
			Engage with other relevant suppliers (FF&E, AVIT, etc.)					
UofG Key Processes		Risk Register established	Ongoing Risk Management					



## Section 6: Appendices

## Appendix A – Roles & Responsibilities

### A1 All Stages

Development Manager	Project Manager
Ensure effective engagement and consultation across internal stakeholder groups and industry partners	Ensuring that outputs of work streams are incorporated into the project;
Ensure principles of design guide are captured;	Share best practice and lessons learned with other PM's;
Ensure work streams across the project are coordinated.	Raise concern with PS on capacity/capability issues using knowledge of resource requirement to deliver project;
Ensure sustainability measures are being applied where relevant- including carbon reduction/ capture;	Contribute to lessons learned and post occupancy reviews;
Work with Project Sponsor to write and ensure supporting information is provided to support any application for grant/award etc	Successfully securing BREEAM.
Work with communications to write and ensure links between estates and project delivery team are in place	Manage and control the Change Control process in compliance with Governance requirements
Work with property advisor in the development of commercial and third-party development opportunities (additional service- if required)	Obtain all necessary UoG financial governance approvals.
Work with Project Manager as a critical friend as necessary	Regularly update stakeholders.
Share best practice and lessons learned with other DM's	
Raise concern with Project Sponsor on capacity/capability issues using knowledge of resource requirement to deliver project	
Contribute to Lessons learned	
Contribute to Post occupancy reviews	
Obtain all necessary UoG financial governance approvals.	

Development Manager	Project Manager
Receive instruction from Project Director/Head of Projects to commence project;	
Discuss initial considerations for assembling the project team;	
Complete direct award justification and issue to Head of Projects for approval and receive PURCH number from procurement for lead adviser appointment;	
Issue contract documents to Lead Adviser and generate order letter via procurement;	
Raise PO for Lead Advisers appointment;	
Prepare/modify project roles and appoint the project team;	
Establish project programme;	
Collate feedback from previous projects;	
Assisting the Lead Adviser in developing and writing the PID;	
Secure approval of the PID from the PS;	
Oversee preparation of services and develop design responsibility matrix including information exchange with lead advisers;	
Developing and securing approval to the strategic brief;	
Developing and securing approval to the benefits schedule; developing a clear plan for delivery of the benefits which may incorporate delivery of cultural and organisational change;	
Providing oversight of the project administration;	
Monitor the risk register and actively manage risks;	
Preparing and issuing weekly and monthly project reports including weekly updates, dashboards (if required), cashflow and all financial management;	
Monitor and review costs in line with approved budgets;	



Development Manager	Project Manager
Using the PID, develop the LA and securing approval to any changes;	Aide the DM in the development of the brief;
Developing and securing approval to the strategic brief;	Provide critical feedback regarding proposals and studies;
Develop initial project brief with project team including project objectives, quality objectives, project outcomes, sustainability aspirations, project budget and other parameters or constraints;	Engage in RIBA Stage 1 soft landings to notify stakeholders that project is being developed;
Request project number to be set up by Finance;	
Collate comments and facilitate workshops as required to develop initial project brief;	
Developing and securing approval to the benefits schedule; developing a clear plan for delivery of the benefits which may incorporate delivery of cultural and organizational change;	
Review feasibility studies;	
Prepare handover/soft landings strategy (in line with UoG soft landings strategy);	
Providing oversight of the project administration;	
Monitor the risk register and actively manage risks;	
Preparing and issuing monthly project reports including dashboards (if required), cashflow and all financial management;	
Monitor and review costs in line with approved budgets;	
Review project programme;	
Administer consultant payments;	
Ensure output from soft landings approach are incorporated into design and operation;	
Handover to PM.	

Development Manager	Project Manager
Aide the PM in the development of the Stage 2;	Issue contract documents to Lead Adviser and generate order letter via procurement;
Provide critical feedback regarding proposals and design development.	Raise PO for Lead Advisers appointment;
	Ensuring the design team develop a robust consultation strategy which interfaces and compliments the engagement strategy for the wider project;
	Developing and securing approval to the benefits schedule; developing a clear plan for delivery of the benefits which may incorporate delivery of cultural and organizational change;
	Administer Consultant payments;
	Review project programme against the strategic brief, masterplan, and design guide;
	Review design proposals and project strategies from design team;
	Review sustainability strategy and maintenance and operational strategy with input from project team as required;
	Review project programme and agree any changes with the project team;
	Monitor and review progress and performance of project team;
	Comment on stage design programme;
	Develop cost information and comment on cost plans;
	Providing oversight of the project administration;
	Monitor the risk register and actively manage risks;
	Preparing and issuing monthly project reports including dashboards, cashflow reports & all financial management;
	Monitor and review costs in line with approved budgets.

Development Manager	Project Manager
Aide the PM in the development of Stage 3;	Undertake RIBA soft landings, obtain sign off and address any action arising from the action plan;
Provide critical feedback regarding proposals and design development.	Monitor progress of developing design;
	Interface with the PMO Project Programmer to ensure programme is up to date and accurate;
	Interface with finance to ensure cashflow is accurate and up to date;
	Review updated handover/soft landings strategy and risk assessments with project team;
	Monitor and review progress and performance of project team;
	Administer Consultant payments including GRN activities and invoice approvals;
	Manage change control process;
	Comment on design proposals and project strategies as they progress;
	Update sustainability strategy and maintenance and operational strategy with input from project team as required;
	Interface with the facilities teams to ensure effective handover/soft landings
	Provide input to in-corporation of lifecycle management and costs
	Providing oversight of the project administration;
	Monitor the risk register and actively manage risks;
	Preparing and issuing monthly project reports including dashboards, cashflow reports & all financial management;
	Monitor and review costs in line with approved budgets;
	Present Stage 3 Soft Landings to stakeholders and collate feedback and sign off for integration into RIBA Stage 4;
	Develop cost information and comment on cost plans;
	Coordinate the preparation and submission of Planning application;

Development Manager	Project Manager
Aide the PM in the development of Stage 3;	Integrate comments from RIBA soft landings, and address any action arising from the action plan;
Provide critical feedback regarding proposals and technical design.	Assisting the Project Sponsor in finalising and writing the detailed FBC;
	Monitor progress of developing design;
	Interface with the PMO Project Programmer to ensure programme is up to date and accurate;
	Interface with finance to ensure cashflow is accurate and up to date;
	Review updated handover/soft landings strategy and risk assessments with project team;
	Monitor and review progress and performance of project team;
	Administer Consultant payments including GRN activities and invoice approvals;
	Manage change control process;
	Comment on design proposals and project strategies as they progress;
	Update sustainability strategy and maintenance and operational strategy with input from project team as required;
	Interface with the facilities teams to ensure effective handover/soft landings
	Provide input to in-corporation of lifecycle management and costs;
	Providing oversight of the project administration;
	Monitor the risk register and actively manage risks;
	Preparing and issuing monthly project reports including dashboards, cashflow reports & all financial management;
	Monitor and review costs in line with approved budgets;
	Finalise FBC costings;
	Develop cost information and comment on cost plans;
	Coordinate the preparation and submission of building warrant.

Development Manager	Project Manager
Retain project overview to ensure project vision and benefits are realized;	Undertake RIBA health check, sign off and address any issues arising from action plan;
Undertake a review to ensure that the proposals are in line with the project vision and benefits for the following direct order elements: <ul style="list-style-type: none"> <li>• FF&amp;E</li> <li>• Interior Design</li> <li>• Space Management &amp; Allocation</li> <li>• Approach to room bookings</li> <li>• IT / AV</li> <li>• Internal Programming</li> </ul>	Prepare dashboard and cashflow reports including all financial management activities; distribution to include DM.
	Provide support to project sponsor to effectively manage the project, and to enable prompt and informed decision making;
	Cascade agreed changes and seek approval/authorization from governance as required;
	Administer Consultant payments;
	Manage implementation of handover/soft landings strategy with the support of the soft landings manager, M&E managers, and operations staff;
	Review and comment on PPEP;
	Comment on construction programme;
	Monitor and review progress and performance of project team;
	Monitor the risk register and actively manage the risks;
	Manage change control process;
	Monitor and review costs in line with approved budgets;
	Ensure output from soft landings approach are incorporated into operation;
	Ensure that NEC supervisor is carrying out site inspections, reviewing the works against specification and construction programme and providing regular written reports and updates;
	Drive and action observations from CoWs and NEC Supervisors;
	Implement client choices via direct orders;

Development Manager	Project Manager
Retain project overview to ensure project vision and benefits are realized;	Undertake RIBA health check, sign off and address any issues arising from the action plan;
Ensure any final client choices are consistent with the project vision and benefits	Prepare dashboard and cashflow reports including all financial management activities; distribution to include DM;
Assist project close out.	Manage tasks listed in handover/soft landings strategy;
	Manage updating of 'As Constructed' information;
	Share O&Ms with space data manager;
	Ensure 7 steps to handover checklist is adhered to;
	Administer Consultant payments
	Monitor and review progress and performance of project team;
	Monitor and review costs in line with approved budgets;
	Manage defects resolution;
	Ensure output from soft landings approach are incorporated into operation;
	Organise and initiate the post project evaluation;
	Organise and initiate lessons learned;
	Complete project close out.

Development Manager	Project Manager
Supporting the Project Sponsor in the realisation of Benefits	Undertake RIBA health check, sign off and address any issues arising from the action plan;
	Manage tasks included in handover/soft landings strategy;
	Manage updating of project information; monitor the risk register and actively manage the risks;
	Successful occupation of the building.