



University
of Glasgow

Estates Directorate Project Delivery Handbook



SECTION 1: INTRODUCTION	2	4.1.8 Project Closure Report	17	4.6.1 Health & Safety Policy Statement for the Directorate	30
SECTION 2: PROJECT DELIVERY	3	4.1.9 Post Project Reviews and Lessons Learned	17	4.6.2 Compliance Team	30
2.1 PROJECT MANAGEMENT AT UNIVERSITY OF GLASGOW	4	4.2. PROCUREMENT	18	4.6.3 Contractor Induction	30
2.1.1 GATE ALIGNMENT WITH RIBA STAGES	5	4.2.1 Consultants	18	4.6.4 Weekly Contractor Activity Meeting	30
2.1.2 FINANCIAL GATE PROCESS AT UNIVERSITY OF GLASGOW	5	4.2.2 Contractors	19	4.6.5 Risk Assessments and Method Statements	30
SECTION 3: UNIVERSITY GOVERNANCE REQUIREMENTS	6	4.2.3 Form of Contract	20	4.6.6 Audits and Inspections	31
3.1 COMMITTEE STRUCTURE	7	4.2.4 KPIs	20	4.6.7 Incident Reporting	31
3.2 GOVERNANCE LEVELS	8	4.2.5 FF&E	20	4.6.8 Don't Walk By - Safety Observation	31
3.2.1 Projects valued less than £0.1million	8	4.2.6 Procurement Policy Exceptions	20	4.7 PROJECT PERFORMANCE	31
3.2.2 Projects valued £0.1million to £0.5million	8	4.3 COST	20	4.7.1 Project Status Reports	31
3.2.3 Projects valued £0.5million to £3million	9	4.3.1 Initial Estimate of Cost template	20	4.7.1.1 Statuses on the Dashboard Report	31
3.2.4 Projects valued £3million to £25million	9	4.3.2 Cost Management	21	4.7.2 Project Directory	32
3.2.5 Projects valued greater than £25million	10	4.3.3 Lifecycle Costing	21	4.7.3 Contract Management	32
3.3 INVESTMENT APPLICATIONS BUSINESS CASE GUIDANCE	11	4.3.4 Change Control	22	4.7.4 Cashflow Reporting	35
3.4 GATEWAY REVIEWS	11	4.3.4.1 Change Control Authorisation	22	4.7.5 Master Schedule	35
3.4.1 OGC Gateway Review (Projects > £25million only)	12	4.3.4.2 Risks and Opportunities Tracker	22	SECTION 5: UOFG PROJECT STAGES	36
SECTION 4: PROJECT PROCEDURES	13	4.3.5 Project Overspend Guidelines	22	SECTION 6: APPENDICES	39
4.1 GOVERNANCE	14	4.3.6 Risk Management	24	APPENDIX A – ROLES & RESPONSIBILITIES	40
4.1.1 Estates Engagement Form	14	4.3.6.1 Risk Analysis	24	A1 All Stages	40
4.1.2 Project Brief	14	4.3.7 Purchase Order Requisitions	24	A2 RIBA Stage 0 – Strategic Definition	41
4.1.3 Funding Set up Form	14	4.4 QUALITY	25	A3 RIBA Stage 1 – Preparation & Brief	42
4.1.4 Sustainability Interventions	15	4.4.1 Design Standards	25	A4 RIBA Stage 2 – Concept Design	43
4.1.4.1 Sustainability Guardians	15	4.4.2 Soft Landings	26	A5 RIBA Stage 3 – Developed Design	44
4.1.5 Capital Revenue Split Guidance	15	4.4.2.1 Design Consultees	27	A6 RIBA Stage 4 – Technical Design	45
4.1.6 Project Benefits	16	4.4.3 Project Execution Plan	28	A7 RIBA Stage 5 – Construction	46
4.1.7 Investment Applications	16	4.5 TIME	29	A8 RIBA Stage 6 – Handover & Close Out	47
4.1.7.1 Business Case Financial Checklist	17	4.5.1 PM Programme Requirements	29	A9 RIBA Stage 7 – In Use	48
		4.5.2 Other Programmes	29		
		4.5.2.1 Project Programme	29		
		4.5.2.2 Contract Programme	29		
		4.6 HEALTH & SAFETY COMPLIANCE	30		

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Section 1: Introduction

The University of Glasgow (UofG) owns and operates an estate of over 295 buildings with a gross floor area of circa 400,000m² 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 SharePoint. 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)
- University Systems – Agresso and PPM Anywhere
- External standard templates, e.g., 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 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.

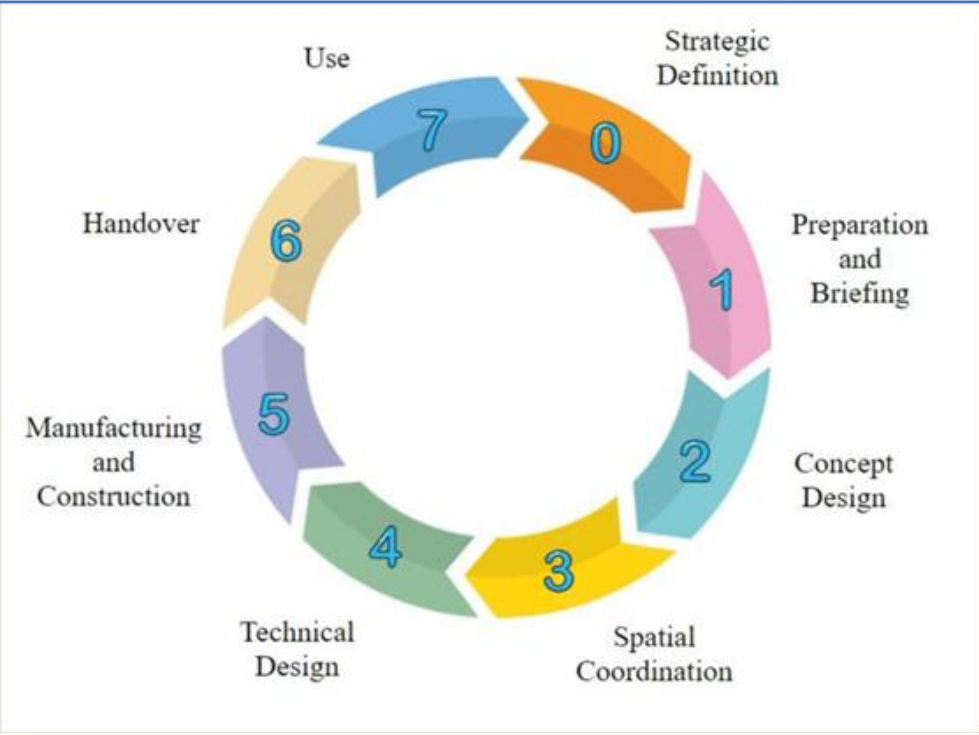
This Handbook also includes details of the University's Governance structure for the delivery of Projects; however, it should be noted that Governance Approvals vary slightly for differing values of spend and these are as detailed in [Section 4.1 Governance](#).



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](#)

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.

2.1 Project Management at University of Glasgow

At the University there are a variety of different projects that a carried out. To help deliver these the University has identified 5 key project approaches. These are:

Approach	Great for:
Full	Legislative Fixed and immovable end projects
RIBA	Construction projects only
Change	Software development Projects where there is flexibility in when and what will be delivered
Simple	Projects where you know where you want to go but are not sure how you are going to get there
JDI	Very simple projects that require little governance and no funding

University Lifecycles

More information on the University's Portfolio and Project Management Methodology, Templates and Systems can be found here: <https://www.gla.ac.uk/myglasgow/ppm/>



2.1.1 Gate alignment with RIBA stages

Whilst estates deliver most projects utilising the RIBA plan of work as previously referenced, there are also key Gates the University requires a project to pass through. These gates are embedded within the project lifecycle, regardless of the lifecycle utilised. Within the RIBA lifecycle the gates are interspersed as follows:

Gate / RIBA Stage	Example stage activities
Gate 1 – Decision to Start	
RIBA 0 – Strategic Definition	Project Initiation
RIBA 1 – Preparation & Brief	Feasibility Fees approved
Gate 2 – Upfront Funding Required	
RIBA 2 – Concept Design	Design Fee Approval
RIBA 3 – Spatial Coordination	Planning & Design
RIBA 4 – Technical Design	Planning & Design
Gate 3 – Decision to Invest	
RIBA 4 – Technical Design	FBC Approval
RIBA 5 – Manufacturing & Construction	Construction Delivery
Gate 4 – Readiness Checkpoints	
RIBA 6 – Handover	Project Handover
RIBA 7 – In Use	Project in defects/retention period Project handed over for benefits management
Gate 5 Benefits Sign Off	

RIBA stages with University Gates

2.1.2 Financial Gate process at University of Glasgow

Within the project stages of the project approaches there are gate processes projects need to pass through. Through this process there are several things to be considered. Further information on the gates is available within the Business Case training on the [University PPM website](#).

Gate	Key considerations at gate
Gate 1 – Decision to Start	Should idea be developed further? Is there Sponsorship? Is there a compelling need? Is there funding? Who needs to be involved?
Gate 2 - Upfront funding required	Is money needed to develop Business Case? Is there a link to strategy? Are there clear benefits?
Gate 3 - Decision to Invest	Should project be fully committed to? Is the scope clear & unambiguous? Is it clear what success looks like? Are benefits baselined with targets? Is this the best option?
Gate 4 - Readiness Checkpoints <i>N.B. there may be more than one on a project</i>	Can we go live & move to BAU? Has project delivered what it said it would? Are all stakeholders aware of any change? Can project start to be disbanded? Does Sponsor accept the benefits?
Gate 5 - Benefits Sign Off	Did project achieve the outcome it set out to achieve? Is project fully closed? Did project achieve benefits?

University Gate Considerations



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	Finance Committee	Court
Projects up to £500k	Projects £500k to £3m	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.	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.
Estates and Sustainability Committee			
Appointed by Court, the Estates and Sustainability Committee (ESC) provides oversight of all estates and sustainability related matters for the University. The committee will approve and monitor progress in implementing all relevant strategies and major capital projects in these areas, including the University's Estate Strategy and Sustainability Strategy.			
Campus Development and Maintenance Group			
Appointed by SMG, the Campus Development and Maintenance Group (CDMG) is accountable for the oversight of the masterplan and Campus Development Plan, and for oversight of the condition and maintenance of the estate.			

Estates Governance bodies (all financial values are inclusive of VAT)

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:

- Estates Engagement Form even if project is already on the approved Capital Plan or is on a college reserve list.
- Liaise with Sustainability team to populate Project Sustainability Form and have this signed off if applicable.
- [Business Case](#) taken to Capital Plan Steering Group
- 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:

- Estates 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](#))
- Liaise with Sustainability team to populate Project Sustainability Form and have this signed off.
- [Business Case](#) taken to Capital Plan Steering Group
- Gateway Approvals undertaken at the relevant project stages (RIBA 1, 3 and 5).
- 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.

Each project must ensure that the following actions are taken:

- Estates 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 if required due to annual spend.
- 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)
- 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](#))
- Liaise with Sustainability team to populate Project Sustainability Form and have this signed off.
- [Business Case](#) taken to Capital Plan Steering Group then to Investment Committee for endorsement and approval.
- Gateway Approvals undertaken at the relevant project stages (RIBA 1, 3 and 5).
- 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:

- Estates 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)
- 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](#))
- Liaise with Sustainability team to populate Project Sustainability Form and have this signed off.
- [Business Case](#) 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 (RIBA 1, 3 and 5).
- 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:

- Estates 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)
- 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](#))
- Liaise with Sustainability team to populate Project Sustainability Form and have this signed off.
- [Business Case](#) 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 (RIBA 1, 3 and 5).
- 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 Business Case template for use on all investments whether they are construction, research or other financial requirements.

The Business Case forms comprise of two parts that should be completed: an Executive Summary plus the main body of the document. The document is presented in a way that decision makers have the information required as well as providing the information required for populating parts of the University's [Portfolio Project Management \(PPM\) system](#).

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



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 off the detailed design by the Project Sponsor, Development Manager, Project Manager, Technical Lead and Design Consultees.
Contracts Team consulted to collate relevant asset register based on area of works.
- **End of RIBA Stage 5**
For the Project Sponsor, Development Manager, Project Manager and Technical Lead to sign off the completion of the works and to inform the Design Consultees that works are complete.
It is at this stage that the position of benefits is confirmed, and facilities are handed over.

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 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 Estates Engagement Form

An **Estates Engagement Form** must be submitted for all 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.

All projects when applying for funding should also complete, with input from the [Sustainability Team](#) the **Project Sustainability Form**. This form works through several questions against the following Sustainability Impact and Solution Responses:

- Operational Carbon Emissions Impact (TCO2)
- Operational Energy Use Impact (£cost; EUI; kWh/annum; kWh/m2)
- Water Use (m3)
- Waste Minimisation, Reuse and Recycling (TCO2e, compliance, Tonnes of waste, Site WMP in Place)
- Indoor Air Quality (CO2, RH, Temp)
- Embodied Carbon (TCO2e)
- Climate adaptation (managing intense rainfall, overheating, drainage aspects)
- Travel planning and Active Travel (opportunities to improve/ extend facilities etc.)
- Biodiversity, ecology and habitat impacts
- Other sustainability aspects e.g. community and social aspects.

The Project Sustainability Form finishes with a statement explaining how the project has addressed sustainability issues and what these are for as well as addressing changes to emission levels. This statement is included in the Business Case template in the SPF notes box of the Sustainability section.

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 and more can be found in the **Capital Revenue Split Guidelines**:

Project type	Capital	Revenue
Campus Enhancement	70%	30%
College Surplus Pot funded		
Learning Spaces		
Sustainability		
Asset Management (Projects & Programmes)	80%	20%
Maintenance Annual Spend	0%	100%
Sustainability - Feasibility		
Should Do Projects	100%	0%
Major Projects		

Capital/Revenue % Split Guidelines

4.1.6 Project Benefits

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 with input from the Project Sponsor 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 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.

Project benefits are tracked and monitored University wide using the [PPM system](#).

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.

Total Application Value (inc. VAT)	Delegated Approver(s)	Committee(s) submitted to
Up to £250k	Director of Projects	Capital Plan Steering Group
£250k to £500k	Executive Director of Estates	Capital Plan Steering Group
£500k to £3million	Executive Director of Finance	Capital Plan Steering Group Investment Committee
£3million to £25 million	Convenor of Estates Committee AND Convenor of Finance Committee	Capital Plan Steering Group Investment Committee Finance Committee
Greater than £25million	Convenor of University Court	Capital Plan Steering Group Investment Committee Finance Committee University Court

Financial Approval Delegations

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

4.1.7.1 Business Case Financial Checklist

The purpose of the Financial Checklist is to ensure Business Cases submitted for funding approval have been financially scrutinised. The Business Case Financial Checklist (BCFC) will supplement the Business Case submission and gives a structured, consistent review of the financials submitted.

The format of the BCFC is as follows:

Tab	Questions considered/Content
Applications Checklist Collection of financial review questions in terms of reviewing the business case	- Is the current project spend currently within Approved levels? - Based on funding requested, will the application be within the Capital Plan value? - Are there any mitigations within the application to manage / mitigate the Overspend?
Financials Overview of the Business Case financials	- Capital Plan - Is the Project already included within the Capital Plan? - Cashflow file - Is there a current Cashflow Set-Up for this Project? What is the Current Cashflow Position? - Approval History for the Project - Submission Cost Breakdown
Back Up	- Link to Business Case - Link to further submission paperwork i.e. FBC model etc.

The following are key for the completion of the BCFC prior to submission alongside the Investment Application:

- Estates – Project / Development Manager pulls together the Business Case and liaises with the Project Accountant to complete the BCFC
- Project Accountant – complete the BCFC and seeks further comments / clarifications from PM / DM
- Once document reviewed and signed off by Project Accountant, the BCFC is submitted by PM / DM for approval committee review.

4.1.8 Project Closure Report

This report can be requested by University Governance to answer if the project met the outcome, it set out to make. The report template is available [here](#) and to support the Sponsor in populating it information such as the Business Case, Financials, Lessons Learned from the [PPM system](#) as well as the Projects Benefits.

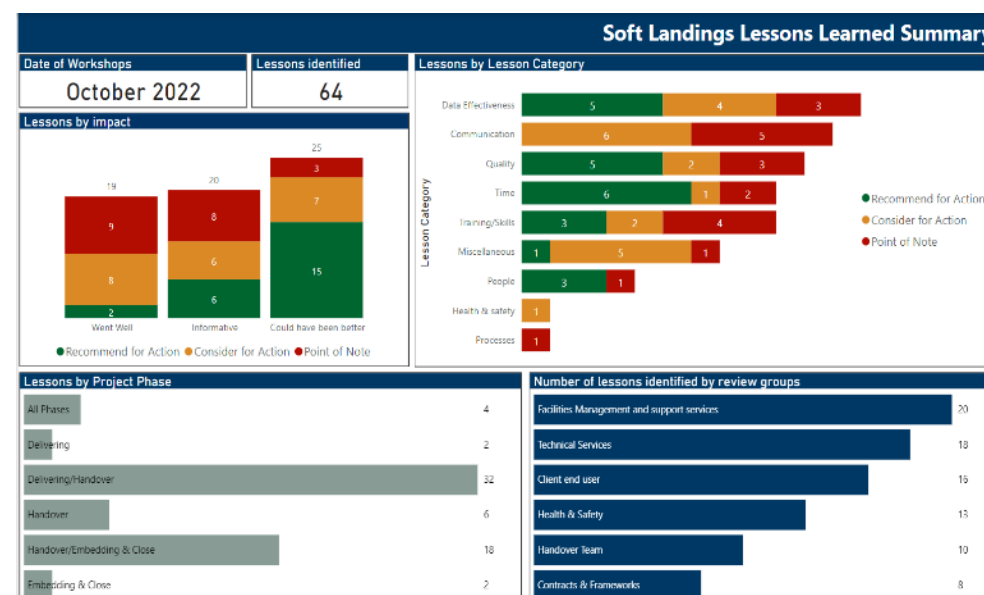
4.1.9 Post Project Reviews and Lessons Learned

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.

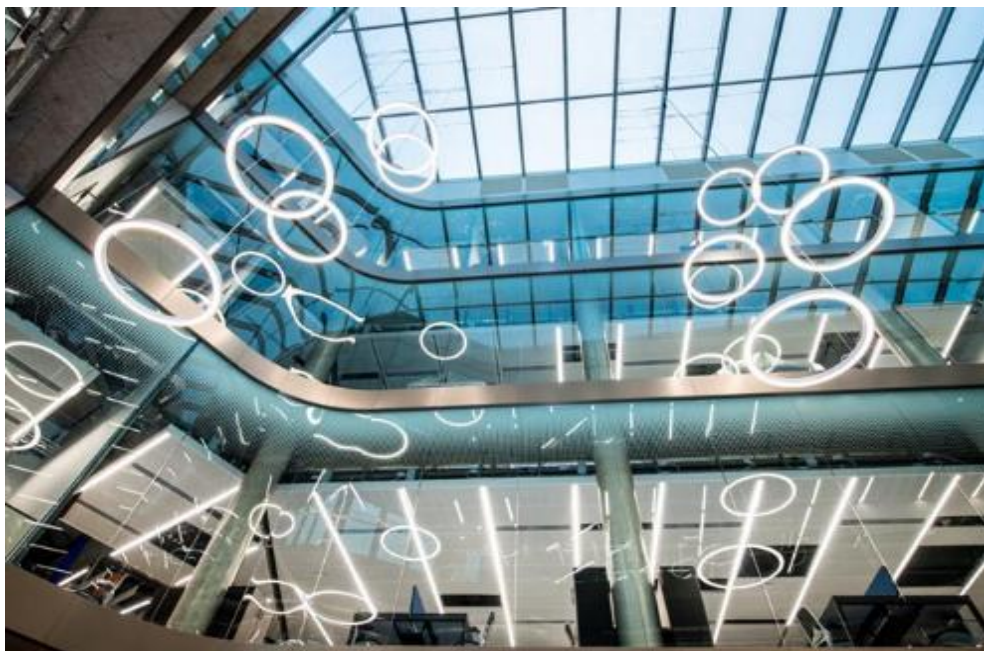
Using the [PPM system](#) lessons learned can be captured on a project-by-project basis.

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

Lessons Learned Tracker



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 associated 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.

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

	Lot Description	Call off Mechanism
Lot 1	Standard Non-Complex Services (up to £100k in fees)	Direct Award OR Desktop Analysis
Lot 2	Multi-Disciplinary Property, Project & Construction Services (more than £100k in fees)	Direct Award OR Desktop Analysis OR Mini Competition

Lead Advisor Framework Lots

For the engagement of Lead Advisors there are three potential routes available to call off from the Framework agreement. Where fees are up to a value of £100k a direct award or desktop analysis can be undertaken. To proceed with a direct award or desktop analysis, it is required that the following are included to form the contract (unless stated the documentation is completed by the University):

- **Direct Award Justification Form OR Desktop Analysis Request Form**
- **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 fees value will exceed £100k a mini competition is also an option to call off from the framework. 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	Call off Mechanism
Lot 1	Works of a value up to £500k	Direct Award Form OR Desktop Analysis OR Mini Comp
Lot 2	Works of a value of £500k to £7m	Direct Award Form OR Desktop Analysis OR Mini Comp
Lot 3	Works of a value of £7m+	Mini Comp

Contractor Framework Lots

To proceed a Direct Award or Desktop Analysis, it is required the following are included to form the contract (unless stated the documentation is completed by the University):

- **Direct Award Justification Form or Desktop Analysis Assessment**
- **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**

Across all lots, mini competition is a potential 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 few 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 KPIs

KPIs are issued to Lead Advisors and Contractors for all works engaged on. These are completed and returned monthly. Review and feedback of these KPI's is key to ensuring the frameworks working effectively. This feedback should be returned to Estates PMO each month, and in turn this is coordinated into a quarterly review report.

The KPIs cover a range of areas including cost, health & safety, performance management, quality & soft landings, sustainability, community benefits and, added value.

4.2.5 FF&E

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

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

4.2.6 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 requested via the University finance system. Supporting guidance and PPE process documents can be accessed 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 £/m² 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 able 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 several categories because 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](#) process 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.

4.3.4.2 Risks and Opportunities Tracker

As part of the change control process, a risk and opportunities (risks and opps) tracker should be kept in conjunction with the agreed change tracker on all projects. This allows for financial tracking of risks and opps prior to them being realised and becoming an agreed change.

By keeping this tracker, the project has the potential to implement actions against known risks and assess savings that may be possible elsewhere (opportunities). It also provides transparency on financial risk exposure to relevant governance bodies.

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 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)
Scope of authority (Up to and Post FBC)	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
Design/Scope changes with <u>no impact on budget</u>			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 (exc. VAT)

Value of overspend	Up to £50k	£50k to £250k	£250k to £500k	Over £500k
Explanation	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 (inc. VAT)

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/>

Risks, either at a Project, Operational or Strategic level are all managed on the [PPM system](#).

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 tables available [here](#) 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 Direct Award (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, Signed Contract, PO Check, Quotation Back Up, 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 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



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 BISRIA 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, can influence them and can 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.
- It is at this stage that the position of benefits is confirmed, and facilities are handed over.

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.

	PROJECT SPONSOR		BUILDING CONTROL- Building Control Submission Manager		SALTO- SALTO Team
	FIRE- Senior Fire Officer		SERVICES (ELEC)- Electrical Engineering Manager		GROUNDS- Grounds Operations Manager
	COMPLIANCE- Senior Compliance Advisor		SERVICES (MECH)- Building Services Engineering Manager		SPACE PLANNING- Space Planner
	PMO- Assistant Director PMO		IT- Network Infrastructure Project Manager		SUSTAINABILITY- Director of Sustainability
	FM ZONE- Zone Manager as per location		BUSINESS CONTINUITY- Business Continuity Advisor		SECURITY- Security Operations Manager
	INCLUSIVITY- Accessibility Champion		CLERK OF WORKS- Clerk of Works Manager		CTT- Space Planning and Timetabling Manager
	PLANNING/ LISTED BUILDING- Town Planning Manager		SPACE DATA- Space Data and Drawings Manager		SOFT LANDINGS MANAGER

4.4.3 Project Execution Plan

A **Project Execution Plan (PEP)** 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/Salto 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 at RIBA Stage 1 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 monthly 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 provide the project programme immediately at appointment, showing the multiple tasks to be undertaken to take the project through the design and procurement stages of the project. This should be monitored throughout the life 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 always accompanied on sites. 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 Weekly Contractor Activity Meeting

All Project Managers and Contractors manager should attend the weekly Contractor Activity Meeting which advises and coordinate all events, constraints and construction works going on around campus. Changes to H&S processes and information alerts are also discussed at this meeting.

4.6.5 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.

4.6.6 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.

4.6.7 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.

4.6.8 Don't Walk By - Safety Observation

Estates operate 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 Project Status Reports

Completion of the Project Status Report will be the responsibility of the Development and/or Project Manager through the Project Planning & Design and Delivery phases (RIBA Stages 2 to 5). This report will be completed within the University's [PPM system](#) on a weekly basis.

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 6 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 "RAG Rationale".

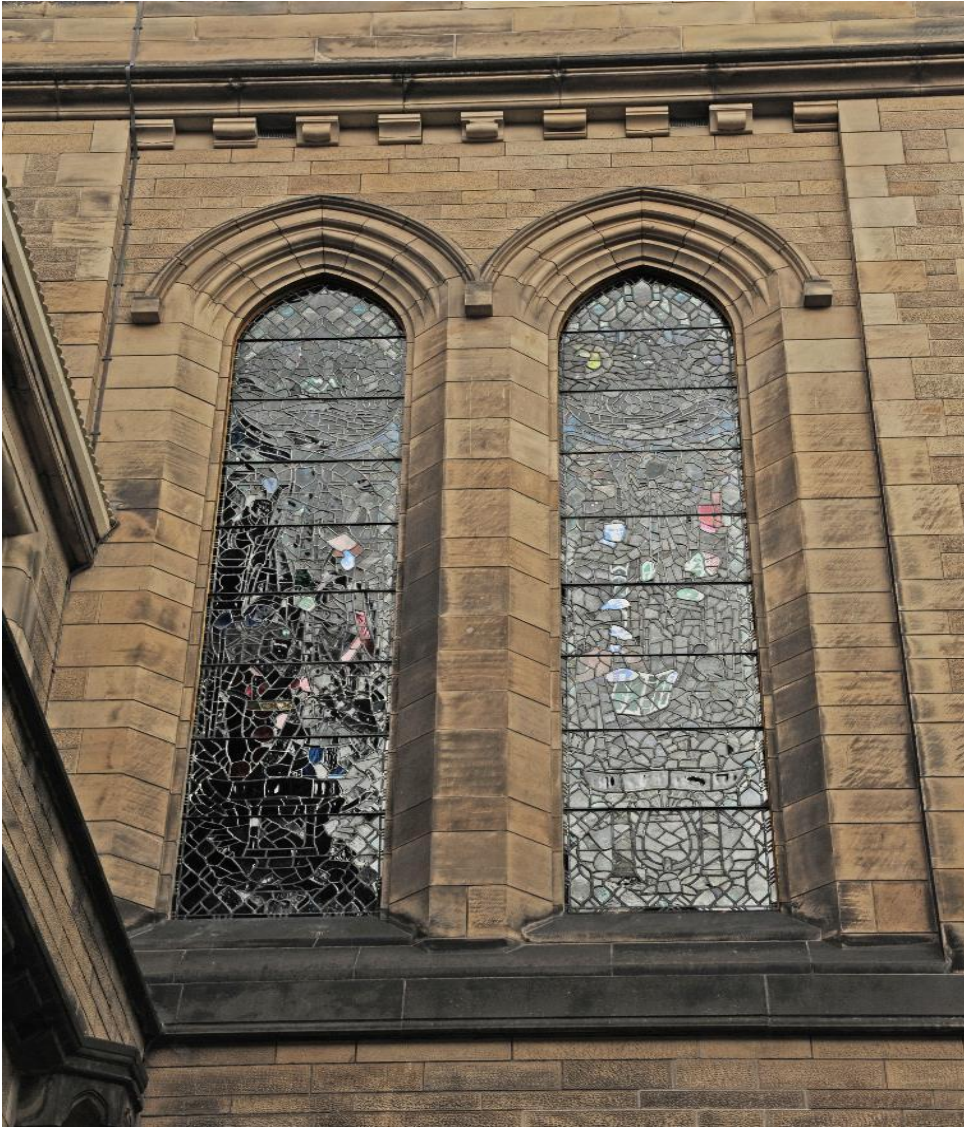
4.7.1.2 Reporting to Estates Leadership and beyond

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, particularly those which have an overall Red or Amber Status.

Once reviewed at this meeting, the report escalates to several University Committees including:

- Investment Committee
- Campus Development & Maintenance Group
- Estates and Sustainability Committee

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



4.7.2 Project Directory

Out with the University's PPM System there is still information that is key across all projects. To ensure this is accessible, a project directory is available here: [Project Directory](#)

Within this list information such as the following is captured:

- Lead Advisor Company
- Lead Advisor PM
- Contractor
- Name and contact details of site manager
- Site start date
- Site end date

The information maintained on the Project Directory is key for ensuring accurate information is available for coordination meetings, KPI monitoring and Project resourcing. It is therefore important that this list is updated concurrently with the University's PPM System.

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 always running efficiently and compliantly. 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
Schedule	1. All key milestones are forecasted AND project completion is on target in line with approved programme. 2. Programme has been rebaselined and approved/agreed with end users.	3. 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. OR 4. Programme being re-planned and to be agreed with key stakeholders	1. Project completion date will not be met, and delay will have impact on business operations. OR 2. Original project completion date unachievable. Intervention required (funding, resources etc)
Financial	Forecasted total cost is within approval value (governance approvals).	1. Forecasted total cost is close to total approval value (within 10% contingency left). 2. Remainder of project requires close financial monitoring	Forecasted total cost exceeds estates delegated approval
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.	1. Risk register not yet in place OR 2. Risk register not actively maintained in line with agreed frequency OR 3. On or more risks without agreed risk management plan(s) beyond acceptable timeframe.
Compliance	1. Competent Safety Team engaging with contractor staff and UofG. 2. Effective active safety monitoring, safety training and initiatives in place. 3. Accidents, incidents or near misses investigated and reported with effective reports.	1. Safety team only partially engaged requiring more time invested on UofG. 2. Audits and active monitoring with no progression or action to track through findings or suggestions. 3. Poor investigation reports or unreasonable delays in completing these and safety KPIs.	1. No safety team operating on UofG works/sites and no submission of KPI data. 2. No audits, near miss reporting or active monitoring being carried out. 3. Incidents, spot audits, near misses not investigated.

Category	Green	Amber	Red
Quality/ Scope	1. Quality in line with agreed plan – no impact on design and delivery identified 2. Scope identified and agreed 3. Statutory consents (if required) approved	1. Minor issues discovered in quality design. Delivery not yet finalised 2. Scope is at risk 3. Statutory consents (if required) not yet in place) 4. Design or construction issue has been identified with potential medium impact – solution not yet agreed	1. Significant quality issues identified and no agreement/date for rectification 2. Project has extended scope/cannot deliver agreed scope 3. Design or construction issue has been identified with potential major impact – solution not yet agreed.
Benefits	1. There is a plan in place for benefits realisation 2. Project will deliver expected benefits 3. Benefits anticipated to be achieved when planned	1. Project expected to deliver between 80 and 100% of benefits 2. Plan in place to optimise benefits that can be achieved	1. There is no plan in place for benefits realisation 2. Project expected to deliver less than 80% of benefits with no plan in place to address shortfall
Overall	All categories are green; therefore, overall status is green	Either time, cost, and/or quality category is amber; therefore, overall status is amber	Either time, cost, and/or quality category is red; therefore, overall status is red OR Two or more categories 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.

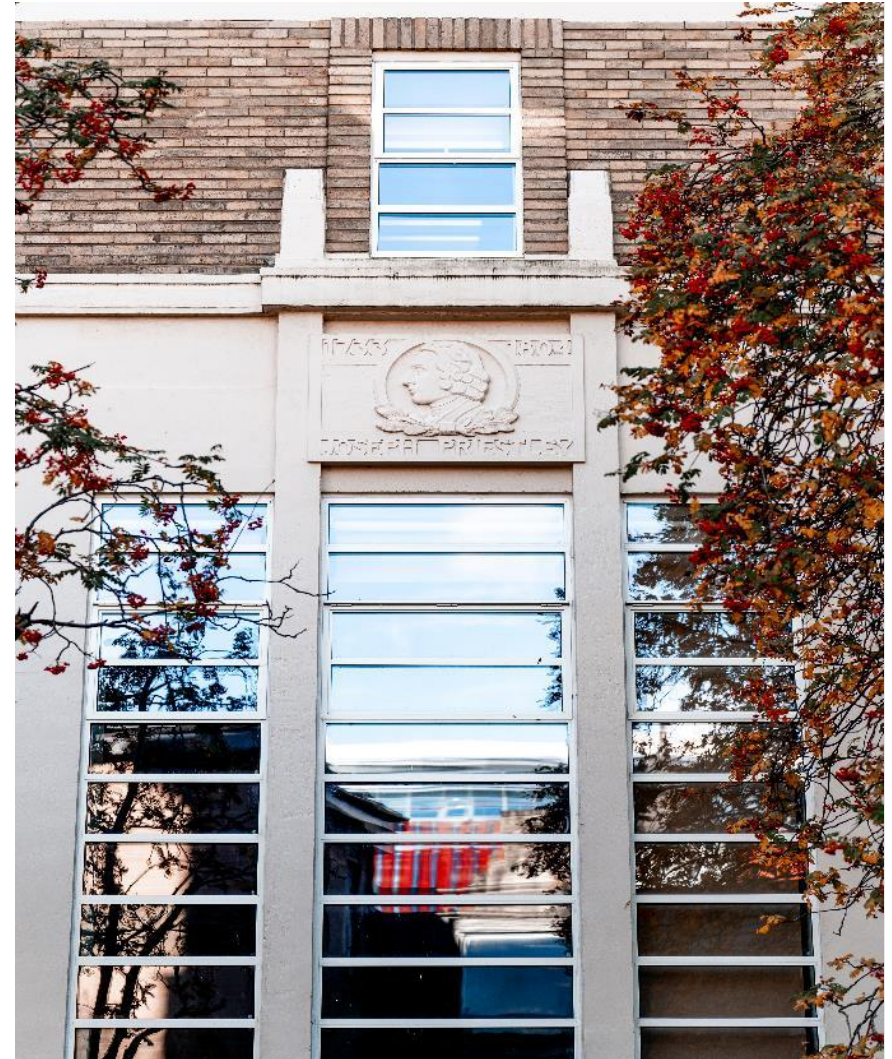
Within the process of cashflow reporting, the forecast is owned by the DM/PM for the project with ongoing support and guidance from the Project Accountant.

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, change trackers and risks & opps.

4.7.5 Master Schedule

The Master Schedule is a key document utilised by several teams across the Estates Directorate. Due to this, it is important that Development and Project Managers meet with the Project Programmer each month. The dates captured on the Master Schedule must also align with the gates and milestones captured on the University PPM System.

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	Estates Plan Engagement Form	Project Brief developed						
			Project Execution Plan developed and updated as required					
		Project Schedule established	Project Schedule/Programme monitored and updated as required					
		Gateway Approval		Gateway Approval		Gateway Approval	Post project review / Lessons Learned	
			Project Status Reporting (PPM Anywhere)					Project Benefits Monitored (as support to Project Sponsor)
			Project Directory updates as required (SharePoint)					
			Project Contracts administration via Sypro/Aconex					
			Operational Readiness Tracker					
		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)					Project Closure Report (If requested)
		Feasibility cashflow commences	Frequent project cashflow reviews					
		Funding Set Up Form	Change Control Process					
			Tax Classification process for projects > £3million					Deprecation 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/Agreed sustainability ratings.
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
Submit Estates Engagement Form from College/Service to Estates PMO.	
Discuss initial considerations for assembling the project team;	
Complete direct award justification and issue 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;	
Start populating project information in PPM Anywhere (Milestones, Risks, Business Case etc.) and progress to relevant project stage;	
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;	

A3 RIBA Stage 1 – Preparation & Brief

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, programme 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 project reports including status reports, cashflow reports & 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;	
Continue populating project information in PPM Anywhere (Milestones, Risks, Business Case etc.) including moving to relevant project stage;	
Move project to Gate 2 on PPM Anywhere following approval of design fees.	
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 (If not already done by Development Manager);
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;
	Continue populating project information in PPM Anywhere (Milestones, Risks, Business Case etc.) including moving to relevant project stage;
	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 project reports including status reports, 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;
	Circulate Operational Readiness Tracker to allow population through RIBA stages 4 and 5.
	Provide input to in-corporation of lifecycle management and costs
	Providing oversight of the project administration;
	Continue populating project information in PPM Anywhere (Milestones, Risks, Business Case etc.) including moving to relevant project stage;
	Monitor the risk register and actively manage risks;
	Preparing and issuing project reports including status reports, 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-incorporation of lifecycle management and costs;
	Providing oversight of the project administration;
	Monitor the risk register and actively manage risks;
	Preparing and issuing project reports including status reports, cashflow reports & all financial management;
	Move project through next gate on PPM Anywhere (Gate 3) following FBC approval at Governance Committees
	Continue populating project information in PPM Anywhere (Milestones, Risks, Business Case etc.) including moving to relevant project stage;
	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: • FF&E • Interior Design • Space Management & Allocation • Approach to room bookings • IT / AV • Internal Programming	Continue populating project information in PPM Anywhere (Milestones, Risks, Business Case etc.) including moving to relevant project stage;
	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;

A8 RIBA Stage 6 – Handover & Close Out

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	Continue populating project information in PPM Anywhere (Milestones, Risks, Business Case etc.) including moving to relevant project stage;
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 Operational Readiness Tracker 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;
	Move project through next gate on PPM Anywhere (Gate 4) following completion of handover activities and (if required) approval of Project Closure Report at University Governance.

Development Manager	Project Manager
Supporting the Project Sponsor in the realisation of Benefits	Hand project over to Project Sponsor for management of Project Benefits.
	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.