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## **0. Programme Management Office (PMO) Operation**

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The University of Leicester Department of Estates & Campus Services have established a Programme Management Office (PMO) that will assist with the oversight, management and compliance of governance for the planned capital programme, minor works and long term maintenance at the University of Leicester (UoL).

The Programme Management Office incorporates a set of bespoke tools and templates for the University. This folder contains the operational documents and outputs prepared by Arup in the course of developing and establishing a PMO function jointly with the University Estates & Campus Services team. The templates and methods presented can be used in the reporting and monitoring of any project and their use is not restricted to projects in the capital programme.

This document suite forms a '**CONTROL COPY HANDBOOK**' which is to be held by identified members of the Estates Executive. Control copies are to be kept up-to-date with any approved revisions released by the PMO lead. The following contents page outlines the key sections of this Handbook.

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## **0. Programme Management Office (PMO) Operation**

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The Programme Management Office function is to have a forward looking perspective, manage information on a regular basis and to assess and report on the performance of the programme. This enables the leadership to make timely and informed decisions on key issues based upon a consideration of the combined challenges of multiple projects running concurrently.

The success of the PMO relies on the Project Managers following the guidelines provided in the handbook and producing outputs highlighted within the PMO guidelines.

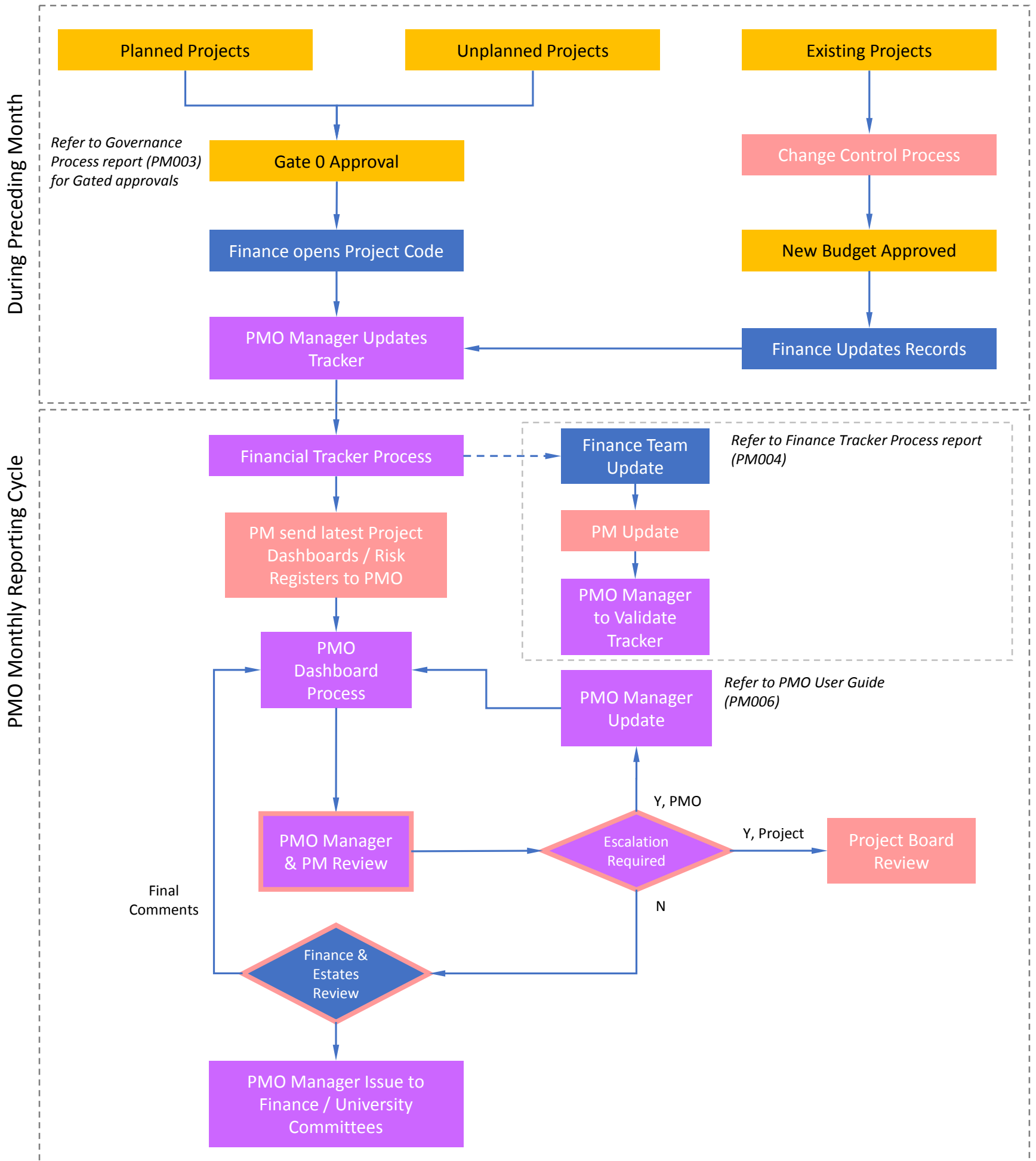
It is a requirement for the Project Managers to update the PMO Manager in order to report on the overall performance of the programme, highlighting any key risks, issues and decisions which need to be addressed. The PMO also defines the tracking and monitoring of the capital projects' finances.

### **PMO Operation Road Map**

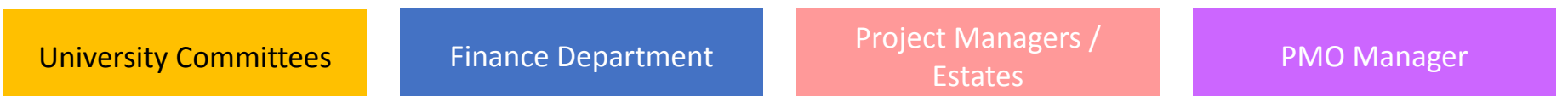
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A process map has been developed for the PMO reporting cycle, highlighting the monthly timeframe, activities, inputs from Project Managers / Finance and outputs from the PMO. The PMO reports are presented to Estates & Campus Services Leadership, responding to key decisions, issues, risks and changes for action by the Project Manager and reported upon on the next cycle.

## PMO Roadmap



### Legend



## PMO Operation

### 1. Gateway Approvals Overview

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The University are revising the Governance process for approving projects, in collaboration with Arup. The Governance process was proposed by Estates & Campus Services to the Corporate Portfolio Board, outlined in the “Estates and Campus Services Project and Programme Governance” paper; dated 23 May 2018. This initiative allows projects to be carefully considered through a gateway process, approved by relevant levels of authority (based on capital value) before proceeding. The reviews ensure proposed projects are only approved if they align to the University’s objectives.

The Gateway approvals are outlined in this section of the folder, but are summarised below:

- **Gateway 0** – Strategic Business Case produced as an initial sense check to determine whether the project aligns with the University’s strategic objectives and is a sensible undertaking (i.e. objectives are realistic and affordable). Sign off to start developing an Outline Business Case and Project Charter.
- **Gateway 1** – Initial Investigation Document and business case produced. Sign off to start design; spending approximately 10% of approved budget.
- **Gateway 2** – Design complete and tenders are evaluated. Sign off to start construction; spending approximately 90% of approved budget.

University of Leicester  
**Programme Management Office**  
Gated Process

PM003

Issue 02 | 2 August 2018



This report takes into account the particular instructions and requirements of our client.

It is not intended for and should not be relied upon by any third party and no responsibility is undertaken to any third party.

Job number 260652-00

**Ove Arup & Partners Ltd**  
The Arup Campus  
Blythe Gate  
Blythe Valley Park  
Solihull B90 8AE  
United Kingdom  
[www.arup.com](http://www.arup.com)

**ARUP**

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Approval Authority Limits

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Governance Process Diagrams

### **Appendix D**

Minor Works Reporting & Process



# 1 Introduction

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Arup have undertaken an exercise to develop and refine the governance process for sanctioning capital projects at the University of Leicester, working with key stakeholders at Estates and Campus Services.

A Gated process is based on Treasury Green Book guidance and industry best practice as used in many large public and private sector organisations. The Gated process provides:

- Clear governance through the life of every project
- Defines appropriate levels of authority for decision making
- Ensures agreement that the right scope is being delivered
- Has graded levels of authority to suit the project stage
- Provides a clear record of decisions taken.

The Gate reviews provide a fixed “go / no go” decision point. Between these Gates additional review points are required, usually at the end of each design stage, with the Project Board taking responsibility for alignment with the relevant project sanction.

This overlays with the governance process outlined by Estates & Campus Services to the Corporate Portfolio Board, in the “Estates and Campus Services Project and Programme Governance” paper; dated 23 May 2018. This is a supplementary report, focusing specifically on the key decisions and information provided for each Gate. Process diagrams are provided for reference in the appendices, outlining the pathways and levels of authority for each committee; but for further detail, please see the “Estates and Campus Services Project and Programme Governance” paper.

As a separate exercise, Arup was asked to look specifically at the governance surrounding Minor Works projects, as they had their own unique challenges. This is outlined within Appendix D.

## 2 Gate 0

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Gate 0 provides a simple review of very basic information. It is a sanity check to ensure that it is worth spending time, effort and money on the initial stages of a potential project. For larger projects, there will usually be a need to appoint an external design team to undertake a feasibility study and options report. Surveys and site investigations will probably need to be started (but not necessarily completed).

Therefore, the Gate 0 review also needs to confirm and instigate the approvals steps for appointing these external support organisations. Cost and time estimates at this stage can only be very rudimentary because the project scope needs to be developed and there are many unknowns.

Projects originating from the University Colleges should be prioritised internally by the College Heads with assistance from Estates and Campus Services. At Gate 0 a cost estimate (+/- 40% certainty) and Strategic Business Case (for projects over £250k) should be produced for approval. Sanction of Gate 0 releases money to undertake an initial brief, feasibility and optioneering. Work cannot commence past Gate 0 until formal sign off is achieved.

## 3 Gate 1

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By this stage the scope and user requirements should be well defined and final handover / acceptance criteria defined. The design will either not have started (smaller projects) or be at a very early stage (larger projects) so the cost estimate will still have a wide level of uncertainty, typically +/- 25% (refer to Contingency Management Report, PM001) or wider depending on complexity and scale. The level of cost uncertainty will continue to remain high until the completion of RIBA 3 (Developed Design), post Gate 1 approval. The overall project programme (timeline) should be defined and baselined at this point.

Gate 1 confirms that the project is aligned with the business need and that the anticipated cost and time is reasonable. It only provides sanction to spend money up to, but not including, the appointment of a contractor. An Outline Business Case and Project Charter should be produced, along with the “not to exceed” budget (upper limit of the cost estimate range) for approval by the highest relevant level of authority to proceed past Gate 1.

Beyond Gate 1 all changes to scope or user requirements should only be made with approval from the relevant committee outlined in the “Approval Authority Limits for Project Changes after Gate 1” table (Appendix A). All changes to scope, time or budget after Gate 1 must be recorded and approved.

## 4 Gate 2

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Gate 2 is the final go / no go Gate and provides sanction to appoint the construction contractor. It enables the expenditure of circa 90% of the project budget and should be approved by the Physical Environment Board (delegated authority) unless it is higher than the “not to exceed” budget at Gate 1. Approval of expenditure over the “not to exceed” budget is sanctioned by the relevant committee outlined in the “Approval Authority Limits for Project Changes after Gate 1” table (Appendix A).

A Full Business Case should be completed to confirm business need and alignment between costs, revenue and resources. At this time, the scope will be finalised, tender costs known and the timescales supported by a construction tender. This information should be included in the Full Business Case.

After Gate 2 there are no further go / no go decision points though in some cases the highest authority level may decide to terminate the project for any reason. Obviously, there will be contractual consequences of such termination but these are covered by standard contract conditions.

During construction and handover, the project should be kept under regular review by the project management team and the Project Board. Higher level governance would only be needed if some change or unforeseen circumstance exceeds the limits of authority of these custodians.

## Appendix A

### Gated Process

# A1 Stage Gate Process

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## **Appendix B**

### **Approval Authority Limits**

# **B1 UoL Approval Authority Limits**

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## Appendix C

### Governance Process Diagrams



# C1 Major Works Process

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## C2 Minor Works Process

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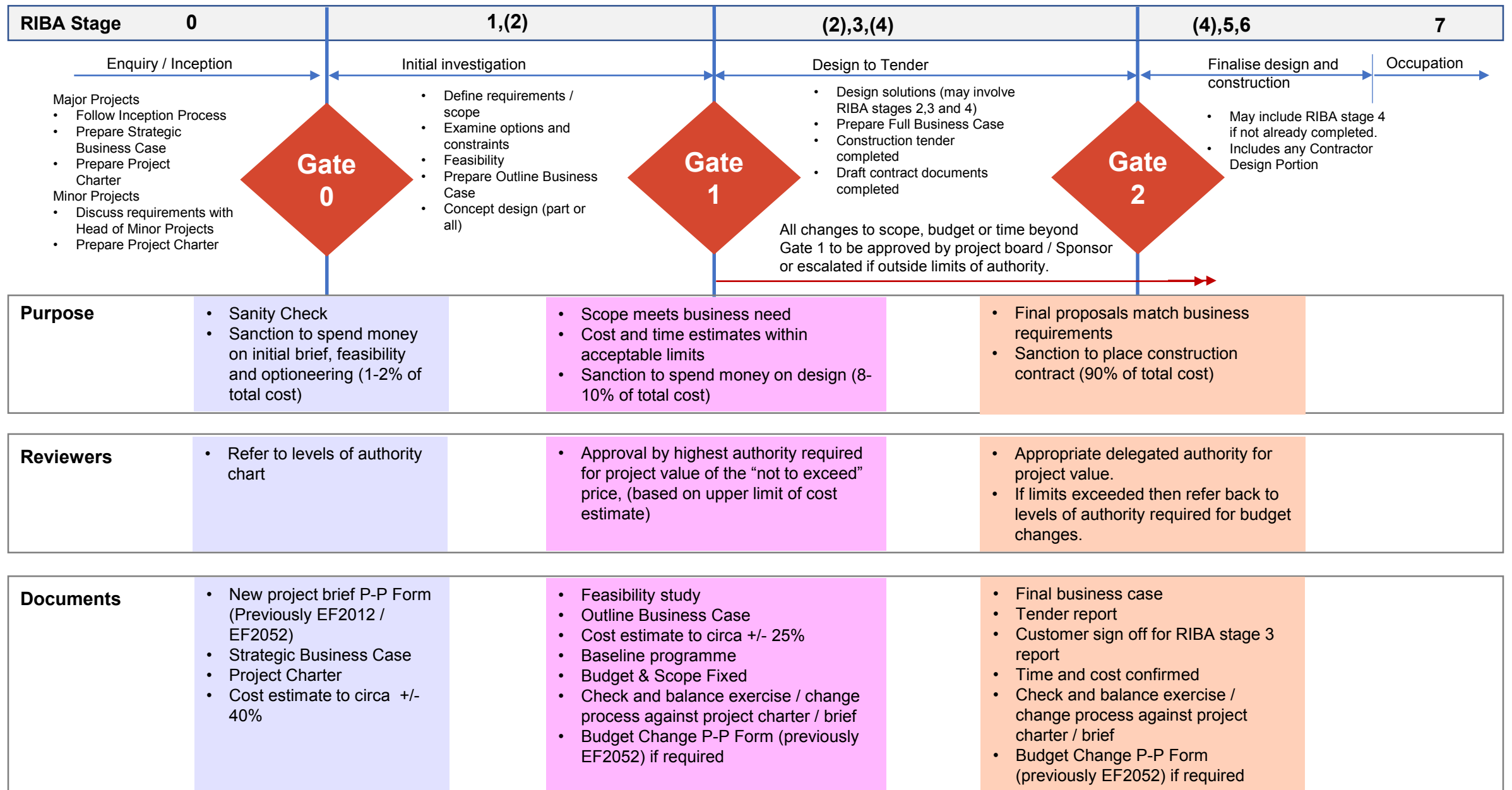
## **Appendix D**

### **Minor Works Reporting & Process**

# D1 Working Session Outputs

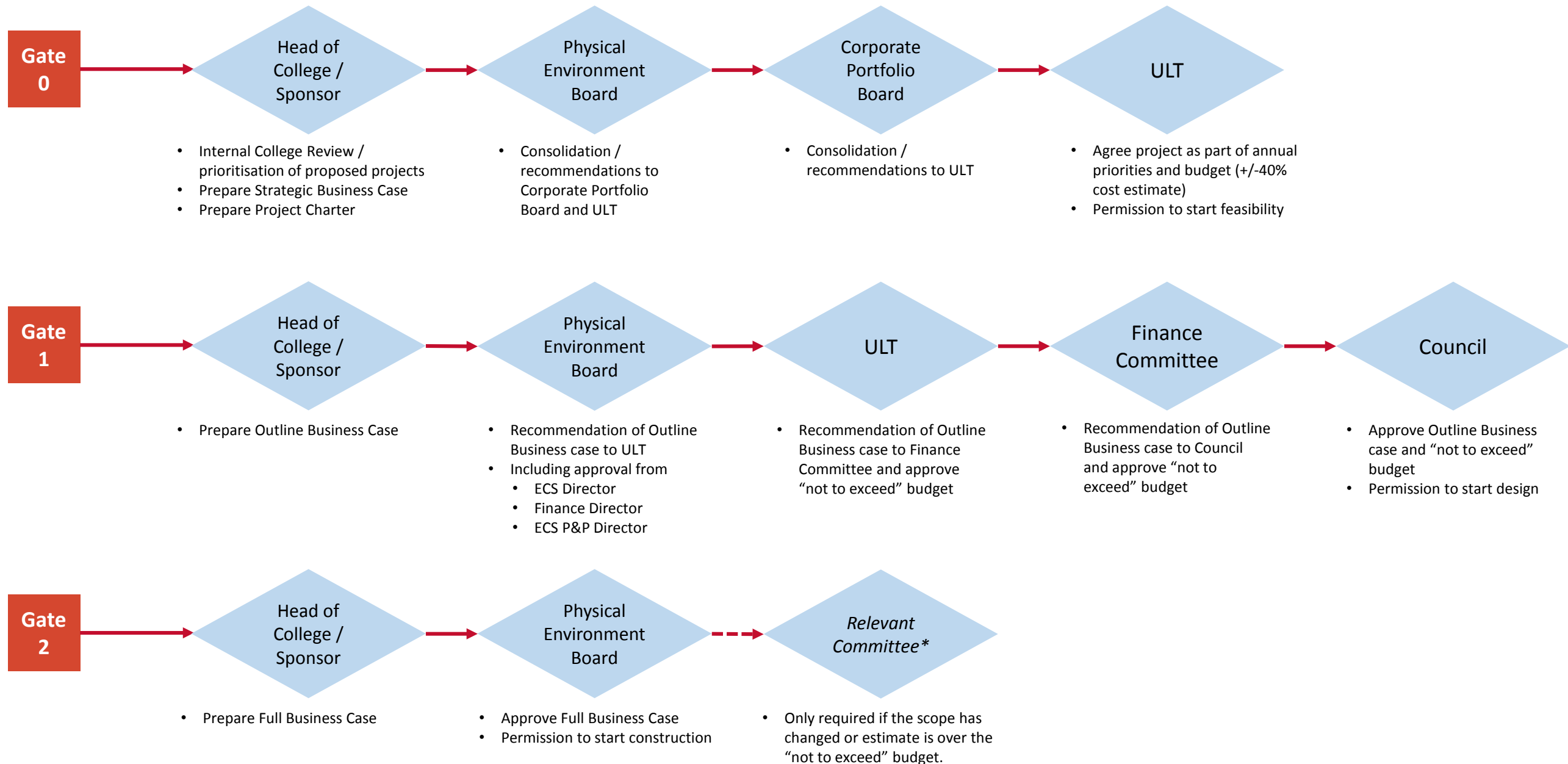
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## Stage Gate Process



Notes: Business Case – covers all aspects of the college / school goals, benefits and costs  
Project Charter – covers the building elements needed to support the business case

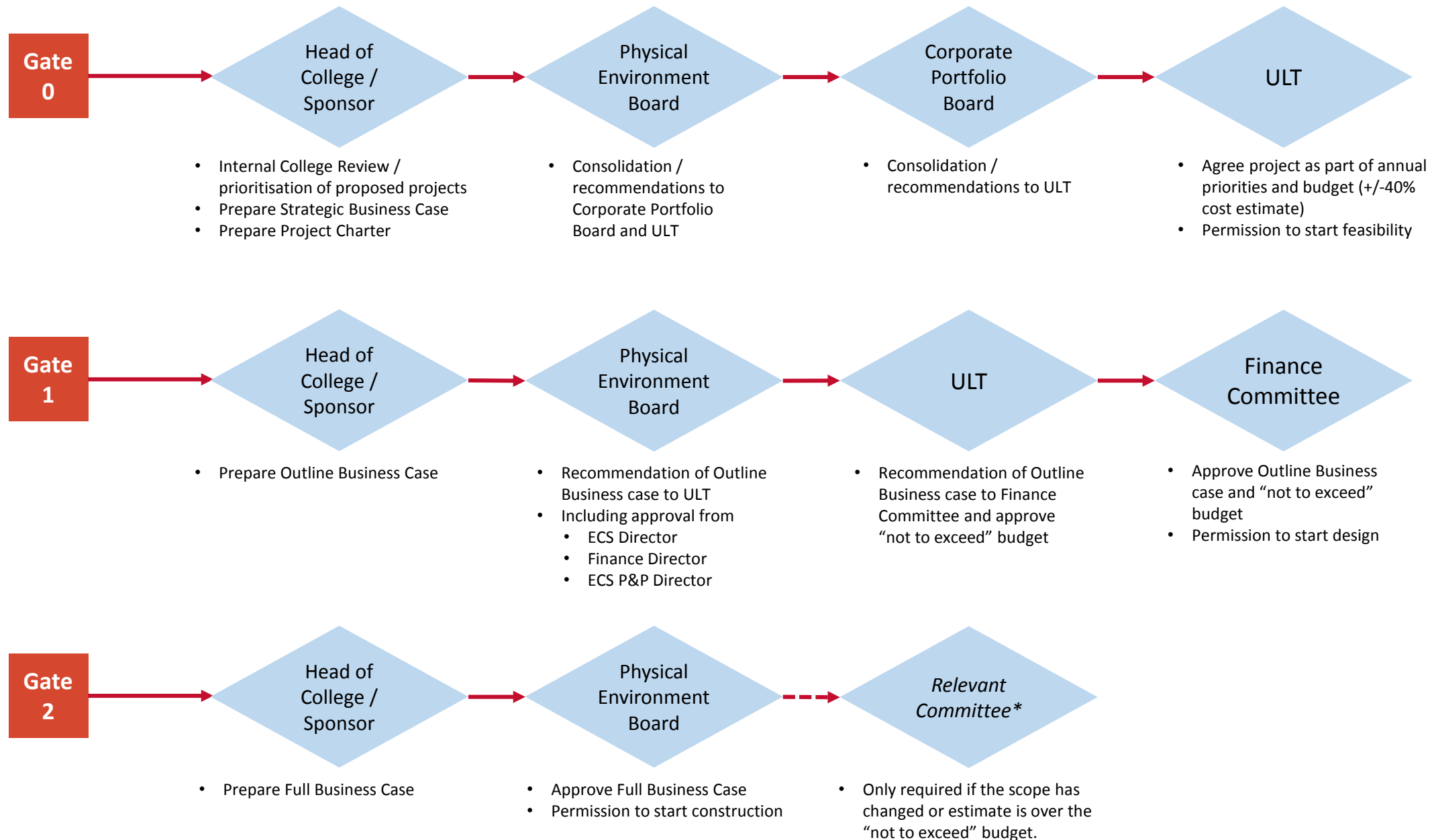
## Approval Authority Limits for > £5m Projects



### Notes

- Acronyms: University Leadership Team (ULT), Estates & Campus Services (ECS), Programme & Project (P&P)
- Gateways to be approved by each committee in turn.
- Gate 2 to be approved by Physical Environment Board as delegated authority, provided the scope has not changed and under the "not to exceed" budget approved at Gate 1.
- \*Only required if the scope has changed or estimate is over the "not to exceed" budget. See Approval Authority Limits for Project Changes after Gate 1 table for the relevant committee.

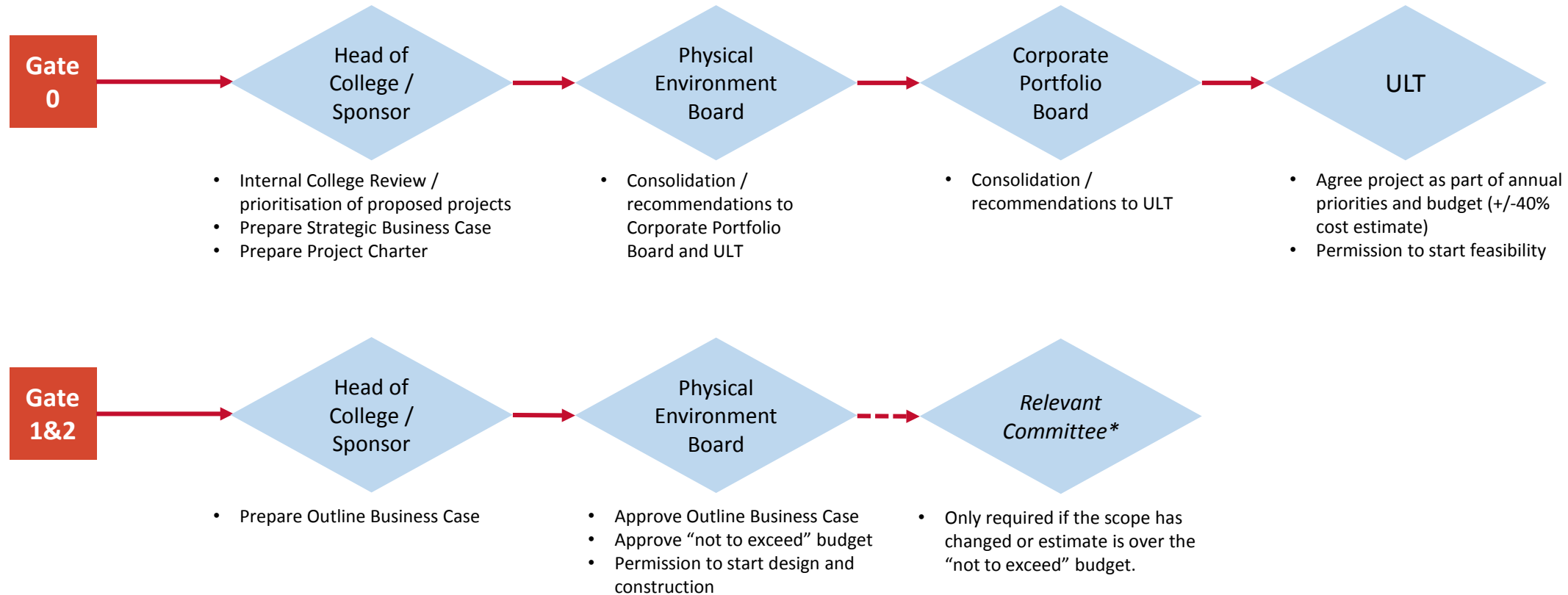
## Approval Authority Limits for £1m - £5m Projects



### Notes

- Acronyms: University Leadership Team (ULT), Estates & Campus Services (ECS), Programme & Project (P&P)
- Gateways to be approved by each committee in turn.
- Gate 2 to be approved by Physical Environment Board as delegated authority, provided the scope has not changed and under the "not to exceed" budget approved at Gate 1.
- \*Only required if the scope has changed or estimate is over the "not to exceed" budget. See Approval Authority Limits for Project Changes after Gate 1 table for the relevant committee.

## Approval Authority Limits for £500k - £1m Projects

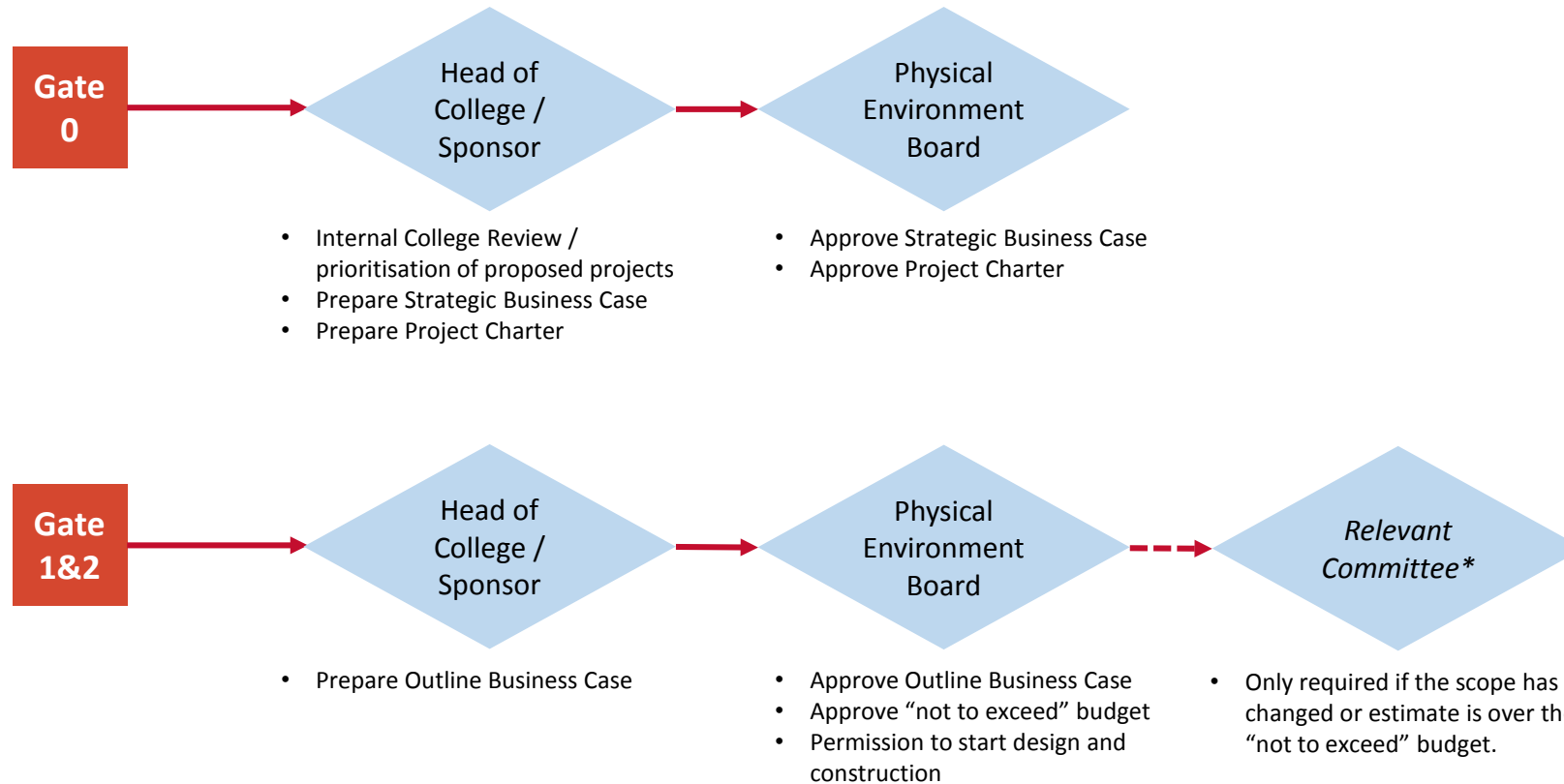


### Notes

- Acronyms: University Leadership Team (ULT)
- Gateways to be approved by each committee in turn.
- Gate 2 to be approved by Physical Environment Board as delegated authority, provided the scope has not changed and under the “not to exceed” budget approved at Gate 1.
- \*Only required if the scope has changed or estimate is over the “not to exceed” budget. See Approval Authority Limits for Project Changes after Gate 1 table for the relevant committee.



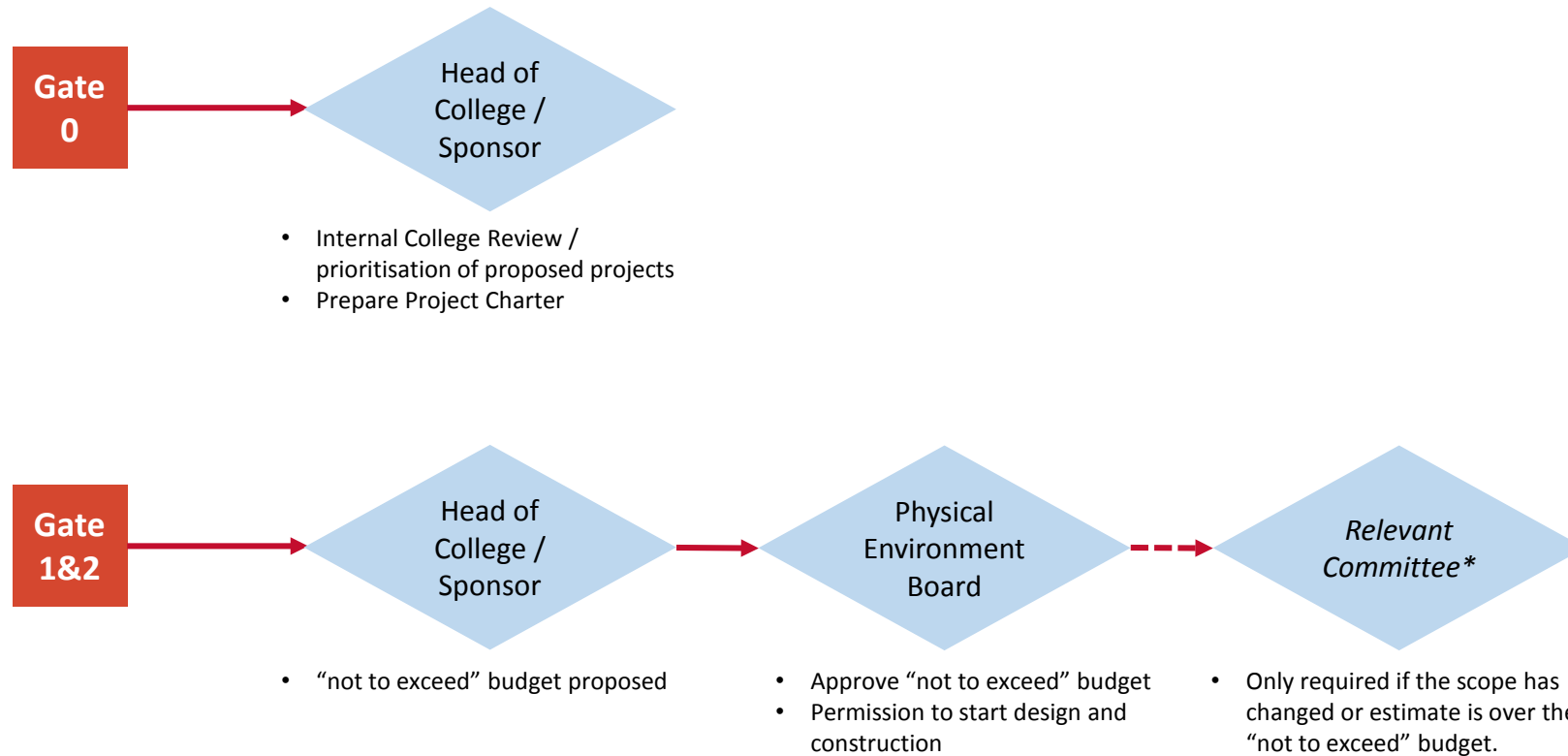
## Approval Authority Limits for £250k - £500k Projects



### Notes

- Gateways to be approved by each committee in turn.
- Gate 2 to be approved by Physical Environment Board as delegated authority, provided the scope has not changed and under the "not to exceed" budget approved at Gate 1.
- \*Only required if the scope has changed or estimate is over the "not to exceed" budget. See Approval Authority Limits for Project Changes after Gate 1 table for the relevant committee.

## Approval Authority Limits for < £250k Projects



### Notes

- Gateways to be approved by each committee in turn.
- Gate 2 to be approved by Physical Environment Board as delegated authority, provided the scope has not changed and under the "not to exceed" budget approved at Gate 1.
- \*Only required if the scope has changed or estimate is over the "not to exceed" budget. See Approval Authority Limits for Project Changes after Gate 1 table for the relevant committee.

## Approval Authority Limits for Project Changes after Gate 1

Original Approved Budget	Change in scope only (no financial impact)	Budget increase > 10%	Budget increase 10% - 20% of original budget	Budget increase of 20% or more
Over £5m	ULT	ULT FC notified	FC	Council
£1m - £5m	PEB	ULT FC notified	FC	FC
£500k - £1m	Project Sponsor* & Dir P&P or Dir Asset Mgt	Dir Finance & Dir ECS	PEB	PEB
£250k - £500k	Project Sponsor* & Dir P&P or Dir Asset Mgt	DD Finance & Dir P&P	Dir Finance & Dir ECS	Dir Finance & Dir ECS
£0 - £250k	Dir P&P or Dir Asset Mgt	DD Finance & Dir P&P	DD Finance & Dir P&P	Dir Finance & Dir ECS

### Notes

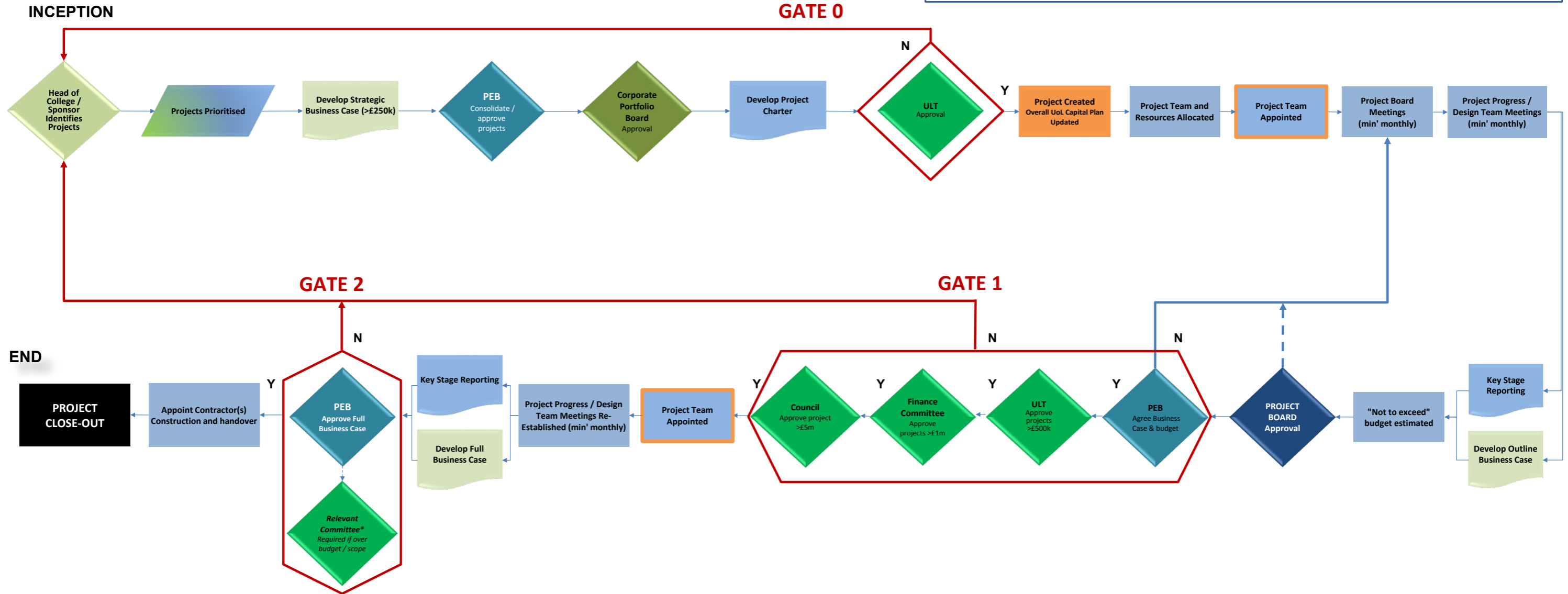
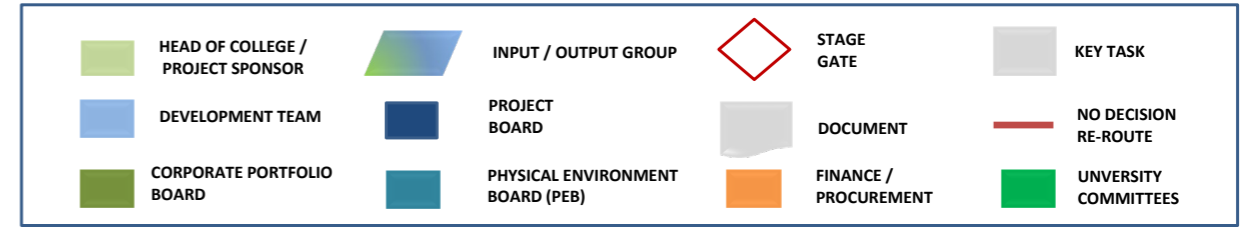
- As outlined within "Estates and Campus Services Project and Programme Governance" paper (dated; 23 May 2018)
- \*Project Sponsor will be either College Director of Operations (if College funded) or Director of Estates & Campus Services where funded centrally

# MAJOR PROJECT INCEPTION - PROPOSED PROCESS (Rev Arup1.3) 31 July 2018



Prepared by Arup

**Points to consider:**  
 The Major Project Inception process should be considered as an integral part of the Governance Structure and processes/protocols therein.  
 The governance process should be identified within the PEP and UoL Project Master Programme.  
 The process should be cognisant of the Principal Contractors procurement strategy and works contract requirements (e.g. form of contract). The process is intended to illustrate the steps that UoL (Projects, Estates, Stakeholders) need to work to ensure the project is delivered in a coordinated and efficient manner.  
 The Project Manager must ensure that the process is communicated and implemented fully, ensuring all key actions and milestones are organised, communicated and monitored proactively to ensure no task is delayed or missed.



\*Note: For relevant Committee to approve changes, please see "Approval Authority Limits for Project Changes after Gate 1" table, within the Governance and Gateways Stage Gate document.

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Your feedback is welcome and encouraged. Please e-mail to:

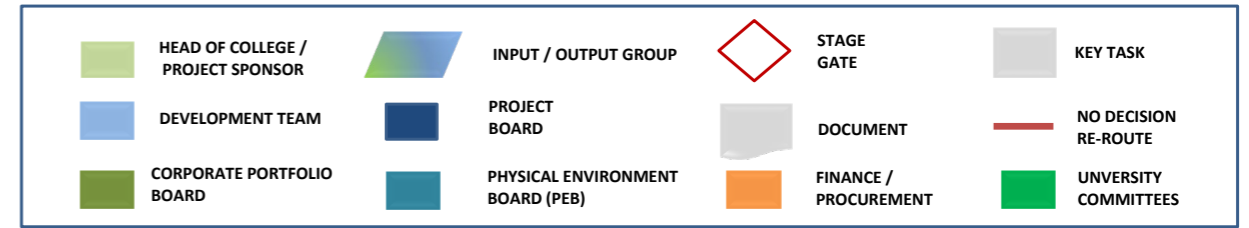
[Stat\\_Aids@yahoo.com](mailto:Stat_Aids@yahoo.com)

# MINOR WORKS PROJECT INCEPTION - PROPOSED PROCESS (Rev Arup1.2) 24 July 2018



Prepared by Arup

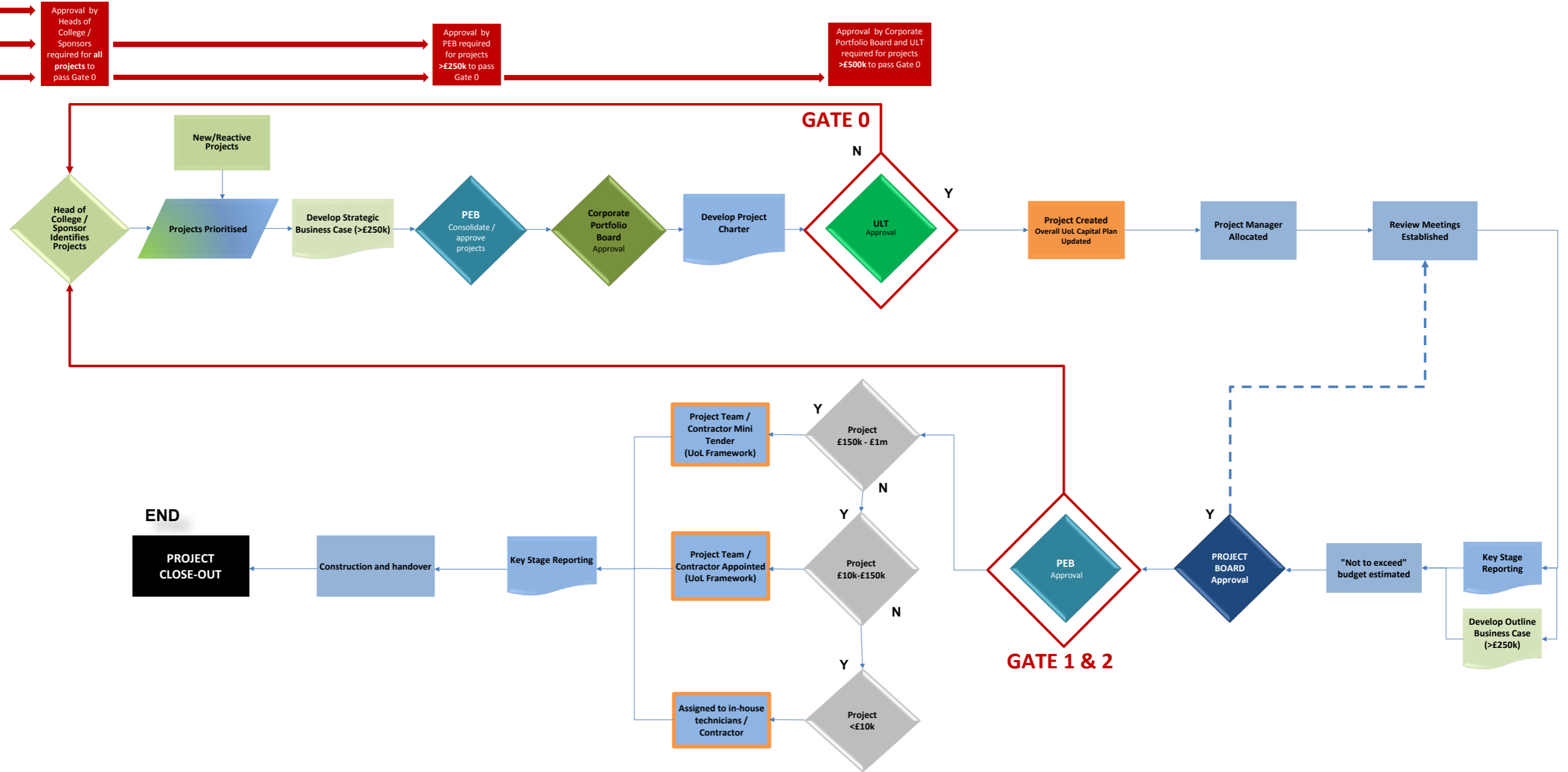
**Points to consider:**  
 The Minor Project Inception process should be considered as an integral part of the Governance Structure and processes/protocols therein. The governance process should be identified within the PEP and UoL Project Master Programme. The process should be cognisant of the Principal Contractors procurement strategy and works contract requirements (e.g. form of contract). The process is intended to illustrate the steps that UoL (Projects, Estates, Stakeholders) need to work to ensure the project is delivered in a coordinated and efficient manner. The Project Manager must ensure that the process is communicated and implemented fully, ensuring all key actions and milestones are organised, communicated and monitored pro-actively to ensure no task is delayed or missed. The approvals process leading up to Gate 0 is based on the paper by Estates to the Corporate Portfolio Board, "Estates and Campus Services Project and Programme Governance"; dated 23 May 2018. This has been later refined in Minor Works workshops to require fewer committee approvals to streamline the process for smaller valued projects.



## INCEPTION

Required Approvals

<£250k  
 £250k - £500k  
 >£500k



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# PMO - Minor Works Reporting & Process

Working Session No. 1 & No. 2 Outputs



## Key Observations with Minor Projects Delivery

The team delivering the Minor Works Projects at the University have highlighted the following key points. A number of these points are addressed through the new UoL Contractor Framework and these are 'grey scaled'. Points still to be addressed are supported by the proposed process map within this pack.

- Initial 'Brief Form' is often incomplete and/or incorrect
- Lack of consistency in approach across project
- Insufficient project information provided
- Cost of works has to be established by a QS on limited information
- Works do not typically follow the RIBA Stages
- Minor Works Framework is in place
- University T&Cs are often used and included in the purchase order
- Maintenance works are processed using a service desk and 2 technicians for small works (<£5k)
- Typically, projects above £50k will be contracted using JCT minor works contracts
- Principal Designer roles are undertaken both in-house and externally
- Principal Designer competencies and assessment of suitability could be further developed
- No term contracts in place
- Standardised products, palette of materials, specifications not in place
- Preferred supplies list not established

## Workshop No 1

A workshop was undertaken with key UoL staff in reviewing the way Minor Works Projects are identified, managed and procured. An overarching issue with how these projects are captured/identified in the first instance and how they are managed, resourced, financed and delivered formed part of the evolving discussion.

Some of the key points captured were:

- Minor projects can be categorised on the basis of complexity and size – known as ‘Project Attributes’
- Low, Medium and High volumes of projects were identified once project types were categorised
- The procurement routes for the various ‘Project Attributes’ were outlined and use of frameworks and in-house resourcing through a help desk identified

## Workshop No 2

The next workshop will consider the range of projects, identification of projects and governance.

The following slides capture the initial discussion and identified of Project Attributes in Workshop No 1 and No 2.

## Minor Projects Delivery – Developing Project Categorisation

Complexity	Project Size			
	<del>0 - £5k</del> - £10k	<del>£5k</del> £10k - £25k	£25k - £100k	£100k - £250k
<ul style="list-style-type: none"> <li>Limited complexity</li> <li>Low risk</li> <li>Some stakeholder management</li> </ul>	Interior Fit-out Groundworks Small Equipment Install Disabled Access Requirements	Interior Fit-out Groundworks Small Equipment Install Disabled Access Requirements	Interior Fit-out Office Fit-out Equipment Installation Infrastructure	Interior Fit-out Laboratories Office Fit-out Infrastructure
<ul style="list-style-type: none"> <li>Some complexity</li> <li>Medium risk</li> <li>Key stakeholder management</li> </ul>	Interior Fit-out Small Power Install Infrastructure	Interior Fit-out Small Power Install Infrastructure Upgrades	Refurbishments Residential Laboratories Teaching Spaces Infrastructure	New Build Refurbishment Residential Laboratories Teaching Spaces Infrastructure
<ul style="list-style-type: none"> <li>Complex</li> <li>High risk</li> <li>Complex stakeholder management</li> </ul>	-	Teaching Spaces (lecture rooms, technical spaces, etc) Infrastructure Utility Installation	Refurbishments Residential Laboratories Teaching Spaces Infrastructure Utility Upgrades	Major New Build Major Refurbishment Residential Teaching Spaces Major Plant Utility Upgrades

## Minor Projects Delivery – Developing Project Categorisation (Workshop 1)

	Complexity	Project Size			
		0 - <del>£5k</del> - £10k	<del>£5k</del> £10k - £25k	£25k - £100k	£100k - £250k
<b>High Volume of Low Complexity Projects</b>	<ul style="list-style-type: none"> <li>Limited complexity</li> <li>Low risk</li> <li>Some stakeholder management</li> </ul>	Interior Fit-out Groundworks Small Equipment Install Disabled Access Requirements	Interior Fit-out Groundworks Small Equipment Install Disabled Access Requirements	Interior Fit-out Office Fit-out Equipment Installation Infrastructure	Interior Fit-out Laboratories Office Fit-out Infrastructure
<b>High Volume of Some Complexity Projects</b>	<ul style="list-style-type: none"> <li>Some complexity</li> <li>Medium risk</li> <li>Key stakeholder management</li> </ul>	Interior Fit-out Small Power Install Infrastructure	Interior Fit-out Small Power Install Infrastructure Upgrades	Refurbishments Residential Laboratories Teaching Spaces Infrastructure	New Build Refurbishment Residential Laboratories Teaching Spaces Infrastructure
<b>Low Volume of Complex Projects</b>	<ul style="list-style-type: none"> <li>Complex</li> <li>High risk</li> <li>Complex stakeholder management</li> </ul>	-	Teaching Spaces (lecture rooms, technical spaces, etc) Infrastructure Utility Installation	Refurbishments Residential Laboratories Teaching Spaces Infrastructure Utility Upgrades	Major New Build Major Refurbishment Residential Teaching Spaces Major Plant Utility Upgrades


 High number of  
Projects

 Medium number  
of Projects

 Medium number  
of Projects

 High number of  
Projects

## Minor Projects Delivery – Developing Project Categorisation

### Workshop No 1 Output

Complexity	Project Size			
	0 - <del>£5k</del> - £10k	<del>£5k</del> £10k - £25k	£25k - £100k	£100k - £250k
<ul style="list-style-type: none"> <li>Limited complexity</li> <li>Low risk</li> <li>Some stakeholder management</li> </ul>	High Volume of Projects	High Volume of Projects	Low Volume of Projects	High Volume of Projects
<ul style="list-style-type: none"> <li>Some complexity</li> <li>Medium risk</li> <li>Key stakeholder management</li> </ul>	Low Volume of Projects	Medium Volume of Projects	Low Volume of Projects	High Volume of Projects
<ul style="list-style-type: none"> <li>Complex</li> <li>High risk</li> <li>Complex stakeholder management</li> </ul>	-	Low Volume of Projects	Low Volume of Projects	Low Volume of Projects

## Minor Projects Delivery – Developing Project Categorisation

### Analysis of Projects included on the Financial Tracker

Complexity	Project Size			
	0 - £5k	£5k - £25k	£25k - £100k	£100k - £250k
<ul style="list-style-type: none"> <li>Limited complexity</li> <li>Low risk</li> <li>Some stakeholder management</li> </ul>	Medium Volume of Projects	High Volume of Projects	High Volume of Projects	Medium Volume of Projects
<ul style="list-style-type: none"> <li>Some complexity</li> <li>Medium risk</li> <li>Key stakeholder management</li> </ul>	Low Volume of Projects	High Volume of Projects	High Volume of Projects	Medium Volume of Projects
<ul style="list-style-type: none"> <li>Complex</li> <li>High risk</li> <li>Complex stakeholder management</li> </ul>	-	Low Volume of Projects	Low Volume of Projects	Low Volume of Projects

## Minor Projects Delivery – Developing Project Categorisation Workshop No 2

Complexity	Project Size			
	0 - £10k	£10k - £25k	£25k - £100k	£100k - £250k
<ul style="list-style-type: none"> <li>Limited complexity</li> <li>Low risk</li> <li>Some stakeholder management</li> </ul>	High Volume of Projects	High Volume of Projects	Medium Volume of Projects	Medium Volume of Projects
<ul style="list-style-type: none"> <li>Some complexity</li> <li>Medium risk</li> <li>Key stakeholder management</li> </ul>	Low Volume of Projects	Medium Volume of Projects	Medium Volume of Projects	Medium Volume of Projects
<ul style="list-style-type: none"> <li>Complex</li> <li>High risk</li> <li>Complex stakeholder management</li> </ul>	-	Low Volume of Projects	Low Volume of Projects	Low Volume of Projects

## Minor Projects Delivery – Developing Project Categorisation Procurement of Works Through UoL Framework

Complexity	Project Size			
	0 - £10k	£10k - £25k	£25k - £100k	£100k - £250k
<ul style="list-style-type: none"> <li>Limited complexity</li> <li>Low risk</li> <li>Some stakeholder management</li> </ul>	UoL In-house Technicians / UoL Framework	Interior Fit-out Groundworks Small Equipment Install Disabled Access Requirements	Interior Fit-out Office Fit-out Equipment Installation Infrastructure	Interior Fit-out Laboratories Office Fit-out Infrastructure
<ul style="list-style-type: none"> <li>Some complexity</li> <li>Medium risk</li> <li>Key stakeholder management</li> </ul>	Interior Fit-out Small Power Install Infrastructure	Interior Fit-out Small Power Install Infrastructure Upgrades	Refurbishments Residential Laboratories Teaching Spaces Infrastructure	New Build Refurbishment Residential Laboratories Teaching Spaces Infrastructure
<ul style="list-style-type: none"> <li>Complex</li> <li>High risk</li> <li>Complex stakeholder management</li> </ul>	-	Teaching Spaces (lecture rooms, technical spaces, etc) Infrastructure Utility Installation	Refurbishments Residential Laboratories Teaching Spaces Infrastructure Utility Upgrades	Major New Build Major Refurbishment Residential Teaching Spaces Major Plant Utility Upgrades

### Building Fabric Maintenance and Minor Works Framework Agreement

- Large £500k - £1m (3 contractors on Framework, appointment by mini tender)
- Medium £150k - £500k (5 contractors on Framework, appointment by mini tender)
- Small £10k - £150k (5 contractors, can be appointed single source from the Framework)
- For projects under £10k, this is either directed to in-house technicians or can be single source procured from any contractor (not necessarily on the Framework).

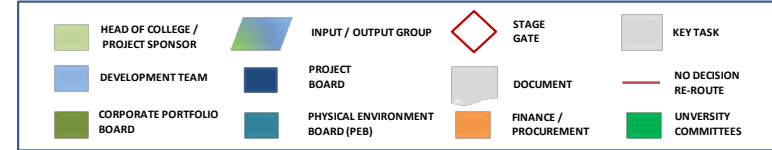


**MINOR WORKS PROJECT INCEPTION - PROPOSED PROCESS (Rev Arup1.2) 24 July 2018**

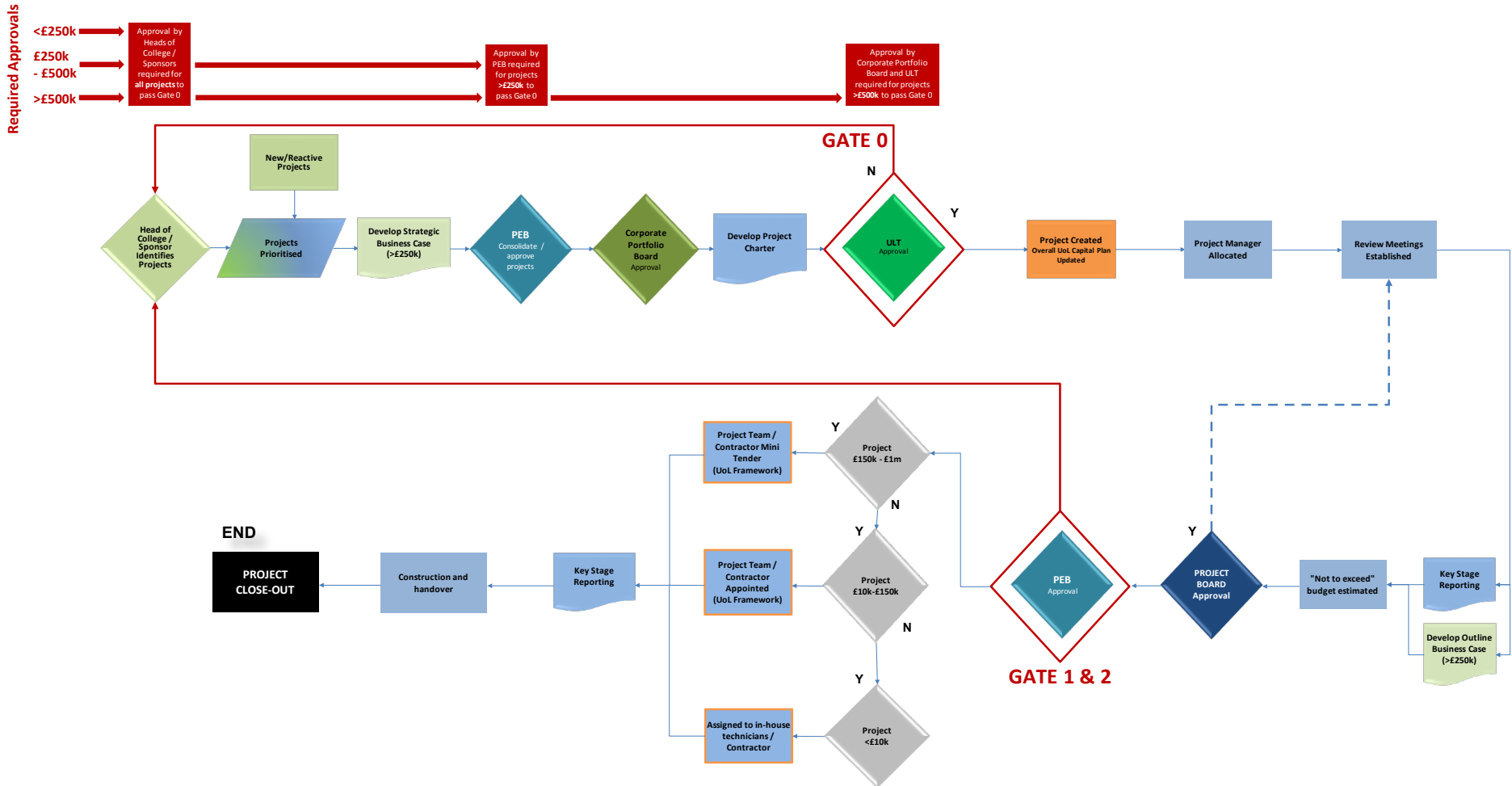


Prepared by Arup

**Points to consider;**  
The Minor Project Inception process should be considered as an integral part of the Governance Structure and processes/protocols therein. The governance process should be identified within the PEP and UoL Project Master Programme.  
The process should be cognisant of the Principal Contractors procurement strategy and works contract requirements (e.g. form of contract). The process is intended to illustrate the steps that UoL (Projects, Estates, Stakeholders) need to work to ensure the project is delivered in a coordinated and efficient manner.  
The Project Manager must ensure that the process is communicated and implemented fully, ensuring all key actions and milestones are organised, communicated and monitored pro-actively to ensure no tasks are delayed or missed.  
The approvals process leading up to Gate 0 is based on the paper by Estates to the Corporate Portfolio Board, "Estates and Campus Services Project and Programme Governance"; dated 23 May 2018. This has been later refined in Minor Works workshops to require fewer committee approvals to streamline the process for smaller valued projects.



**INCEPTION**



## Key Definitions and Upper Limits for Minor Works Projects

The following are highlighted in the development of an approach to managing Minor Works Projects.

- Process is based on the “Estates and Campus Services Project and Programme Governance” paper; dated 23 May 2018
- Workshop No 1 and No 2 on Minor Works
- Review of existing process
- Analysis of all projects added to the Financial Tracker would suggest slight variations in volumes of projects under each category
- A definition is required for identifying when a project is allocated as a Minor Works projects
- The proposed approach is to consider projects in the range of £0 - £250k
- The Project Inception Process, based on the “Estates and Campus Services Project and Programme Governance” paper to be amended such that the requirement for a business case will be for projects of value £250k and above before Gate 0
- Project categorisation and procurement route are defined

## PMO Operation

### 2. Escalation Process Diagram

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An escalation process diagram has been developed by Estates and Campus Services to determine the levels of authority to approve a project that is requesting a change in scope or increase in budget.

These diagrams can be found in Appendices E and F within the “Estates and Campus Services Project and Programme Governance” paper (dated 23 May 2018) that was issued for internal UoL review and acceptance.

A copy of the paper is attached for references purposes.

UNIVERSITY OF LEICESTER  
**CORPORATE PORTFOLIO BOARD**

23 May 2018

**Estates and Campus Services Project and Programme Governance**

**1. Purpose of the report**

- 1.1. To propose an amended governance framework for the University to apply to the planning, prioritising, budgeting and approvals for estates investment in land, property and infrastructure.
- 1.2. To clarify the relationship between estates projects and broader programmes of work which inform these projects, specifically through the development of the Corporate Portfolio Management Office (CPMO).
- 1.3. The paper identifies synergies between the work of Estates and Campus Services (ECS), the CPMO and other University teams, and recommends opportunities to improve and streamline processes, particularly around planning and governance.

**2. Introduction and background**

- 2.1. The University seeks to continuously improve its corporate governance in respect of capital investment decisions covering land and property transactions together with funding for building infrastructure, refurbishments, long term maintenance and minor works.
- 2.2. The University regards the successful management of its estate as a core component of its infrastructure to ensure that it continues to meet new requirements or to meet revised or new standards. In this respect it requires clear and accountable governance for the management of decisions related to land, property, buildings and infrastructure maintenance and minor works.
- 2.3. The delivery of an effective and integrated approach to estates and capital expenditure is required to ensure resources are approved in light of an appropriate level of information which ensures decisions are made in the context of statutory and legal requirements, strategic fit and the effective management of major risks or responses to commercial opportunity or competitive advantage.
- 2.4. To support the University's Physical Environment Strategy, the University has developed a capital programme to invest around £500m in order to transform its estate.
- 2.5. The current condition of a number of properties means that some urgent work is required to deliver improvements, particularly from a compliance and safety perspective.
- 2.6. There is considerable pressure to deliver a high quality student experience, particularly through teaching and other activities within Colleges. The physical environment plays an important part in fostering a vibrant, collaborative academic community while enabling modern styles of pedagogy. The capital programme also needs to support student experience

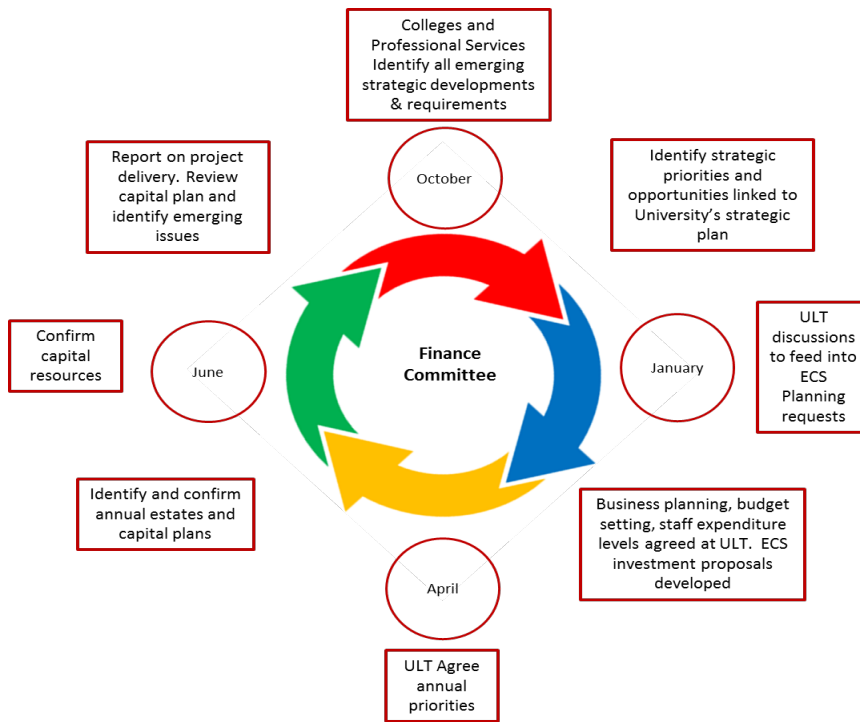
more broadly by providing spaces that create a stronger sense of belonging through inspirational design and logical co-location of departments and services.

- 2.7. At the same time, Leicester is a research-intensive institution with world-class strengths in a number of areas. In order to support the research agenda, investment is required in a number of key facilities, or alternative spaces provided through new build projects such as the proposed Space Park and Multi-Disciplinary Laboratory.
- 2.8. There are therefore significant demands on the budget available and careful management is required to ensure that the capital programme of major projects, as well as the wide range of smaller works, delivers maximum benefit to the University.
- 2.9. This paper sets out a proposed governance structure under which estates projects of all sizes will be delivered. It also proposes a process for reviewing and approving new projects not currently included in estates plans.

### **3. Governance**

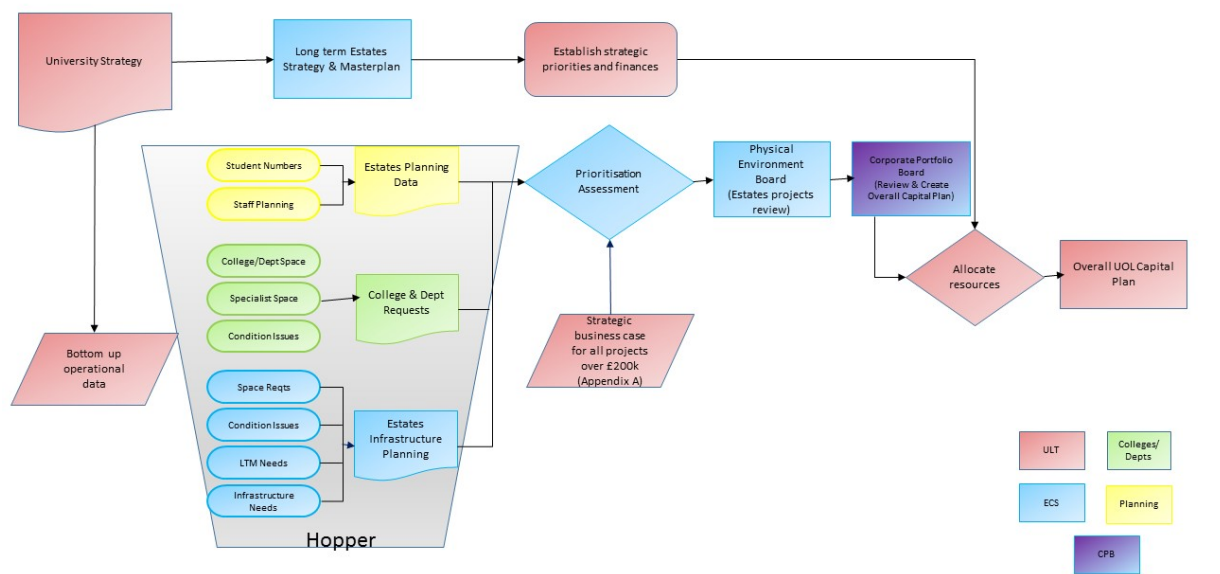
- 3.1. The required governance for estates projects and programmes comprises three components; (i) strategic planning; (ii) financial authority and (iii) programme delivery.
- 3.2. The objectives are to:-
  1. Develop a clear, robust and transparent governance system;
  2. Ensure effective planning to a high quality within target timelines to deliver the projects and programmes;
  3. Provide clear and repeatable processes, tools and templates, with clear roles and responsibilities for individuals;
  4. Define a process that ensures engagement and communication with the required stakeholders, ensures accountability, corrals the correct information at the right time and delivers smart and well thought through projects for and through approval and up to the point of execution;
  5. Develop a transparent means of prioritising projects together with a financial assessment of the benefit of proposed projects (eg ROI/ NPV) that integrates with the University's strategy;
  6. Establishes approval gateways for key project stages, linked to a developing business case which is updated for each stage of the approvals process and aligned with the project charter. The business case should set out the key benefits to be realised from every project, the resources required to deliver it, risks and constraints;
  7. Develop a means of tracking the status of projects through the approvals process with improved status reporting and financial indicators to provide a single source of truth for all projects.
- 3.3. Strategic planning
  - 3.3.1. To ensure the estates programme is focused on supporting the University's strategic plan and its subordinate strategies, prioritisation is essential. This may mean that not all project proposals are progressed. The responsibility for this prioritisation exercise should sit with ULT, supported by Estates and Campus Services (ECS) and Finance. It is proposed that Corporate Portfolio Board should make the initial recommendations to ULT for approval.

- 3.3.2. The University planning process includes an opportunity to review the capital programme within the timeline (Dec – Feb as per the planning process for financial year 18/19) however this is primarily a financial accounting procedure. There is no clearly articulated process through which project proposals can be put forward as part of area plans.
- 3.3.3. Minor works projects can currently come to ECS through an annual review of priorities conducted by the Space Management team in conjunction with Colleges, or, more typically, through ad hoc requests using the Works Request Form. It is proposed that this new process supersedes existing processes relating to Minor Works.
- 3.3.4. As such, all new proposed estates projects or programmes would come through the annual planning round in the way described in this Section.
- 3.3.5. The current timescales within the planning round are predicated on the capital programme being updated, based purely on institutional priorities and are out of sync with College, PVC and Professional Services area plan development. As such, an initial review of all estates project requests should take place once the first draft area plans have been submitted so that new ideas can be evaluated alongside existing plans. Within the current planning process, this would fit with the annual February/March ULT strategic workshops.
- 3.3.6. To enable ULT to compare project proposals on an equal footing, it will be important to have Strategic Business Cases for each of the projects under consideration that are anticipated to cost in the region of £1m or above (capital and operating costs over the lifecycle of the project). The estimated cost will be prepared using desktop benchmark costs and are anticipated to be to an accuracy of +/- 40%. The Strategic Business Case will enable ULT to ascertain whether the projects meets the University's strategic priorities and is affordable within the overall financial envelope. At this stage, minimal information will be available regarding likely cost, programme, risk etc. and ULT will be required to establish priorities based on the positive contribution of each project towards delivering the University's strategic plan.
- 3.3.7. We therefore propose the following planning cycle which should be undertaken to include all emerging requirements for a minimum three year planning cycle:



3.3.8. Each College or Division will be responsible through their Head of College or Director for developing strategic business cases. A local prioritisation process will be undertaken taking account of local (through Portfolio Review, for example) and corporate strategic objectives. The College or Divisional priorities will be submitted to the Physical Environment Board (PEB) for consolidation and escalated to Corporate Portfolio Board, then ULT, for prioritisation. To assist in achieving a consistent approach, a business case template is required which is included in Appendix A. The review of Strategic Business Cases forms Gate 0 of the Gateways and Governance process (see Section 3.3.14).

3.3.9. This cycle will be supported by the following process:



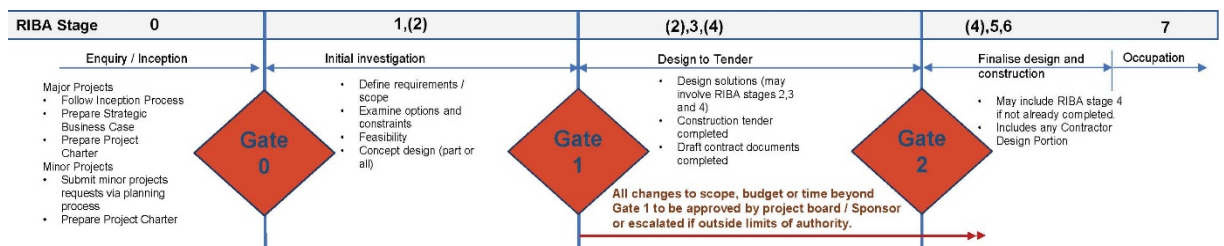
3.3.10. This paper relates specifically to project proposals that would sit within the estates programme of works. The process articulated above should also be adopted for non-estates projects so that all major spend across the University can be considered holistically by ULT within the annual planning process.

3.3.11. The prioritisation exercise will yield a number of projects which are to be progressed to outline business case stage with a view to obtaining financial approval. A Project Charter will be required which will denote scope, high level cost estimate and the costs, primarily in the form of design and consultancy fees to develop the project through to the outline business case stage. Authorisation to spend fees in order to achieve this level of information will be required at Gate 0.

3.3.12. It is proposed that the outline business case progresses through the University’s governance structure as per the financial authority limits described in section 3.4. The preparation of the outline business case aligns with Stages 1-2 of the RIBA Plan of Work. Whilst this offers some degree of cost certainty, detailed designs will not be developed at this point, nor will any proposal be market tested. It is therefore proposed that the outline business case contains an estimated cost and a ‘not to exceed’ budget. The appropriate committees will be asked to approve an outline business case against the ‘not to exceed’ budget, and in doing so delegate financial management of the project to the Physical Environment Board as long as it remains within that upper limit. The approval of the outline business case is Gate 1, as articulated in Section 3.3.14. An outline business case template is provided in Appendix B.

3.3.13. Projects which pass through Gate 1 are then developed through to full business case, aligned to Stages 3 and 4 of the RIBA Plan of Work. This exercise will offer a high degree of certainty around cost and programme, and will enable the project to go forward for planning submission. The full business case will be reviewed and signed off by the Physical Environment Board provided that there are no financial or change control requirements triggered through further development of the design. This is Gate 2, as articulated in Section 3.3.14.

3.3.14. The Gateway process is articulated in the diagram shown below:-



### 3.4. Financial authority

3.4.1. Each case requires a Project Sponsor who would normally be the person to be held accountable for the delivery of the estates project on behalf of the College/Division. They will be required to present at the relevant approval meeting. It is the responsibility of each College or Division to identify the need but they will be required to develop option appraisals (particularly in relation to new space requirements) with relevant service providers.



3.4.2. The University has an established governance structure for approving expenditure on capital projects. This paper seeks to change the financial approval process (based on information available at Gate 1, as articulated in Section 3.3.12) as follows:-

	New project included on approved annual capital programme (within budget)	New project included on approved annual capital programme (over budget)
Over £5m	Council	Council
£1m - £5m	Finance Committee	Finance Committee
£500k - £1m	ECS Director + Finance Director	ULT + Estates Steering Group + Sponsor
£200k - £500k	PEB	PEB + Sponsor
£0 - £200k	ECS P&P Director or ECS Asset Director + Finance BP	ECS P&P Director or ECS Asset Director + Finance BP

3.4.3. The process is articulated in diagrammatic form in Appendix E

3.4.4. The complexity of the capital programme and the level of expenditure is unprecedented at the University, justifying an increased level of scrutiny, particularly from a financial perspective.

3.4.5. Robust management of change is required throughout the project lifecycle

3.4.6. Change will be approved as follows:-

Original Approved Budget	Change in scope only (no financial impact)	Budget increase > 10%	Budget increase 10% - 20% of original budget	Budget increase of 20% or more
Over £5m	ULT	ULT FC notified	FC	Council
£1m - £5m	PEB	ULT FC notified	FC	FC
£500k - £1m	Proj Sponsor* & Dir P&P or Dir Asset Mgt	Dir Finance & Dir ECS	PEB	PEB
£200k - £500k	Proj Sponsor* & Dir P&P or Dir Asset Mgt	DD Finance & Dir P&P	Dir Finance & Dir ECS	Dir Finance & Dir ECS
£0 - £200k	Dir P&P or Dir Asset Mgt	DD Finance & Dir P&P	DD Finance & Dir P&P	Dir Finance & Dir ECS

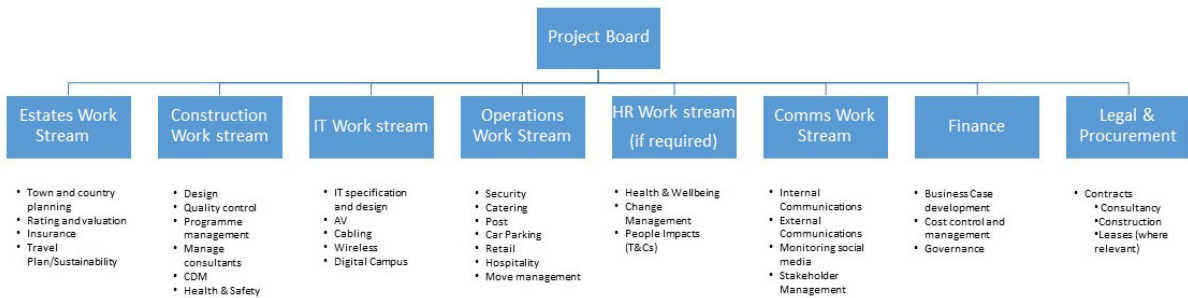
\*Project Sponsor will be either College Director of Operations (if College funded) or Director of Estates & Campus Services where funded centrally

3.4.6 The process is articulated in diagrammatic form in Appendix F

- 3.4.7 Corporate Portfolio Board will act as a proxy for ULT, reviewing change control requests which require ULT involvement, making recommendations for ULT to formally accept or reject.
- 3.4.8 Given the additional level of expenditure on the estate, it is proposed that the Terms of Reference for Finance Committee are reviewed to ensure that sufficient weighting is given to the capital programme.
- 3.4.9 Draft Terms of Reference are provided in Appendix D.
- 3.4.10 The paper approved by Finance Committee in November 2017 sets out the process by which Full Business Cases are to be developed. A template for Full Business Cases is provided in Appendix C.

3.5. Programme delivery

- 3.5.1. It is proposed that the Capital Strategy Oversight Group is disbanded and the responsibility for assessing projects at Gate 0 is split between ULT (with Corporate Portfolio Board as a proxy) for major projects, and the Physical Environment Board for minor works.
- 3.5.2. It is recognised that most major projects arise from a strategic need and invariably there will be impacts and considerations relating to the project, which sit outside the scope of ECS. There will be Project Boards for each major project, which addresses operational, technical, HR and other factors. The construction project would be seen as a workstream within this overall Project and will draw heavily on the activities of the other workstreams. The expectation is that the outputs from these workstreams would be used to form any design brief and as such is a critical part of the successful delivery of the capital programme. The project would also instigate any changes that may be required to operate, and gain maximum value from, the completed building project.
- 3.5.3. A sample structure for a Project is represented in the diagram below. Not all Projects will require all of these workstreams. The Project Sponsor and Project Manager would be expected to establish the requirements at Project inception.



- 3.5.4. The Project Sponsor would typically be responsible for the CPMO project. They would not automatically be expected to attend meetings for the construction workstream (although they can if they wish) but would be required to nominate a Senior User who would represent the interests of the Project Sponsor at meetings of the construction workstream.
- 3.5.5. Responsibility for the delivery of the construction workstream will reside with the Physical Environment Board which is best placed to successfully oversee delivery of major projects.

3.5.6. The Physical Environment Board will report to ULT, with a starred paper sent to Corporate Portfolio Board for information. The Physical Environment Board will have the following remit:-

- Co-ordinate all individual projects and delivery teams, filtering progress and reports through to the ULT, inclusive of risks and challenges;
- Set standards for design;
- Manage resources and overall programme delivery.

3.5.7. The Group will sit monthly and be chaired by the Registrar and members will include:-

- Director of Estates and Campus Services
- Director of Finance
- 1 x Head of College (on one year rotation)
- Director of Operations from each College
- President of the Students Union

The Director of Projects and Planning, and Director of Asset Management and Compliance, will be in attendance at meetings to deliver programme updates.

### 3.6. Programme Reporting – Project Management Office (PMO)

3.6.1. Our approach to programme management is to control the University's projects and programmes in line with its strategic objectives to encourage efficient delivery. The goal is to balance change initiatives as the business operates 'as-usual' while optimising return on investment.

3.6.2. The method of reporting status of the 'approved' capital programme to the Physical Estate Programme Board (PEB) will be via a suite of bespoke "PMO" tools that provide the PEB with a robust, consistent and efficient method of capturing and reporting project information throughout the delivery of the University's capital development programme. This will be produced in 'real time', aimed to inform both strategic and operational decision making based on accurate information.

3.6.3. The PMO will be controlled by the Projects and Planning Department within ECS.

3.6.4. Whilst the PMO has been developed to assist with the management of estates projects, synergy with the requirements of the Corporate Portfolio Management Office should be further explored, with the possibility of rolling out the system beyond ECS. As there is a clear link between the reporting requirements of PEB and CPMO, a system that suits the needs of each team would be preferable.

3.6.5. In summary, the PMO's primary benefits will be;

- A PMO that has the flexibility to support a programme at strategic and delivery level
- Real time data more accessible to wider stakeholders
- Standardised templates across all functions, which offer efficiencies in how projects and information is shared and managed
- Improve visibility of portfolio (programme) performance (time, cost, quality, risk)
- Consistent approach to reporting, creating transparency across projects in a common language

- Clarity and confidence in the data presented on KPIs (e.g. expenditure (cost), programme, safety, quality, resources)
- Identification and early mitigation of risks and issues
- Clear lines of governance, highlighting of key decisions ensuring timely responses
- Efficiency in producing key project updates, minimising duplication of reports.

#### **4. Approvals requested**

- 4.1. Corporate Portfolio Board is requested to endorse the processes articulated in this paper and recommend to ULT that these processes are implemented to govern estates projects and programmes;
- 4.2. Also to recommend that further collaboration between ECS, the CPMO and the Planning Office should be undertaken to establish consistent processes and systems wherever possible to ensure a joined-up approach across the University in relation to projects and programme planning and delivery

## Appendix A – Strategic Business Case template

<b>STRATEGIC BUSINESS CASE</b>	
Project Title	
College/Department	
Executive / Sponsor	
Person completing form (name and contact details)	
Summary of the Project, including problem or opportunity this will address	<i>Include high level criteria that the project is aimed at meeting:- Research improvement Teaching Improvement Student satisfaction Compliance</i>
Summary of impact of not undertaking this project	
How will the project aid the delivery of the University Strategic Plan?	<i>Also include links to the Discovering Strategies, Enabling Strategies and College/Divisional Plans</i>
What benefits/impact will the project bring to the university?	<i>e.g. Financial / Reputational / Aid recruitment / H&amp;S / Social Impact / Safety/Quality/Innovation/Engagement/Sustainability and Security</i>
Can the benefits / impact be quantified at this stage? If so, please provide information to support the case	<i>Benefits should clearly highlight link to University Strategy</i>
How visible / high profile will the project be?	<i>Will this attract attention from outside the institution? Will it enhance UoL's reputation?</i>
Cost estimate (+ / - 40%)	<i>No detailed costs are required at this stage, however a rough estimate will enable ULT to assess the likely benefits against the possible budget</i>

Appendix B – Outline Business Case template

<b>OUTLINE PROJECT PROPOSAL (Gateway 0)</b>	
Project Title	
Proposer (Dept. / College / PRU / PRO)	
Executive / Sponsor	
Person completing form (name and contact details)	
Summary of the Problem / Opportunity the project will address	
Summary of impact of not undertaking this project	
Has the proposed project been approved by ULT?	
How will the project aid the delivery of the University Strategic Plan?	<i>Link to discovery strategies</i>
Delivery Timescales	<i>Where known, please identify gateway dates GW0/1/2, these maybe estimated at this point</i>
Known costs associated with delivery	
Proposed 'Not to Exceed' budget	<i>This is the figure against which ULT/Finance Committee/Council will be asked to approve or reject a project proposal</i>
What benefits/impact will the project bring to the university?	<i>e.g. Financial / Reputational / RoI</i>
How visible / high profile will the project be?	<i>Will this attract attention from outside the institution?</i>
How resource intensive will the project be to deliver?	<i>Estimate the level of resources required to deliver the project</i>

## **Appendix C – Full Business Case Template**

### **1. Executive Summary**

### **2. Strategic Case**

In this section, detail the background to the project and why it is needed. This builds on the Strategic Business Case provided at the outset of the project. The Strategic Case should include:

- Description of the problem or opportunity the proposed project will address.
- Contextual analysis, including internal and external influences
- Benefits of the project, using quantifiable measures where possible
- Support for the project from stakeholders
- Likely risks and impacts of the proposed scheme
- Any identifiable interdependencies, e.g. with other programmes or projects
- Any constraints

### **3. Options Appraisal**

In this section, provide an appraisal of each available option including the recommended approach. You should always include the “do nothing” option in your analysis. Each option should include an appraisal of how it does / doesn’t address the problem/opportunity identified in the strategic case. Typically the analysis will include a ballpark idea of costs, risks, and benefits. However it is understood that identifying ballpark costs for major projects may require expenditure on design fees and so it is acceptable to not provide an estimate for solutions that will not deliver the benefits outlined in the Strategic Case or which are impractical for other reasons.

This section should also include a justification for the preferred option.

### **4. Financial Business Case**

In this section, as appropriate, outline a financial and commercial analysis of the preferred option, including expenditure, investment appraisal and details of funding streams. It is expected that all appropriate Professional Services will be involved in assisting with the development of the Financial Business Case. This will typically include, but is not limited to, a Management Accountant or other Finance colleagues, Estates and Campus Services, ITS.

The Financial Business Case should set out:

- Affordability
- Cost/benefit calculation
- Funding route
- Income and expenditure analysis

- Net present value
- Impact on capital and revenue budgets
- Lifecycle costs
- Cost of progressing the project to the next stage

Please note that the investment appraisal template used by Finance should be supplied alongside this Business Case.

## **5. Stakeholder impact**

This should consider any impact on stakeholders, including staff, students and visitors. Consideration should be given to the following:

- Change management strategy
- Communications
- Accessibility
- HR implications (if any)
- Working environment

## **6. Management**

In conjunction with Estates and Campus Services, the Management section should identify the deliverability of the proposed project, with consideration given to:

- Project team including project management, internal and external resource, e.g. consultants
- Governance including Project Sponsor, Senior User(s), collaborators
- Timescales
- Dependencies, eg other teams or services impacted by the project
- Logistics, e.g. site access
- Procurement strategy
- Change management process
- Contingency plans

## **7. Risks**

A summary of the major risks associated with delivery of the preferred option, and their impact on delivery of the business case. The risks articulated in this section should relate to the project delivery.



The risks and impacts included in the Strategic Business Case should relate to the strategic initiative that the capital project supports.

## Appendix D – Finance and Estates Committee Proposed Terms of Reference

### UNIVERSITY OF LEICESTER

## FINANCE AND PHYSICAL ENVIRONMENT COMMITTEE Terms of Reference and Membership 2017-18

### Role

To provide oversight of and advice on matters relating to the financial position of the University.

To provide oversight of and advice on matters relating to the management of estates issues across the entire academic and student accommodation estate.

### Responsibilities

1. Recommend to the Council approval of the Annual University Budget and medium term Financial Forecasts, (including allocations to Corporate Services, the Library, the Colleges, the Capital Programme, and the Students' Union) in order to achieve the objectives of the University's Strategic Plan.
2. To monitor the University's financial key performance indicators and performance against the Annual Budget, (including the investment programme for capital and infrastructure) and to approve variations to that of over £1 million and up to £5 million. Above £5 million variations are to be considered and recommended to the Council for approval.
3. To receive the annual accounts of the University and recommend their approval to the Council.
4. On behalf of the Council to investigate aspects of the financial situation which require further analysis or action.
5. To approve and monitor the University's treasury management policy and activities including strategy for and performance of endowed funds and investments. (*DELEGATE TO INVESTMENTS COMMITTEE*)
6. To advise on borrowing policy, and to consider and approve proposals for borrowing and capital financing structures and related external funding arrangements, and the details of their terms, reporting as necessary to the Council.
7. To oversee the University's arrangements for tax, purchasing, TRAC, subsidiary companies and financial relationships with associated bodies. To approve the formation of spin-out and subsidiary companies.
8. To determine and oversee the University's policies for the University's own pension schemes (PAS and the FriendsLife Stakeholder) and to determine University policy towards the national pensions schemes that the University participates in (USS and the NHS Pension Scheme). To approve changes to pension arrangements which do not impact on the overall terms of conditions of the employment of staff. To authorise the Director of Finance to act on behalf of the University, as employer, at meetings of the PAS Trustees.

9. To oversee significant aspects of estate developments in the delivery of the capital programme, to monitor capital disposals and receive reports in respect of the condition of the estate.
10. To receive and consider relevant extracts of the University risk registers.
11. To determine the University's Financial Regulations. To approve substantive changes and receive reports of changes made under the scheme of delegation.
12. To monitor performance of the University's commercial activities and consider proposals to establish new commercial ventures. *(For Spin Out proposals and monitoring DELEGATE TO LEICESTER INNOVATION ADVISORY BOARD)*
13. Maintain an overview of the financial performance and sustainability of the Students' Union.
14. To consider, record and address the potential equal opportunity impacts of decisions made by the Committee (in accordance with the 'due regard' provisions of the Equality Act 2010).
15. To ensure appropriate governance and management of estates issues, including asset management, capital projects, maintenance and repair, facilities management and energy and environmental issues relating to the estate.
16. To provide oversight and institutional strategic alignment to the development and ongoing review of the University's Physical Environment Strategy and Sustainability Strategy and approve any amendments or new strategies prior to submission to Council for approval.
17. To monitor progress of Carbon Reduction against agreed targets.
18. To consider and approve capital works programmes.

## **Reports to the Council**

### **Constitution and Membership 2017-18**

- a. The Treasurer (Chair)
- b. The Chair of Council
- c. The Provost
- d. Registrar and Chief Operating Officer
- e. The Director of Finance
- f. The President of the Students' Union
- g. Three lay members of Council, appointed by the Nominations Committee
- h. One member of Senate, appointed by the Senate

### **Duration of appointment**

Members appointed under a. to f. are ex-officio.

Members appointed under g. and h. shall serve for three years, renewable, but maximum length of service is normally six years.

**Normally in attendance at meetings**

Deputy Directors of Finance  
Director of Estates & Campus Services

**Secretariat**

Governance Office

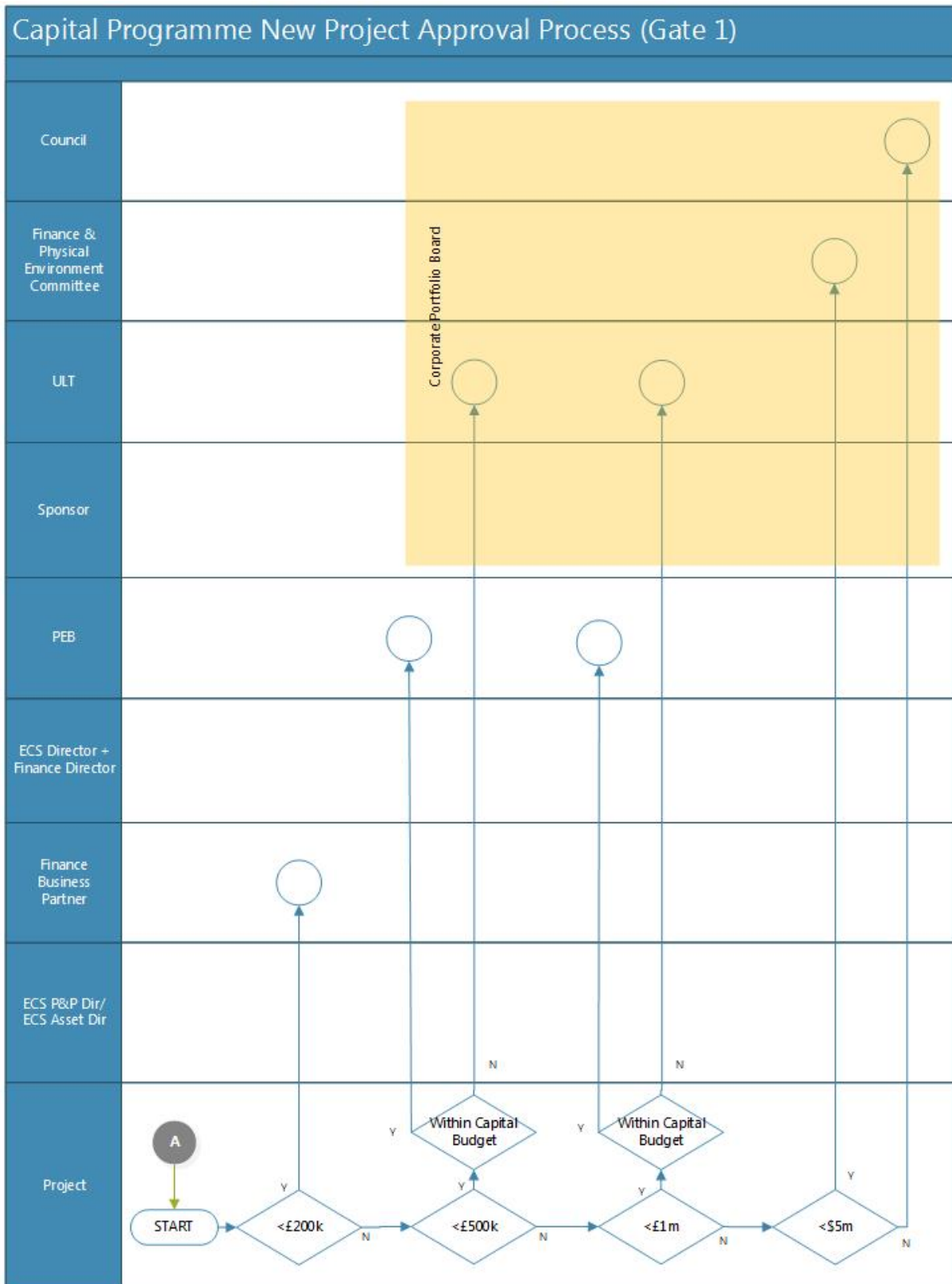
**Frequency of Meetings**

The Committee will normally meet five times in each academic year

**Quorum**

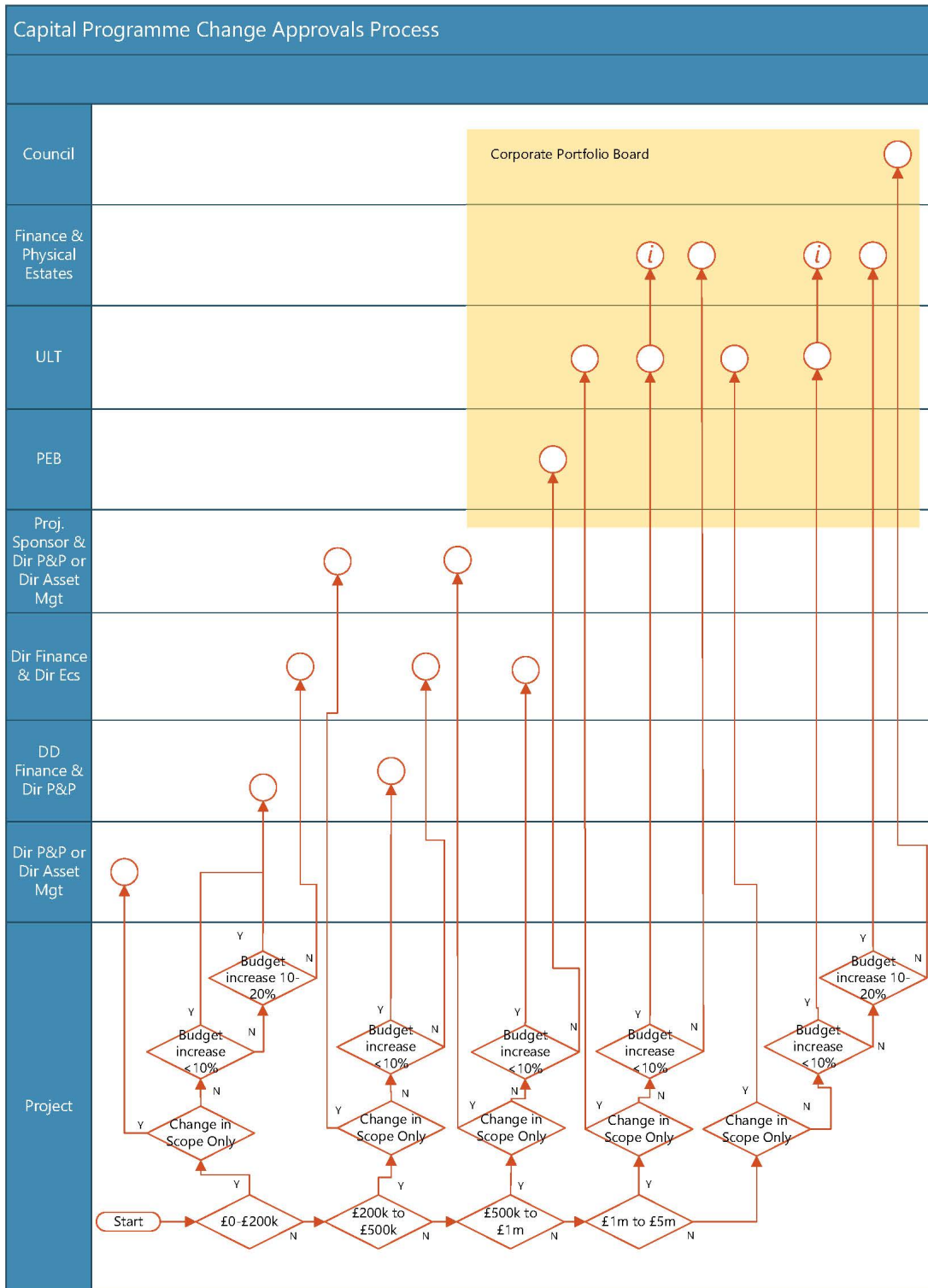
4 members including one lay member

Appendix E – Diagram to show financial approvals of new Estates projects



NB. Approval at any level requires approval or approval to proceed at all lower levels

Appendix F – Diagram showing change control process



## PMO Operation

### **3. Contingency Management Overview**

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The capital works programme should have a consistent approach to dealing with uncertainty and cost risk for all projects in the programme. It is important that adequate contingency is provided for each project to deliver the required scope. It is equally important that contingency that is not likely to be needed is released at the earliest stage to help provide funds for other vital projects.

This section contains a paper that explains why uncertainty arises and a proposed methodology for identifying and managing the contingencies needed on each project. The paper describes the preferred solution following a workshop on 10th May 2018 and a series of discussions to agree the optimum approach to contingency for the capital programme. The approach can, of course, be used on any project, not just those in the capital programme.

University of Leicester  
**Programme Management Office**  
Contingency Management Report

PM001

Issue 05 | 18 September 2018



This report takes into account the particular instructions and requirements of our client.

It is not intended for and should not be relied upon by any third party and no responsibility is undertaken to any third party.

Job number 260652-00

**Ove Arup & Partners Ltd**

The Arup Campus  
Blythe Gate  
Blythe Valley Park  
Solihull B90 8AE  
United Kingdom  
[www.arup.com](http://www.arup.com)

**ARUP**



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# 1 Executive Summary

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It is important that project contingency is applied and managed in a consistent way across all projects in the University of Leicester capital works programme. It is also advisable to apply the same methodology to minor works projects as well as to major projects.

This document describes the methodology for applying and managing project contingency following a workshop between Arup and members of the University's Estates & Campus Services and Finance leadership teams held on 10<sup>th</sup> May 2018 and a series of discussions. Various ideas and options were considered at the workshop and the following methodology described provides the best combination of management control and ease of application.

This document outlines:

- A fixed policy for dealing with cost uncertainty and contingency management so that there is consistency of how these issues are handled across all projects. The aim is to improve alignment between scope and budget throughout a project's development and construction cycle.
- Proper management of the contingency through the project's lifecycle, together with contingency release (back to a central pot) at key stages, notably at the point where a construction contract is signed and at construction practical completion.
- Fixing the scope and budget to provide an 80% certainty that the agreed initial scope can be delivered within the "not to exceed" budget.

## 2 Introduction

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All construction projects have a degree of uncertainty about the final out-turn cost until they are completed. The level of accuracy with which the final cost can be forecast increases as the end of the project approaches but some uncertainty always remains till the final accounts are agreed with the contractor(s) and suppliers.

The purpose of this paper is to explain the background to uncertainty and a proposal for dealing with the uncertainty whilst responding to the University's approvals processes. Most large organisations have a policy for dealing with uncertainty and contingency applied to all capital projects, and this approach is assumed for the University.

## 3 Gated Process

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The University is implementing a three Gate approval process (refer to Gated Process report, PM003). Each Gate represents a go / no-go decision point where the project is not allowed to continue without appropriate sanction. The Gates are at the key decision points:

- **Gate 0** Before start of initial investigation, typically RIBA stage 0
- **Gate 1** Before start of main design work. This is the point when the project budget is set.
- **Gate 2** Before a construction contract is signed.

At each Gate the proposed project is reviewed by appropriate authorities within the University and approval / sanction to move to the next stage is formally given.

The methodology for dealing with contingency discussed in this paper might need to be adjusted to suit the final approvals process that the University decides to adopt.

## 4 Causes of Estimating Uncertainty

The following is a list of key items that are typically undefined at the start of a project and fully known by the time the contractor hands the building over. It is not an exhaustive list and each project will have its own particular issues. Clearly the levels of uncertainty reduce over time as each of these items is understood, defined and agreed:

<b>Scope / Users</b>	<ul style="list-style-type: none"> <li>• Size / space / adjacencies</li> <li>• Facilities to be provided (room types, population etc)</li> <li>• Heat / cool / light / ventilation requirements</li> <li>• Key adjacencies</li> </ul>
<b>Fit Out</b>	<ul style="list-style-type: none"> <li>• General FF&amp;E</li> <li>• IT / Comms</li> <li>• Specialist lighting / audio visual</li> <li>• Lab / specialist equipment</li> <li>• 3rd parties eg coffee / shop</li> </ul>
<b>Site</b>	<ul style="list-style-type: none"> <li>• Survey data</li> <li>• Ground conditions</li> <li>• Physical / usage constraints</li> <li>• Existing buildings – hidden problems</li> <li>• Utilities availability / capacity</li> <li>• Environmental constraints / issues</li> <li>• Is the site adequate? Does another site need to be purchased?</li> </ul>
<b>Construction</b>	<ul style="list-style-type: none"> <li>• Temporary works</li> <li>• Access / noise constraints</li> <li>• Traffic / pedestrian control</li> <li>• Market conditions</li> </ul>
<b>Risks</b>	<ul style="list-style-type: none"> <li>• Identified risks with probable cost ranges</li> <li>• Unidentified or unknown risks.</li> <li>• Very low likelihood risks that are usually ignored.</li> </ul>

Table 1: Typical items which can cause estimating uncertainty

## 4.1 Cost Uncertainty

The following figures show how cost uncertainty over time can be viewed diagrammatically.

Figure 1 shows how the range of uncertainty can be viewed as a funnel, with a wide range at the start and narrowing as the project approaches completion.

Figure 2 shows how contingencies for risk and uncertainty should be added to the base estimates at any time. This figure is based on American Public Authority procedures, modified to suit the University Gateways.

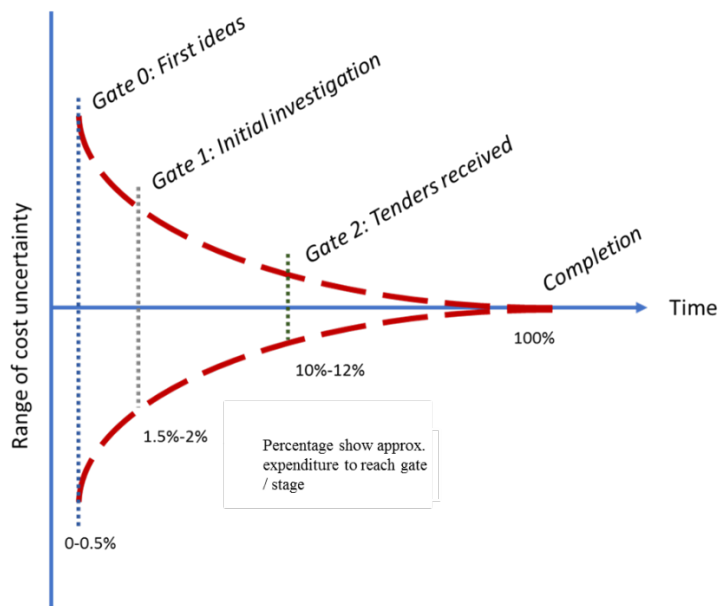


Figure 1: Diagram indicating how accuracy of cost estimation improves through the project lifecycle.

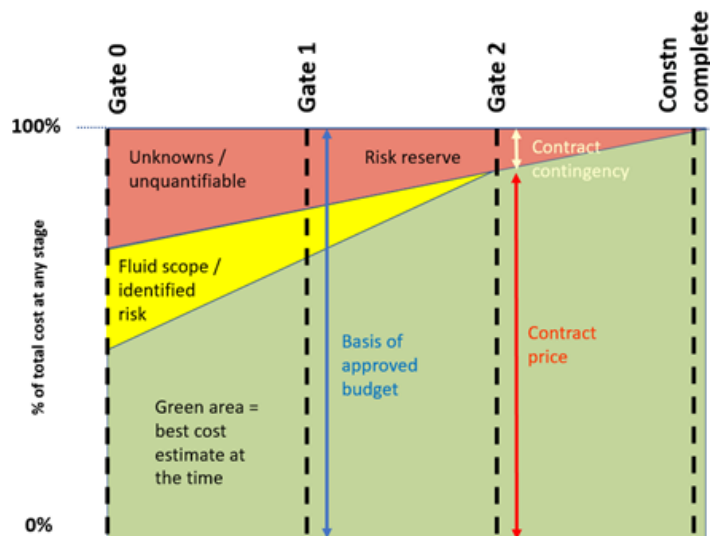


Figure 2: Diagram indicating how cost uncertainty is allowed for by other organisations. (Note that the recommended UoL Stage Gates have been added to this chart)

## 5 Options for Calculating Contingency Required

There are three basic methods for calculating the amount of contingency needed to cover cost uncertainty through the life of a project. The table below provides more details and compares the outputs obtained from each.

	Description	Details	Notes
1	Fixed percentage of estimate <i>(not adopted)</i>	<ul style="list-style-type: none"> <li>Traditional method</li> <li>Apply percentage to best current estimate, typically 10%</li> </ul>	<ul style="list-style-type: none"> <li>Doesn't work well with unusual risks</li> <li>Easy to do</li> <li>In-built allowance for unforeseen risks and cost estimate uncertainty.</li> </ul>
2	Risk Register simple calculation <i>(chosen method)</i>	<ul style="list-style-type: none"> <li>Traditional method</li> <li>Sum all risks using risk cost estimate x risk % probability.</li> </ul>	<ul style="list-style-type: none"> <li>Easy to do</li> <li>All risks assumed to happen but cost of each is reduced to reflect % probability of occurrence.</li> <li>Makes no allowance for unforeseen risk.</li> <li>Makes no allowance for cost estimate uncertainty.</li> </ul>
3	Quantitative Risk Assessment <i>(not adopted)</i>	<ul style="list-style-type: none"> <li>Widely used over the past 15 years.</li> <li>Uses Monte Carlo simulation to produce a project cost probability curve.</li> </ul>	<ul style="list-style-type: none"> <li>Requires specialist excel based software.</li> <li>Not all risks are included in most iterations – risks are modelled as occurring or not occurring based on the % probability.</li> <li>Incorporates allowance for cost estimate uncertainty</li> <li>Makes no allowance for unforeseen risks</li> <li>Scientific and accurate for identified risks.</li> </ul>

Table 2 : Options for calculating contingency

For any project the methods can be applied on their own or in combination. The last two options can only be used once there is sufficient project definition to be able to prepare a reasonable cost estimate. Therefore it is normal to use the first option during the early stages up to RIBA stage 2 and to adopt one of the last two during the later stages from RIBA stage 3 onwards.

The University has decided to adopt the following approach to dealing with cost uncertainty:

- Standard project contingencies (based on a percentage of the current estimate) are applied in the initial stages that depend on the size, complexity and type of the project.
- Once the project definition has reached an appropriate stage, typically RIBA Stage 3, contingencies are to be based on the application of Option 2 described above.
- Project budgets to be based on P80 estimates (ie the price which has an 80% chance of delivering the agreed scope, allowing for the estimating and risk uncertainties). This is the level used in the assessment of standard contingency percentages shown in section 6 below.
- Individual project budgets to be reassessed at key stages and surplus budget to be released to support other projects in the programme.

### General notes:

- Cost estimate uncertainty – normal variations in cost for items that are part of the project eg windows with possible cost range £1500-3000
- Risk items – problems that add time or cost to the project but which might or might not happen. If a risk item occurs then the full cost of that risk will apply. It is highly unlikely that all identified risks would actually occur.

## 6 Levels of Contingency to be Applied

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The range of uncertainty that applies to any individual project will depend on a number of factors such as:

- Is it new build or refurbishment? (refurb projects are generally considered to have more risks associated with them)
- Its position on the spectrum of simple projects with few dependencies through to very complex project with many interacting issues / requirements.
- Is there good benchmark cost data available or is it an unusual or a very bespoke project?
- How well the users can define their requirements at the time the estimate is prepared or the budget is set.

These different attributes have been allowed for in the proposals for allocating budgets at Gate 1 described below. By Gate 2 these attributes will have been incorporated into the project designs so the contingency calculated by the project team (option 2 in section 5) will supersede these allowances.

### At Gate 0

This is a review at the earliest time to confirm that it is worth spending effort to prepare an initial investigation. The best estimate available (usually an early guess) should be increased by 30-75% to set an upper bound for the possible final cost. (UoL Estates & Campus Services recommends 40% as outlined within the “Estates and Campus Services Project and Programme Governance” paper; dated 23 May 2018).

The added percentage is to be decided by the PM / Estates & Campus Services Leadership based on the project size and complexity.

It is not intended that the Gate 0 cost should be used in any way as a basis for budget approval; it is simply a figure to be used against the question “at this price does this project make sense?”

### At Gate 1

The following contingences are applied to the cost estimate developed in the Initial Investigation Stage. They should generally be applied as standard but may need to be modified if particularly significant risks are identified during the Initial Investigation.

Approval at Gate 1 will be given by the highest level of authority required by the University’s standing rules. The requested budget should be based on the best estimate available plus the contingency percentage taken from the table below.



If the approving authority decides to set a budget below the P80 price then the scope should be reduced accordingly to ensure that the relevant contingency percentage is maintained with the lower budget.

This budget becomes the “not to exceed price” and requires approval from the original approving body before any actions or decisions are taken that could break the limit.

In the table below P80 represents 80% certainty that final cost will be less than this.

Gate 1 Approval	Simple Project	Medium Project	Complex Project
<b>New Build Projects</b>			
Extreme range, estimate +	-5% to +20%	-5% to +25%	-10% to +35%
Project Contingency (P80)	10%	12.75%	17.25%
<b>Refurbishment Projects</b>			
Extreme range, estimate +	-10%to +25%	-10% to +30%	-15% to +50%
Project Contingency (P80)	12%	14.5%	24.5%

Table 3 : Gate 1 contingencies (80% certainty)

For projects that comprise of a mix of refurbishment and new build the percentages should be applied proportionally.

Using P80 as the project contingency basis means that 20% of projects are expected to exceed their budgets. This should be offset by surplus contingency released from projects that are delivered under budget. A Monte Carlo simulation has been done using the current University project list to confirm this.

## At Gate 2

At Gate 2 it is expected that final cost estimates will be based on Contractor tenders received and (for two stage contracts) professional QS estimates based on final design information.

At this gate a detailed cost report should be proved as part of the review documentation. The final contingency applied should be based on a detailed risk and uncertainty analysis as described in option two of section 5 above.

Gate 2 approval should be given by the Delegated Authority provided that the Gate 2 estimate plus the contingency does not exceed the upper limit approved by the relevant approving committee at Gate 1.

## 7 Defining Project Complexity

The level of contingency depends on the complexity of the project, divided into three categories as shown in the chart below and defined as follows. The project attributes should be indicated at the Initial Investigation Stage and agreed as part of the development of the Initial Investigation.

<b>Project Attributes</b>	<b>Simple</b>
	<ul style="list-style-type: none"> <li>• Simple design complexity</li> <li>• Limited stakeholder management required</li> <li>• Simple M&amp;E / servicing requirements</li> <li>• Simple FF&amp;E install</li> <li>• Low risks from survey data (e.g. no asbestos, no contaminated land, no protected species etc.)</li> <li>• No / limited site constraints and operational considerations</li> </ul>
	<b>Medium</b>
	<ul style="list-style-type: none"> <li>• Standard design</li> <li>• Many stakeholders to engage</li> <li>• Standard M&amp;E / servicing requirements</li> <li>• Simple / partly complex FF&amp;E requirements</li> <li>• Medium risks from survey data (e.g. asbestos, contaminated land, protected species etc.)</li> <li>• Some site constraints and operational considerations</li> </ul>
	<b>Complex</b>
	<ul style="list-style-type: none"> <li>• Unique, complex design</li> <li>• Works within existing buildings</li> <li>• Complex stakeholder management</li> <li>• Specialist FF&amp;E (i.e. lab apparatus)</li> <li>• Complex M&amp;E / servicing requirements</li> <li>• High risks from survey data (e.g. asbestos, contaminated land, protected species etc.)</li> <li>• Major site constraints and operational considerations</li> </ul>

Table 4: Project Complexity

## 8 Management of Contingencies

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During the design and construction stages the project contingences should be managed by the Project Manager and Project Board in the normal way.

During design stage the contingency can be used for minor adjustments to the project scope as it develops but should not be used for significant changes to user requirements above the scope approved at Gate 1. During the construction stage the contingency should not be used for scope change / enhancement.

Each project should release spare contingency back to the University's finance team as the levels of price uncertainty decrease. It is recommended that contingency release is made at the following milestones:

- At Gate 2: any spare contingency above the detailed cost plan and contingency estimate should be released.
- At mid-point of construction, say 60% through the construction schedule: The final out turn cost estimate at the time should be reviewed and compared to the risk register current at that time. If significant contingencies remain and they are not likely to be needed then an appropriate proportion should be released.
- At practical completion: Only contingency needed to deal with outstanding items not yet agreed should be retained. All other contingency should be released.

Early release of contingency enables the University to use the money to proceed with other projects that would otherwise be delayed or abandoned.

Refer to the Risk and Contingency User Guide (PM007) for further details.

## 9 How this will work in Practice

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- Each project proceeds to approval at Gate 1 as described in the governance proposals.
- Budget approval is given with a “not to exceed” price (Initial Investigation estimate plus P80 contingency as shown in section 6 above). After Gate 1, the “not to exceed” price is an absolute figure and cannot change through the project’s life without approval from the highest level required.
- At Gate 2 the final estimate, based on tender design and contractor’s pricing, will be used to set the final Gate 2 upper limit budget. Minimum construction stage project contingencies obtained from the risk register should be retained. All other contingency should be released for use on other projects.  
If the Gate 2 final estimate is greater than the approved budget then changes to the scope might be needed to bring the project back within budget. If this happens then any change of scope must follow the University of Leicester change control procedures and be approved by the appropriate levels of authority for such a change. Simply reducing the budget through scope reduction might detrimentally affect the benefits required by the business case.
- Remaining project contingency should be reviewed at 60% through the construction schedule and at practical completion. Any surplus contingency that is not likely to be required shall be released.

## PMO Operation

### 4. Risk Management Overview

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During the on boarding stage of the PMO development process, Arup undertook a gap analysis of existing project management processes at UoL. The gap analysis included a review of existing risk management processes applied to projects. It was found that although all major projects had proper risk management in place, there was no standardised risk register template in use and no consistent approach across all projects. Since that review we are aware that a standardised risk register template has been produced for use on all projects, and a written set of procedures to ensure consistency required development.

The PMO will report on any key project risks and the programme level risks caused by interaction between projects. Therefore Arup has prepared a risk management approach for both managing project risks and recording project risk information in a way that will facilitate capturing of key risks at programme level. The proposed risk management approach is contained in this section and it aligns with the proposed contingency management approach contained in section 3.

University of Leicester  
**Programme Management Office**  
Risk Management

PM002

Issue 02 | 2 August 2018



This report takes into account the particular instructions and requirements of our client.

It is not intended for and should not be relied upon by any third party and no responsibility is undertaken to any third party.

Job number 260652-00

**Ove Arup & Partners Ltd**  
The Arup Campus  
Blythe Gate  
Blythe Valley Park  
Solihull B90 8AE  
United Kingdom  
[www.arup.com](http://www.arup.com)

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Risk Register

### Appendix B

RASI Matrix



## Introduction

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This paper outlines the approach for risk management across the Programme Management Office function.

A key assumption made is that project management professionals employed to manage construction projects of all sizes at the University of Leicester are familiar with risk registers and the approach to risk management typically used on construction projects. Consequently this paper does not include the background and typical objectives of risk management which can be found in a number of project management textbooks, industry best practice guidance, the Association of Project Management (APM) and Management of Risk (MoR).

At a project level, the primary purpose of a project risk register is to assist with the successful delivery of each individual project. The risk ranges applied and how risks are scored needs to be tailored for each individual project.

At a Programme level, there is a need for elements of risk management to be dealt with consistently across all projects to enable the PMO to filter out the most significant project risks that might affect the overall programme.

Therefore this document has the following sections to assist with the management of risk across the PMO:

Section 1: Project Risk Register Template

Identification of the additional columns to be incorporated into the UoL project risk register to support the PMO in capturing and filtering risks at a programme level.

Section 2: Project Risk Management

Outline of a consistent approach to be adopted by each Project Manager / Project Board in the management of risks on their individual projects.

Section 3: Programme Level Risks

An explanation of how significant programme level risks are identified and included in the programme dashboard.

# 1 Project Risk Register Template

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To facilitate the capture of key programme risks, the standard UoL risk register template incorporates the following adaptation to support the PMO function:

- The probability (likelihood) column should use the same criteria for all projects.  
(Table 2 in the following section provides the set of criteria)
  
- Additional columns are to be added to the template in order to provide the following:
  - An estimate of likely cost impact if the risk occurs
  - An estimate of likely delays incurred if the risk occurs
  - Calculated contingency at Gate 2 based on expected monetary value

These columns are highlighted in yellow on the attached example risk register in Appendix A.

# 2 Project Risk Management

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The project risk register should be completed by the project team, and this activity is led by the project manager. A risk workshop should be held where risks are identified and an owner identified for each risk.

Project risk management remains entirely with the project manager and the Project Board through the life of the project. Any risks that might give rise to the authorised levels (time or cost) being exceeded, should be escalated to the higher Authority via the Project Board using standard UoL procedures. Any exceptions which need to be escalated must also be advised to the PMO, and actions / decisions being taken advised by the project manager

## 2.1 Risk Categories

The categories contained in Table 1 below are typically considered when building up the risk register.

<b>Risk Category</b>	<b>Description</b>
Strategic risks	Risks associated with the business strategy such as under-provision of facilities.
Commercial risks	Risks associated with the business finances such as funding, resources, budgets, etc.
External Factors	Risks associated with external factors outside the project's control such as market fluctuations, stakeholders, regulators, statutory bodies, etc.
Communications risks	Risks associated with inadequate communications with key stakeholders.
Planning risks	Risks associated with the grant of planning permission for the project.
Design risks	Risks in the design phase of the project, in particular the risk of the design failing to meet the brief or the customer requiring changes to the design.
Procurement risks	Risks during the procurement phase, including the procurement route where greater financial risk is placed to the University or to the contractor.
Construction risks	Risks during the construction phase, including those which may delay completion or increase construction costs.
Health and Safety risks	Risks associated with Health and Safety issues such as those that may cause accidents on site.
Fit-out risks	Risks associated with the fit-out stage of the project such as retained equipment failure.
Legal	Risks with a legal implication, such as non-conformances with CDM / HSE / building regulations. Can include claims made against the university / contractor / design consultants breeches in contract or additional works.

Table 1: Risk Categories

Once risks have been identified, their significance should be gauged in order to prioritise risk response and risk quantification effort. Each identified risk should be assessed in terms of its probability and impact.

## 2.2 Risk Probability Scores

Risk probability should be measured to show the likelihood of the risk becoming an issue and affecting the project cost or programme. Table 2 summarises the probability bandings to be used across the entire range of the Estates programme.

Probability of Occurrence		Score
Very Low: Occurrence is unlikely but possible.	(<5% likelihood)	1
Low: Occurrence is moderately likely.	(5% to 20% likelihood)	2
Medium: Occurrence is likely.	(20% to 50% likelihood)	3
High: Occurrence is very likely.	(50% to 75% likelihood)	4
Very High: Occurrence is reasonably certain.	(>75% likelihood)	5

Table 2: Risk Occurrence

Note: it is vital that the ranges shown in Table 2 are used for all projects in order to compare individual risks at programme level.

## 2.3 Risk Impact

The risk impact is measured by the severity of effect, based on the cost and time impacts of each risk.

The ranges in Table 3 below will define the cost and time impacts of each risk. The project manager / project team should agree the range for each level of impact to best suit their individual project. This information is not used at programme level, therefore Table 3 is likely to be more bespoke for each project.

Depending on the context of the project, the users / sponsor may have a different risk appetite for each measure (e.g. delivery on time for residences, value for money on bespoke research facilities). The project manager must assess the risk appetite to define the impact ranges on a project by project basis.

Effect	Severity of Effect	Score
<b>Low</b>	Negligible impact to the schedule, adds less than [.....] weeks. Impact unlikely to be noticed by key stakeholders. Adds less than £[.....].	1
<b>Moderate</b>	Small impact to schedule, adds [.....] weeks. Key stakeholders will be aware of impact. Adds £[.....] - £[.....].	2
<b>Medium</b>	Some impact to schedule, adds [.....] weeks. Key stakeholders will be aware of impact or will be impacted. Adds £[.....] – £[.....].	3
<b>High</b>	Impact on project schedule, adds [.....] weeks. Project is still viable, but key stakeholders will be impacted. Adds £[.....] - £[.....].	4
<b>Major</b>	Major impact on schedule, adds more than [.....] weeks. High impact on customers and stakeholders. In extreme cases, possibility of project cancellation. Adds more than £[.....].	5

Table 3: Example Risk Impact Scores, ranges to be defined by project manager

## 2.4 Expected Cost and Schedule Delay

The Project Manager and Quantity Surveyor must provide a most likely cost estimate and most likely schedule delay (number of weeks) if the risk were to materialise, populated in column H and I within the register (Figure 1). This is fundamental in calculating the contingency allowance at Gate 2 (before appointing the contractor) and allows for effective reporting of the largest risks at PMO level.

Ref	Causation	Risk Item	Probability	Cost	Ranking	Expected Most Likely Cost Impact (£'s)	Expected Programme Impact (weeks)	Gate 2 Contingency (Expected Monetary Value) (£'s)	Control Measures	Risk Response	Owner	Action Date	STATUS
1	Commercial	<b>Scope Creep</b> Users modify their expectations/requirements as the design progresses	3	3	9			£ -	Treat	Define user requirements and get them signed off at the start. Indicate what development flexibility is allowed for.			
2	Health and Safety	<b>Safety risk for campus users</b> Potential harm to campus users from construction activities	5	4	20			£ -	Treat	Proper site demarcation and fencing. Control management of deliveries. Regular liaisons with contractors safety management			
3	Planning	<b>Planning delays</b> Listed building could involve significant planning constraints	2	2	4		3	£ -	Treat	Early meetings between planners and design team to discuss options			
4	Construction	<b>Insufficient utility services</b> Problems with electricity/water/drainage capacity to the proposed site	2	3	6	£7,000.00		£ 875.00	Contingency	Early surveys to assess capacity available. Enhance site utilities if required			
5	Strategic	<b>Project is required earlier than is possible</b> Realistic delivery timescale exceeds the need	4	3	12			£ -	Contingency	Options study to look at temporary accommodation or phasing the work. May need to abandon the proposed project.			
6	Construction	<b>Unforeseen ground conditions</b> Ground conditions affect design details and require changes	3	4	15	£5,000.00	6	£ 1,750.00	Treat	Undertake proper desk study/site investigation before design. Allow contingency.			

Figure 1 Risk Register Extract

Further details on the contingency process can be found within the Risk and Contingency User Guide (ref. PM007) and the Contingency Strategy Report (ref. PM001).

## 2.5 Risk Score

The Risk Score for each risk is the product of the highest impact score (cost or schedule) and probability. The risk register template (excel spreadsheet) automatically calculates this score and applies the colour coding.

**Impact x Probability = Risk Score (minimum = 0, maximum = 25).**

The risk score will determine the risk RAG rating as defined in Table 4. The risks are prioritised according to their overall risk score, for risk response planning.

		Impact Score				
		1	2	3	4	5
Likelihood Score	1	1	2	3	4	5
	2	2	4	6	8	10
	3	3	6	9	12	15
	4	4	8	12	16	20
	5	5	10	15	20	25

Table 4: Risk Matrix

## 2.6 Risk Control Measures

It is necessary to determine and record a suitable control measure / action to address the risks within the risk register. Table 5 demonstrates a series of approaches which may be adopted.

Control Measures	Description
Tolerate	Decide to take no action to further mitigate the risk and absorb within existing contingency. This would be common where the impact is minimal and the costs to avoid or control it would be disproportionate. Monitor risk for any changes.
Contingency (Time or Cost)	Make further allowances in costs or timescale to cover the impact of the risk which cannot be covered with existing contingencies.
Treat	Put in place measures to reduce the likelihood of the risk occurring and / or the impact, should it occur.
Transfer / Escalate	Risk could be transferred to another party (through a contract, insurance or other means) or escalated from project to programme level (e.g. changes in business requirements, market conditions, interference between projects) if the other party is better placed to manage the risk.
Terminate	Change the project to eliminate the risk altogether. For example, if a very high risk cannot be treated or transferred sufficiently, then the project may not be viable in its current form.

Table 5: Risk Control Measures

## 2.7 Allocate a Risk Owner

The Project Manager should allocate a risk owner for each identified risk. The risk owners are responsible for ensuring that risk control measures / actions are implemented within agreed timescales, monitoring the impact and probability of that risk and reporting accordingly. The owner for each risk should be a specific person rather than a party (e.g. architects, contractor etc), and recorded within the risk register.

## 2.8 Monitoring and Review

Risk exposure should be monitored periodically to highlight progress of the risk control measures / actions, updates to probability / impact and newly identified risks. Risk exposure can change over time owing to:

- Implementation of risk response plans
- Emergence of new risks (e.g. associated with design development)
- Occurrence of risk events
- The passing of risk impact timeframes
- Changes to base cost estimates
- Instructed changes.

## 2.9 Minor Works Risk Reporting

The Minor Works projects are typically short in nature, finishing within a 1 – 4 month period. Stringently undertaking this risk management process for minor projects would be very time consuming, impacting on PM resources; however, it is still important to appreciate the risks involved.

The approach to minor projects is to develop pre-populated registers based on minor project categories. This development should be done by the minor works team to suit their typical range of projects. The categories currently identified are listed below, however may develop over time.

- Laboratory Refurbishments
- Decorating & Interiors
- Light Refurbishments

This would capture risks based on previous experience / lessons learnt on completed projects that can be brought forward to new projects. The risks within the pre-populated register will need to be altered / removed / assessed based on their relevance.

## 3 Significant Programme Level Risks

---

### 3.1 PMO Reporting

The PMO will produce a monthly dashboard that includes significant programme level risks.

These risks are:

- The top 10 project risks by cost impact.
- Any significant inter project risks where problems on one project can significantly impact another project. Note that obvious risks where one project depends on completion of another should be included in the second project's risks as normal.
- Site wide risks that are not attributable to any one project. For example, this could include site traffic being affected by major excavations on different projects at the same time.
- Other risks by exception. For example, schedule delays that could cause major problems such as residences not being completed ready for occupation.

Project Managers must issue their reviewed risk registers to the PMO each month. The PMO will then collate the key programme level risks as follows:

- Project risk costs will be calculated by multiplying risk probability percentage x most likely cost. The top ten risks by probable cost will be listed.
- Significant inter project risks and site wide risks will be identified by the PMO through the regular review meetings with individual project managers. The PMO officer will be able to build up an understanding of all the major projects over the course of the regular reviews with PMs and should be able to identify such potential risks.
- The PMO should keep a separate register of these inter project and site wide risks that uses the same risk register template.
- Other risks by exception should be chosen by the PMO officer using his / her discretion following monthly reviews with the PMs.



## 3.2 Risk Transfer and Delegation

Project Managers and Project Boards may consider that a particular project risk is best managed by someone outside the project team. This may apply to:

- Significant programme risks
- Risks affected by close adjacency of two projects, such as a shared access / compound.

In both these cases the risk lies with the project team unless a transfer (to PMO) or delegation (to another project) is formally agreed between the parties in writing. Transfer of risk to the PMO will be rarely accepted as the PMO is set up mainly as a reporting function for senior management. Delegation of risk to another project should happen where this makes sense to both parties such as management of a shared compound that is best handled by one or other of the projects.

Before a PM opens discussion with the PMO / other PM on the possibility of transfer / delegation, he or she should agree it in principle with his / her own project board chair first.

Where transfer or delegation occurs it should be recorded in a document that clearly states:

- What is the risk and possible impacts on each project
- Which party will take responsibility for managing the risk
- Any boundaries or constraints that would require further discussion / agreement during management of the risk.
- Signed by all the PM or PMO officer involved.

## 4 Roles and Responsibilities

The organisational structure and core membership / responsibility of risk management is highlighted within the table below. A RASI matrix (Appendix B) should be completed on each project to inform the project specific risk management plan.

Role	Risk Responsibility
University Committees	<ul style="list-style-type: none"> <li>Understand the nature of key programme and project risks and make decisions where necessary</li> </ul>
Programme Management Office	<ul style="list-style-type: none"> <li>Report programme risks</li> <li>Agree transferred risks which should be managed at programme level from projects</li> <li>Agree delegated project risks with the respective Project Manager</li> </ul>
Project Board	<ul style="list-style-type: none"> <li>Review top risks with the Project Manager at the Project Board meetings</li> <li>Agree mitigation actions / undertake decisions (where applicable) relating to risks</li> <li>Agree risks which should be escalated to higher authority level</li> <li>Agree risks which would best be managed at programme level.</li> </ul>
Project Manager	<ul style="list-style-type: none"> <li>Identify and assess risks</li> <li>Allocate risk owners to each risk</li> <li>Ensure that the Risk Register is updated with input from risk owners / discipline leads</li> <li>Validates risk assessments including ownership and actions including agreeing the cost and programme implications</li> <li>Ensures risk owners are managing their risks via the agreed risk response plan.</li> <li>Specifies the information which will be reported to the Project Board</li> <li>Escalates / delegates / transfers risks</li> <li>Reporting to the PMO on risks</li> </ul>
Discipline Leads / Risk Owners	<ul style="list-style-type: none"> <li>Identify and assess risks</li> <li>Take action to mitigate risks in line with the actions agreed with the Project Manager as recorded in the Risk Register</li> </ul>

Table 6: Roles and Responsibilities

## Appendix A

### Risk Register

# A1 Project Risk Register

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## **Appendix B**

### **RASI Matrix**

## B1 RASI Matrix

Risk Management Steps & Activities	ECS Office Leadership	Project Board (Inc. Sponsor, Users)	Project Manager	Quantity Surveyor	Discipline Leaders	Risk Owner	Programme Management Office
<b>Project Risk Plan</b>							
Agree risk management objectives and appetite	A	R	S	I	I	I	I
Agree risk management KPIs	A	R	S	I	I	I	I
Agree frequency of Project Board reviews	A	S	R	I	I	I	I
Define key RM roles and responsibilities	A	I	R	I	I	I	I
<b>Data Collection and Assessment</b>							
Hold Project Board Reviews	A	S	R	I	I	I	I
Hold discipline-specific workshops	A	I	S	S	R	I	I
Hold risk owner risk reviews	A	I	S	S	I	R	I
Assessment of cost risk	A	I	S	R	S	S	I
Assessment of schedule risk	A	R	R	I	I	I	I
<b>Report</b>							
Produce dashboard reports for Project Board and PMO	A	I	R	S	I	I	A
Produce monthly Risk Register Updates	A	I	R	S	I	I	I
Identify and agree escalation of risks	A	S	R	I	I	I	S
Maintenance of the risk management process	A	I	R	S	I	I	A
Maintenance of project risk register	A	I	R	S	I	I	I

R	Responsible – under takes the actions
A	Accountable – delegator / approver of actions
S	Support – supports responsible person for delivery of actions
I	Informed – notified of outcomes

**Project Risk Register - RIBA Stage [X]  
[Project Name]**

Ref	Causation	Risk Item	Probability	Cost	Programme	Ranking	Expected Most Likely Cost Impact £'s	Expected Programme Impact (weeks)	Gate 2 Contingency (Expected Monetary Value) £'s	Control Measures	Risk Response	Owner	Action Date	CLOSED
1	Commercial	<b>Scope Creep</b> Users modify their expectations/requirements as the design progresses	3	3	3	9			£ -	Treat	Define user requirements and get them signed off at the start. Indicate what development flexibility is allowed for.			
2	Health and Safety	<b>Safety risk for campus users</b> Potential harm to campus users from construction activities	5	4	3	20			£ -	Treat	Proper site demarcation and fencing. Control management of deliveries. Regular liaisons with contractors safety management			
3	Planning	<b>Planning delays</b> Listed building could involve significant planning constraints	2	2	2	4		3	£ -	Treat	Early meetings between planners and design team to discuss options			
4	Construction	<b>Insufficient utility services</b> Problems with electricity/water/drainage capacity to the proposed site	2	3	3	6	£7,000.00		£ 875.00	Contingency	Early surveys to assess capacity available. Enhance site utilities if required			
5	Strategic	<b>Project is required earlier than is possible</b> Realistic delivery timescale exceeds the need	4	3	1	12			£ -	Contingency	Options study to look at temporary accommodation or phasing the work. May need to abandon the proposed project.			
6	Construction	<b>Unforeseen ground conditions</b> Ground conditions affect design details and require changes	3	4	5	15	£5,000.00	6	£ 1,750.00	Treat	Undertake proper desk study/site investigation before design. Allow contingency.			
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**Total**    £    2,625.00

## PMO Operation

### 5. Measuring Success Overview

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Measuring performance is good practice for all types of service delivery. When applied to the Estates & Campus Services team across a series of projects it can help to highlight areas for improvement and what is working well. A discussion paper was produced and a workshop held by Arup to explore the possibilities of tracking potential KPIs on benefits / measures of success. When selecting measures for success, thought should be given to KPIs which can be influenced by Estates & Campus Services. Whilst it is good practice to measure service delivery performance by any department, it is important to understand that it takes real effort and resource to capture and record the relevant data. Simply adding it as another item for the project manager to do will not work. Therefore, if the university chooses to adopt such a measurement method we recommend that careful thought is given to which KPIs are adopted and that adequate resource is allowed for by the PMs, designers and contractors. A copy of the discussion paper is within this section.



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**Subject** University of Leicester, PMO – Measuring Success

**Date** 2 August 2018

**Job No/Ref** 260652-00

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## 1 Introduction

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Measuring performance is good practice for all types of service delivery. When applied to the Estates & Campus Services team across a series of projects it can help to highlight areas for improvement and what is working well. When choosing what to measure the following should be considered:

- A reasonably consistent form of measurement is needed for comparison across projects, ideally based on hard data.
- The chosen measurement needs to be applicable to a wide range of project types, otherwise comparison over time becomes difficult.
- Choose a small number of important elements to measure rather than trying to measure everything.
- Taking measurements through the course of a project is reasonably easy because there is a PM assigned. It becomes more difficult to collect and collate data when buildings are in use unless someone is clearly identified and given time to do this.

Items that do not meet these considerations can still be reviewed at the end of a project and form part of the lessons learned output.

**Subject** University of Leicester, PMO – Measuring Success

**Date** 2 August 2018

**Job No/Ref** 260652-00

## 2 Ideas for Consideration

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Arup has prepared the following list of items that could be used by University of Leicester Estates & Campus Services Department to measure performance over time. They are proposed as items for discussion; any, all or none of these can be chosen by the Estates & Campus Services department.

Topic Area	What is to be measured	How it will be measured
Scope Development	Was the final brief right, i.e. does the final product meet users' needs?	Questionnaire of users within the first 6 months of occupation. A set of standard questions needs to be developed.
	Were the right people involved in brief development.	Survey of key stakeholders at completion of the detailed brief.
Environmental / Sustainability	Were energy targets set at stage 1?	Yes or no
	Did the final design meet these targets?	Yes or no
	Does the finished building meet the usage targets?	Measure consumption over the first 1 or 2 years after occupation.
Value for Money	Delivery on time	Compare stage 1 targets with final occupation dates. Set acceptable variance levels, e.g. within 2 weeks of target for each year needed from start of concept design to occupation.
	Delivery on budget	Compare stage 1 targets with final out turn cost.
	User specification delivered	Based on User acceptance criteria developed at stage 1. Measure is "yes" or "no", but if "no" then some form of % achievement should be considered.
	£/m <sup>2</sup> versus benchmark.	Benchmark against appropriate industry data
Happy Users	Good handover process	Questionnaire of users within the first 6 months of occupation. A set of standard questions needs to be developed.
	Users like the space / functionality / aesthetics	Questionnaire of users within the first 6 months of occupation. A set of standard questions needs to be developed.

**Subject** University of Leicester, PMO – Measuring Success

**Date** 2 August 2018

**Job No/Ref** 260652-00

### 3 Lessons Learned Review

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It is good practice to hold a lessons learned review at the close of every project to help improve processes and eliminate common problems. The following is a suggested list for inclusion in lessons learned reviews by University of Leicester:

- Was the chosen procurement route OK?
- Any compliance or legal issues with finished building?
- Any business disruption issues?
- Any commissioning / training / O&M issues
- Were University of Leicester standard core specifications used?
- Any post completion modifications needed to meet business needs?
- Was a full governance audit trail maintained?
- Any communications or decision making issues?
- Any user issues during or after occupation?

### 4 Intangible Items

---

It is not possible to measure the following items in quantitative way, but may be useful to record in a qualitative way:

- Does the new facility help to attract high calibre staff?
- Does it help to improve research publication output?
- Does it lead to increased revenue?
- Does it have good aesthetics? (Note; partially covered by user questionnaire in Section 2).

## PMO Operation

### 6. Stakeholder Management Overview

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Stakeholder Engagement is important for a project to provide robust and effective consultation and communication to key stakeholders. It is essential to identify stakeholders, both internal and external, so a broad cross section of the community is represented.

A report was produced outlining the methodology of identification, assessment and engagement of stakeholders, with an accompanying pre-populated stakeholder mapping template and stakeholder responsibilities matrix.

University of Leicester  
**Programme Management Office**  
Stakeholder Engagement Strategy

PM005

Issue 01 | 2 August 2018



This report takes into account the particular instructions and requirements of our client.

It is not intended for and should not be relied upon by any third party and no responsibility is undertaken to any third party.

Job number 260652-00

**Ove Arup & Partners Ltd**

The Arup Campus  
Blythe Gate  
Blythe Valley Park  
Solihull B90 8AE  
United Kingdom  
[www.arup.com](http://www.arup.com)

**ARUP**

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## Appendices

### Appendix A

Stakeholder Mapping Templates

# 1 Introduction

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Stakeholder Engagement is important for a project to provide robust and effective consultation and communication to key stakeholders. It is essential to identify stakeholders, both internal and external, so a broad cross section of the community is represented.

# 2 Strategy Summary

---

The development of a stakeholder engagement strategy is proposed to follow key steps as below. This process should be completed by the Project Manager.

## Step 1 – Identification of Stakeholders

- Early identification of internal and external stakeholders
- Initial engagement with key stakeholders to inform design development

## Step 2 – Stakeholder Analysis and Plan

- Analysis of stakeholder influence and impact of change
- Develop stakeholder mapping
- Develop the consultation / engagement plan

## Step 3 – Engage

- Appropriate management of communications and engagement with key stakeholders
- Keeping key stakeholders informed
- Utilise events, workshops, press releases, emails, newsletters, websites etc to engage and inform key stakeholders

## Step 4 – Feedback

- Capture feedback to inform the programme and enable appropriate changes to be made
- Promote healthy discussion, full inclusion and ultimately supporting ‘buy-in’ from stakeholders
- Continuously improve the process of engagement capturing and incorporating lessons learnt
- Continued analysis of stakeholder influence and support to ensure changes are captured

## 3 Identification

---

The Project Manager and the Project Board should identify both internal and external stakeholders who will be impacted by the project. This process should be facilitated within a specific stakeholder management workshop. The use of mind maps and categorising stakeholder groups can aid the identification process. Examples of stakeholder groups can include the following, but is not an exclusive list.

### Internal

- University Committees
- Project Board
- Sponsor
- Users
- Engineering
- Operations / Maintenance
- Procurement
- Legal
- Human Resources
- Fire & Security
- Campus Services
- IT & Telephony
- Campus Wide (Staff, Students, Post Graduates)

### External

- MPs
- Councillors
- Local Residences
- Charities
- Town Planners
- Local Authorities



## 4 Stakeholder Analysis

Each stakeholder has the potential to affect the outcome of the project depending on their level on influence. Stakeholders with a higher influence will have a greater effect on steering the direction of the project than those with a lower influence.

The other factor to consider is the impact that the project will have on a stakeholder once completed. An example of stakeholders who will have a high impact are the staff members, academics and students.

It is worth mapping out the stakeholders' influence and impact as shown in Table 1, to ensure that groups who have low influence but impacted highly are not ignored and conversely those with high influence, but are not impacted do not negatively steer the project direction.

This exercise is meant to highlight where we need to focus our attention and time. Forms of stakeholder engagement will need to be tailored based on individual stakeholder requirements and the context of the engagement.

<b>Influence</b>	High	<ul style="list-style-type: none"> <li>Local Authorities</li> <li>MPs</li> </ul>	<ul style="list-style-type: none"> <li>Building Managers</li> <li>Space Planners</li> <li>Project Managers</li> </ul>	<ul style="list-style-type: none"> <li>Pro VC</li> <li>University Committees</li> <li>Heads of Colleges</li> </ul>
	Medium	<ul style="list-style-type: none"> <li>Project Team</li> </ul>	<ul style="list-style-type: none"> <li>Operations</li> <li>Maintenance</li> </ul>	<ul style="list-style-type: none"> <li>Staff / Academics</li> </ul>
	Low	<ul style="list-style-type: none"> <li>Charities</li> <li>Local Residents</li> <li>Community Groups</li> </ul>	<ul style="list-style-type: none"> <li>Industry Partners</li> </ul>	<ul style="list-style-type: none"> <li>Students</li> </ul>
		Low	Medium	High
<b>Impact</b>				

Table 1: Example Stakeholder Map, Influence and Impact

### 4.1 Stakeholder Mapping Templates

A stakeholder mapping template is outlined within Appendix A, which can be used to analyse stakeholder influence, impact and priorities.

A stakeholder responsibilities matrix is also provided in Appendix A, which is a checklist of stakeholder responsibilities by project stages. This should be completed for key stakeholders by the Project Manager to define what is required from them (e.g. users, required to pass key design decisions back to their wider stakeholder group, coordinate migration, liaise with HR, manage equipment / fit out requirements etc).

## 5 Stakeholder Engagement

A range of engagement and communications methods can be used, and should be discussed with the project team to ensure they are the most appropriate for the audience.

Some of the communications methods such as newsletters will be applicable across all of the stakeholder groups. Other methods will just be appropriate and used for smaller groups of stakeholders.

The stakeholder mapping will assist in targeting the correct type of communication to relevant stakeholders, ensuring parties are not forgotten and comments are heard. Engagement should be determined on a case by case basis; example illustrated below.

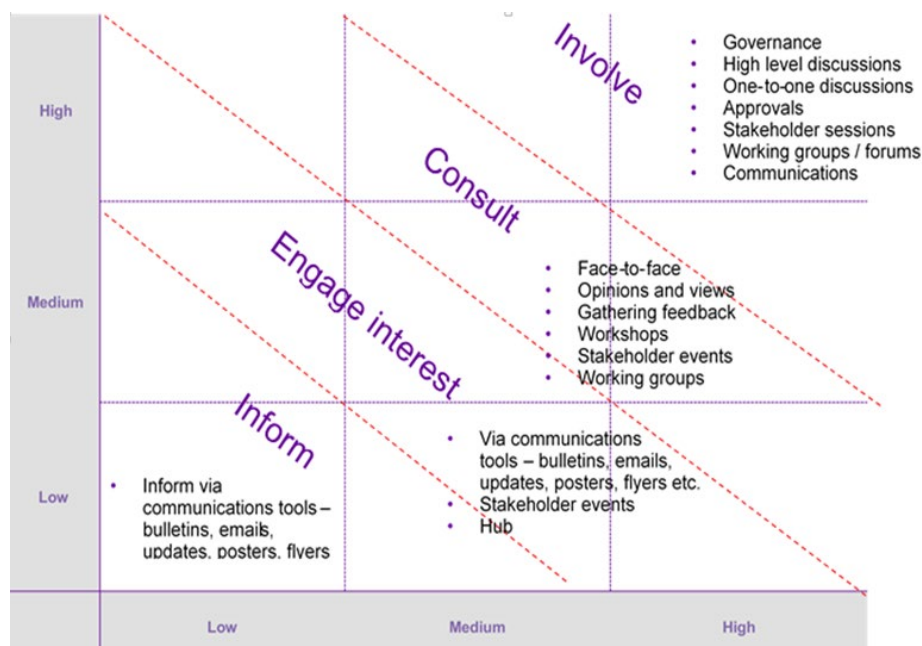


Figure 1: Communications Methods

There are multiple forms of engagement that extend beyond workshops and meetings. These can include:

- Project Website
- FAQs
- Newsletters
- Social Media
- Brochures and Flyers
- Focus Groups
- Surveys
- Emails
- Signage / Graphics on Hoardings

## 6 Feedback

---

Feedback should be proactively sought on the different engagement and communications activities where appropriate. Examples of this will include:

- At the end of every workshop a feedback form is distributed to receive comments. This will provide tangible evidence on the usefulness of such interventions from which success can be measured and enable any adjustments to be made.
- Electronic surveys could be added to the end of relevant communications, such as newsletters to understand whether the information was useful and relevant to the receiving stakeholders.

## **Appendix A**

### **Stakeholder Mapping Templates**

# A1 Stakeholder Mapping Template

---

## A2 Stakeholder Responsibilities Matrix

---

# Stakeholder Mapping Template

REPORT DATE:  
REPORT PERIOD:  
REPORT REFERENCE:  
REVISION:

Prepared by Arup

No.	Stakeholder Group	Position	Name	Key Issues and Concerns	Level of Influence (H/M/L)	Level of Impact (H/M/L)	Proposed Communications Method(s)
	Management / Project Board	Pro-Vice-Chancellor		<ul style="list-style-type: none"> <li>Project strategically aligns with University objectives</li> <li>Project budget and timeline</li> </ul>			<ul style="list-style-type: none"> <li>Committee Meetings</li> </ul>
		Director of Estates		<ul style="list-style-type: none"> <li>Project strategically aligns with University objectives</li> <li>Project budget and timeline</li> </ul>			<ul style="list-style-type: none"> <li>Committee Meetings</li> <li>Project Board Meetings</li> </ul>
		Director of Finance		<ul style="list-style-type: none"> <li>Project strategically aligns with University objectives</li> <li>Project budget and timeline</li> </ul>			<ul style="list-style-type: none"> <li>Committee Meetings</li> </ul>
		Director of Projects & Planning		<ul style="list-style-type: none"> <li>Project strategically aligns with University objectives</li> <li>Project budget and timeline</li> </ul>			<ul style="list-style-type: none"> <li>Committee Meetings</li> <li>Project Board Meetings</li> </ul>
		Director of Service Development and Resources		<ul style="list-style-type: none"> <li>Project strategically aligns with University objectives</li> <li>Project budget and timeline</li> </ul>			<ul style="list-style-type: none"> <li>Committee Meetings</li> <li>Project Board Meetings</li> </ul>
		Director of Asset Management & Compliance		<ul style="list-style-type: none"> <li>Project strategically aligns with University objectives</li> <li>Project budget and timeline</li> <li>Building assets and compliance</li> </ul>			<ul style="list-style-type: none"> <li>Committee Meetings</li> <li>Project Board Meetings</li> </ul>
		Director of IT Services		<ul style="list-style-type: none"> <li>Project strategically aligns with University objectives</li> <li>Project budget and timeline</li> <li>IT requirements</li> </ul>			<ul style="list-style-type: none"> <li>Committee Meetings</li> <li>Project Board Meetings</li> </ul>
		Head of Programme (Major Projects)		<ul style="list-style-type: none"> <li>Project strategically aligns with University objectives</li> <li>Project budget and timeline</li> </ul>			<ul style="list-style-type: none"> <li>Project Board Meetings</li> </ul>
		Head of Programme (Minor Projects)		<ul style="list-style-type: none"> <li>Project strategically aligns with University objectives</li> <li>Project budget and timeline</li> </ul>			<ul style="list-style-type: none"> <li>Project Board Meetings</li> </ul>
		Capital Accountant		<ul style="list-style-type: none"> <li>Project strategically aligns with University objectives</li> <li>Project budget and timeline</li> </ul>			<ul style="list-style-type: none"> <li>Project Board Meetings</li> </ul>
		Project Board Chair / Members		<ul style="list-style-type: none"> <li>Project strategically aligns with University objectives</li> <li>Project budget and timeline</li> </ul>			<ul style="list-style-type: none"> <li>Project Board Meetings</li> </ul>
	Customer / End Users	Director of Operations for the College of Life Sciences		<ul style="list-style-type: none"> <li>Project strategically aligns with College objectives</li> <li>Project budget and timeline</li> </ul>			
		Head of the College of Life Sciences		<ul style="list-style-type: none"> <li>Project strategically aligns with College objectives</li> <li>Project budget and timeline</li> </ul>			
		Director of Operations for the College of Sciences and Engineering		<ul style="list-style-type: none"> <li>Project strategically aligns with College objectives</li> <li>Project budget and timeline</li> </ul>			
		Head of the College of Sciences and Engineering		<ul style="list-style-type: none"> <li>Project strategically aligns with College objectives</li> <li>Project budget and timeline</li> </ul>			
		Director of Operations for the College of Social Sciences, Arts and Humanities		<ul style="list-style-type: none"> <li>Project strategically aligns with College objectives</li> <li>Project budget and timeline</li> </ul>			
		Head of the College of Social Sciences, Arts and Humanities		<ul style="list-style-type: none"> <li>Project strategically aligns with College objectives</li> <li>Project budget and timeline</li> </ul>			
		Building Managers		<ul style="list-style-type: none"> <li>User brief / scope</li> <li>Project budget and timeline</li> </ul>			

# Stakeholder Mapping Template

REPORT DATE:  
REPORT PERIOD:  
REPORT REFERENCE:  
REVISION:

Prepared by Arup

No.	Stakeholder Group	Position	Name	Key Issues and Concerns	Level of Influence (H/M/L)	Level of Impact (H/M/L)	Proposed Communications Method(s)
		Academic Floor Leads		<ul style="list-style-type: none"> <li>• User brief / scope</li> <li>▣ Project budget and timeline</li> </ul>			
		Technicians		<ul style="list-style-type: none"> <li>• User brief / scope</li> <li>▣ Project budget and timeline</li> </ul>			
		Residential Services		<ul style="list-style-type: none"> <li>• User brief / scope</li> <li>▣ Project budget and timeline</li> </ul>			
		Car Parking		<ul style="list-style-type: none"> <li>• User brief / scope</li> <li>▣ Project budget and timeline</li> </ul>			
		Sport		<ul style="list-style-type: none"> <li>• User brief / scope</li> <li>▣ Project budget and timeline</li> </ul>			
		User Task Group Chair / Members		<ul style="list-style-type: none"> <li>• User brief / scope</li> <li>▣ Project budget and timeline</li> </ul>			
	Engineering	M&E Design Manager		<ul style="list-style-type: none"> <li>▣ User brief / scope</li> <li>▣ Building assets and compliance</li> </ul>			
		Head of Utilities		<ul style="list-style-type: none"> <li>▣ User brief / scope</li> <li>▣ Building assets and compliance</li> </ul>			
		Head of Supply Chain and Compliance (Engineering)		<ul style="list-style-type: none"> <li>▣ User brief / scope</li> <li>▣ Building assets and compliance</li> </ul>			
	Operational Team (Technology, Grounds and Gardens)	Head of Operations		<ul style="list-style-type: none"> <li>▣ Building assets and compliance</li> <li>• Training and operation of assets</li> </ul>			
		Management Information & Systems Manager		<ul style="list-style-type: none"> <li>▣ Building assets and compliance</li> <li>• BIM Model, H&amp;S / O&amp;M File</li> </ul>			
		BIM Manager		<ul style="list-style-type: none"> <li>▣ Building assets and compliance</li> <li>• BIM Model, H&amp;S / O&amp;M File</li> </ul>			
		Head of Maintenance		<ul style="list-style-type: none"> <li>▣ Building assets and compliance</li> <li>• BIM Model, H&amp;S / O&amp;M File</li> </ul>			
		Head of Irregular Maintenance		<ul style="list-style-type: none"> <li>▣ Building assets and compliance</li> <li>• BIM Model, H&amp;S / O&amp;M File</li> </ul>			
		Head of Grounds & Gardens		<ul style="list-style-type: none"> <li>▣ Externals and landscape alterations</li> </ul>			
	Procurement	Senior Procurement Advisor		<ul style="list-style-type: none"> <li>▣ Procurement strategy</li> </ul>			



# Stakeholder Mapping Template

REPORT DATE:  
REPORT PERIOD:  
REPORT REFERENCE:  
REVISION:

Prepared by Arup

No.	Stakeholder Group	Position	Name	Key Issues and Concerns	Level of Influence (H/M/L)	Level of Impact (H/M/L)	Proposed Communications Method(s)
		Procurement Advisor		<ul style="list-style-type: none"> <li>Procurement strategy</li> </ul>			
	Legal	Director of Legal Services		<ul style="list-style-type: none"> <li>Claims and liquidated damages</li> </ul>			
	HR	Director of Human Resources		<ul style="list-style-type: none"> <li>Staff resource requirements</li> </ul>			
	Fire & Security	Fire Officer		<ul style="list-style-type: none"> <li>Access and escape points, fire alarms, call points</li> </ul>			
		Head of Security		<ul style="list-style-type: none"> <li>Access and escape points, fire alarms, call points</li> <li>Access control, CCTV</li> </ul>			
		Operations Manager Security Services		<ul style="list-style-type: none"> <li>Access and escape points, fire alarms, call points</li> <li>Access control, CCTV</li> </ul>			
	BMS	BMS Officer		<ul style="list-style-type: none"> <li>Building assets and compliance</li> <li>BIM Model, H&amp;S / O&amp;M File</li> </ul>			
	Internal Catering	Catering Manager		<ul style="list-style-type: none"> <li>Building assets (catering)</li> </ul>			
	Cleaning Dept.	Operations Manager for Cleaning Services		<ul style="list-style-type: none"> <li>Building assets</li> </ul>			

# Stakeholder Mapping Template

REPORT DATE:  
REPORT PERIOD:  
REPORT REFERENCE:  
REVISION:

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No.	Stakeholder Group	Position	Name	Key Issues and Concerns	Level of Influence (H/M/L)	Level of Impact (H/M/L)	Proposed Communications Method(s)
	Environmental	Environmental Services		<ul style="list-style-type: none"> <li>Building assets and compliance</li> <li>Energy consumption</li> </ul>			
		Policy & Environmental Services Manager		<ul style="list-style-type: none"> <li>Building assets and compliance</li> <li>Energy consumption</li> </ul>			
	IT	College IT Manager		<ul style="list-style-type: none"> <li>IT and AV requirements</li> </ul>			
		Network Operations Manager		<ul style="list-style-type: none"> <li>IT and AV requirements</li> </ul>			
		Project Manager IT Services		<ul style="list-style-type: none"> <li>IT and AV requirements</li> </ul>			
	Telephony	Telecoms		<ul style="list-style-type: none"> <li>Telecoms requirements</li> </ul>			
	H&S	Health & Safety Officer		<ul style="list-style-type: none"> <li>CDM requirements</li> <li>H&amp;S on site</li> <li>H&amp;S File</li> </ul>			
		Health & Safety Advisors -Workplace and Wellbeing		<ul style="list-style-type: none"> <li>H&amp;S considerations within the project</li> <li>H&amp;S File</li> </ul>			
	Campus Wide	Staff (professional services, academic, hard to reach/non-computer based)		<ul style="list-style-type: none"> <li>New facilities provided</li> <li>Disruptions from construction</li> </ul>			
		Students (UG, PG, PGR)		<ul style="list-style-type: none"> <li>New facilities provided</li> <li>Disruptions from construction</li> </ul>			
		Students Union Representatives		<ul style="list-style-type: none"> <li>New facilities provided</li> <li>Disruptions from construction</li> </ul>			
		Industry partners		<ul style="list-style-type: none"> <li>New facilities provided</li> <li>Disruptions from construction</li> </ul>			
		Visiting academic colleagues		<ul style="list-style-type: none"> <li>New facilities provided</li> <li>Disruptions from construction</li> </ul>			
		Visiting prospective students, their parents and other prospective staff or partners		<ul style="list-style-type: none"> <li>New facilities provided</li> <li>Disruptions from construction</li> </ul>			

# Stakeholder Mapping Template

REPORT DATE:  
REPORT PERIOD:  
REPORT REFERENCE:  
REVISION:

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No.	Stakeholder Group	Position	Name	Key Issues and Concerns	Level of Influence (H/M/L)	Level of Impact (H/M/L)	Proposed Communications Method(s)
		Other Visitors		<ul style="list-style-type: none"> <li>New facilities provided</li> <li>Disruptions from construction</li> </ul>			
		Event Managers (Open Days, Degree Congregation, Grad Ball, Welcome Week etc).		<ul style="list-style-type: none"> <li>New facilities provided</li> <li>Disruptions from construction</li> </ul>			
	Community	Residents		<ul style="list-style-type: none"> <li>Impact from construction and final project (e.g. traffic, visual impacts)</li> </ul>			
		Community groups and networks		<ul style="list-style-type: none"> <li>Impact from construction and final project (e.g. traffic, visual impacts)</li> </ul>			
		Services (Police, Fire)		<ul style="list-style-type: none"> <li>Impact from construction and final project (e.g. traffic, visual impacts)</li> </ul>			
		Hospital trust		<ul style="list-style-type: none"> <li>Impact from construction and final project (e.g. traffic, visual impacts)</li> </ul>			
		Local retailers and SMEs		<ul style="list-style-type: none"> <li>Impact from construction and final project (e.g. traffic, visual impacts)</li> </ul>			
		MPs		<ul style="list-style-type: none"> <li>Impact from construction and final project (e.g. traffic, visual impacts)</li> <li>Benefits to the surrounding area (e.g. employment, improved education)</li> </ul>			
		Charities and NGOs		<ul style="list-style-type: none"> <li>Impact from construction and final project (e.g. traffic, visual impacts)</li> </ul>			
		Landlords		<ul style="list-style-type: none"> <li>Impact from construction and final project (e.g. traffic, visual impacts)</li> </ul>			
		Local Planning Authority / Town Planners		<ul style="list-style-type: none"> <li>Impact from construction and final project (e.g. traffic, visual impacts)</li> <li>Aspects outlined within the pre-application consultation</li> </ul>			
	Project Team	Architect (Design Leader)		<ul style="list-style-type: none"> <li>Project brief, user requirements and scope</li> </ul>			
		Civil / Structural Consultant		<ul style="list-style-type: none"> <li>Project brief, user requirements and scope</li> </ul>			
		MEP Consultant		<ul style="list-style-type: none"> <li>Project brief, user requirements and scope</li> </ul>			
		Cost Consultant		<ul style="list-style-type: none"> <li>Project brief, user requirements and scope</li> </ul>			
		Services Consultant		<ul style="list-style-type: none"> <li>Project brief, user requirements and scope</li> </ul>			

# Stakeholder Mapping Template

REPORT DATE:  
REPORT PERIOD:  
REPORT REFERENCE:  
REVISION:

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No.	Stakeholder Group	Position	Name	Key Issues and Concerns	Level of Influence (H/M/L)	Level of Impact (H/M/L)	Proposed Communications Method(s)
		Project Manager		• Project brief, user requirements and scope			
		Space		• Project brief, user requirements and scope			
	Construction Team	Main Contractor		• Project scope, site and tender information			
		M&E Subcontractor		• Project scope, site and tender information			
		Controls subcontractor		• Project scope, site and tender information			
		Commission Eng.		• Project scope, site and tender information			

## Stakeholder Responsibilities

### User Stakeholders (Example)

REPORT DATE:  
 REPORT PERIOD:  
 REPORT REFERENCE:  
 REVISION:

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No.		Stakeholder Responsibilities					
		Gate 0	Project Charter	Gate 1	Gate 2	Construction	Handover
<b>Preperation &amp; Brief</b>							
001	Define Business Case	✓	✓	✓			
002	Establish Project Budget	✓		✓	✓		
003	Define engineering documents review / sign offs	✓		✓	✓	✓	
004	Define stage reports review / sign offs	✓	✓	✓	✓	✓	✓
005	Sign off Programme / Schedule (including subsequent changes)	✓	✓	✓	✓	✓	✓
006	Stakeholder Identification and Pass key design decisions back to wider stakeholder group (e.g. other users, college academics, staff)	✓	✓	✓	✓	✓	✓
007	Set environmental performance targets			✓			
008	Gateway reality checks	✓		✓	✓		
<b>Design, Tender, Construction</b>							
009	Intermediate evaluation workshops	✓	✓	✓	✓	✓	
010	Defining & Managing Project Changes	✓	✓	✓	✓	✓	
011	Develop Monthly reports / dashboards						
012	Develop detailed project brief			✓			
013	Review Design drawings and Specifications			✓	✓		
014	Stakeholder Identification and Pass key design decisions back to wider stakeholder group (e.g. other users, college academics, staff)	✓	✓	✓	✓	✓	✓
015	Engineering review documents (incls Health and Safety, Fire Safety & Security)			✓	✓		
016	Planning Permission application / follow up						
017	Building Regs submission						
018	Environmental permits						
019	Develop health and safety plan						
020	Develop quality control plan						
021	Develop cost control plan						
022	Develop Initial Handover Plan		✓	✓	✓	✓	✓
023	Develop Migration Action Plan		✓	✓	✓	✓	✓
024	Operations design review			✓	✓		
025	Buildability, commssionability and maintainability						
026	Design usability/manageablilty		✓	✓	✓		
027	Refine and update early environmental performance targets			✓	✓		
028	Incorporate handover & acceptance requirements in tender documents				✓		
029	Develop Disruption Management Plan						

## Stakeholder Responsibilities

### User Stakeholders (Example)

REPORT DATE:  
 REPORT PERIOD:  
 REPORT REFERENCE:  
 REVISION:

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No.		Stakeholder Responsibilities					
		Gate 0	Project Charter	Gate 1	Gate 2	Construction	Handover
030	General conditions of contract						
031	Special conditions of contract						
032	Tender list						
033	Cost estimate for fit out and specialist equipment						
034	Pretender cost estimate						
035	Prepare Tender docs						
036	Manage construction tender / negotiations						
037	Tender / purchase fit out and specialist equipment				✓		
038	Approve construction contract, Gate 2				✓		
039	Issue contracts						
040	Construction contracts admin						
041	Specialist supplier contracts admin						
042	Site Health & Safety Management						
043	Site Quality Control						
044	Contractor insurance submittals						
045	Clarify design intent and interpret drawings and technical specifications						
046	Daily construction reports and records						
047	Evaluate construction progress						
048	Invoice evaluations						
049	Contractor payments						
050	Prepare final handover plan				✓	✓	✓
051	Engineering field observations						
052	Resolve non-conformances of construction work						
053	Undertake Migration Action Planning (including staff, legacy equipment / furniture migration)					✓	✓
054	Setup Building Services Maintenance Contracts (where required)					✓	✓
055	Setup initial training programme						✓
056	Building readiness programme						✓
057	Compile building users guide						
058	Complie technical guide						
059	Commissioning and start-up						
060	BMS interface demonstration						

## Stakeholder Responsibilities

### User Stakeholders (Example)

REPORT DATE:  
 REPORT PERIOD:  
 REPORT REFERENCE:  
 REVISION:

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No.		Stakeholder Responsibilities					
		Gate 0	Project Charter	Gate 1	Gate 2	Construction	Handover
<b>Handover &amp; Close Out</b>							
061	Clarify responsibility for environmental and energy logging						
061	Snagging (pre-completion)						✓
061	Collect commissioning records						
061	Establish Aftercare Team location (where intended)						
061	Health & Safety File review inc. As built documents						
061	Acceptance of completed work						
061	Staff and Operation Team Training						
061	Issue practical completion certificate						
061	Implement Migration Action Plan						✓
061	Manage defects period (construction contract)						
061	Close out construction contract						

## PMO Operation

### 7. PMO User Guides Overview

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The PMO Manager must oversee the monthly Programme reporting process to ensure information is correctly populated, in the PMO Dashboard. The PMO User Guide provides step-by-step guide for the PMO Manager in the operation of the PMO.

As part of the ongoing PMO operation, the PMO Manager is required to report on the performance of the Capital Programme monthly, indicating the status of finances, milestones, risks, issues, key decisions, health and safety and resource forecasts. This is presented in the Finance Tracker and Programme Dashboard produced at the end of the second week of each month, for issue to the appropriate University committee and Estates & Campus Services Leadership. This report is also a practical guide for running the overall PMO reporting cycle.

The Finance Tracker Process referenced in this guide is provided within section 8 of the PMO documentation.

A Risk and Contingency User Guide is also included within this section, explaining how Project Managers should apply risk and contingency procedures throughout the Gated process.



University of Leicester  
**Programme Management Office**  
PMO User Guide

PM006

Issue 02 | 2 August 2018



This report takes into account the particular instructions and requirements of our client.

It is not intended for and should not be relied upon by any third party and no responsibility is undertaken to any third party.

Job number 260652-00

**Ove Arup & Partners Ltd**

The Arup Campus  
Blythe Gate  
Blythe Valley Park  
Solihull B90 8AE  
United Kingdom  
[www.arup.com](http://www.arup.com)

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## Appendices

### Appendix A

Project Dashboards

### Appendix B

PMO Dashboard

# 1 Introduction

As part of the ongoing PMO operation, the PMO Manager is required to report on the performance of the Capital Programme monthly, indicating the status of finances, milestones, risks, issues, key decisions, health and safety and resource forecasts. This is presented in the Finance Tracker and Programme Dashboard produced at the end of the second week of each month, for issue to the appropriate University Committee(s) and Estates & Campus Services Leadership.

This document report is a practical guide for running the overall PMO reporting cycle.

# 2 PMO Reporting Cycle

The PMO reporting cycle occurs within the first two weeks of every month. If the month starts in the middle of the week, the process can be adjusted to suit, allocating the same number of days as outlined within the calendar shown in figure 1.

(Please note the practical guide for the Financial Tracker is outlined within a separate report: Financial Tracker Processes, PM004.)

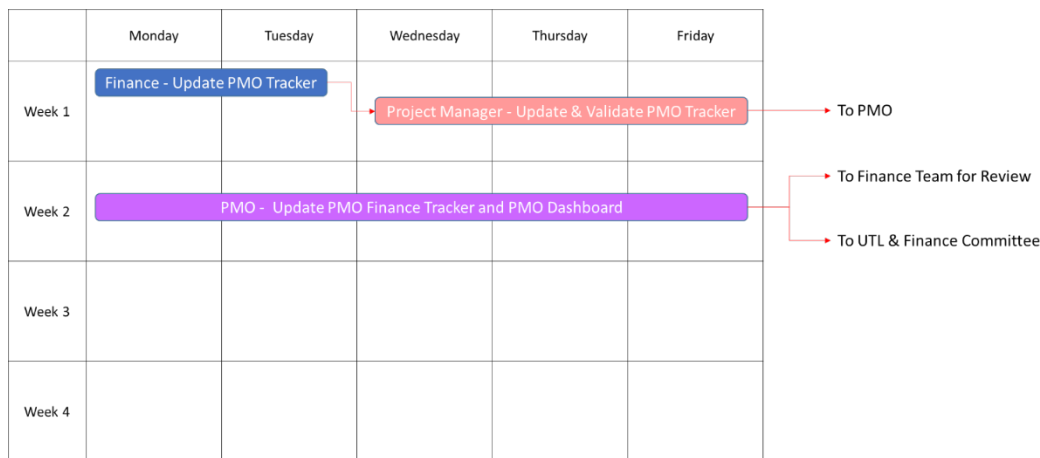


Figure 1: PMO Monthly Process

## 2.1 Week 1 Activities

The following table outlines key activities to be undertaken in the PMO reporting cycle and responsibilities.

Owner	Activity
<b>Finance</b>	<p><b>Update PMO Finance Tracker with following information</b></p> <ul style="list-style-type: none"> <li>• Add New Projects - As identified within the P-P Form (previously EF2012/EF2052 form), assigning a project code. (It is the Project Manager's responsibility to ensure that the completed form reaches the Finance team)</li> <li>• Total Authorised Project Budget - As identified on the PM Dashboard and P-P Form (previously EF2012/EF2052 form) (Gross inc VAT). It is the Project Manager's responsibility to ensure that the completed form reaches the Finance team. If the project is new, the "Budget at Gate 0" should be populated.</li> <li>• SAP Cost to date (Gross inc VAT).</li> <li>• Updates are provided to the PMO Manager through a 1:1 catch up meeting, outlining changes made in the middle of the first week.</li> </ul>
<b>Project Managers</b>	<p><b>Update the PMO Finance Tracker with the following information</b></p> <ul style="list-style-type: none"> <li>• Confirm projects assigned to their name, or the current assigned Project Manager inform their respective Estates Department Head (i.e. Major, Minor, Maintenance) for it to be reallocated.</li> <li>• Update the Certified Invoices to Date of Report (Gross inc VAT).</li> <li>• Forecast out turn cost (Gross inc VAT).</li> <li>• RAG Status (Section 3.2.1).</li> <li>• Milestone and financial information (as outlined within the Financial Tracker Processes report (ref. PM004).</li> <li>• Forecast and actual cashflow (based on certified invoices inc VAT) within the "Forecast" tab in the financial tracker. Details are outlined within the Financial Tracker Processes report (ref. PM004). (Note, the month of July should be reported on both an invoice and accruals basis).</li> <li>• Updates are provided to the PMO Manager through a 1:1 catch up meeting, outlining changes made at the end of the first week.</li> </ul> <p><b>Project Dashboards and Project Risk Registers</b></p> <ul style="list-style-type: none"> <li>• Send the latest Project Dashboards (an example of both major and minor project dashboards are provided in Appendix A) and Risk Registers (see Risk Management report, ref. PM002) for the month to the PMO Manager.</li> </ul> <p>Note; these documents may have been updated before the first week (as the primary purpose is to serve the project), any major updates not included should be communicated to the PMO Manager within the 1:1 catch up meeting.</p>

<b>PMO Manager</b>	<p><b>Coordinate the PMO Finance Tracker Process</b></p> <ul style="list-style-type: none"> <li>Any updates provided to the Finance Tracker (from Finance and Project Managers) should be done through the PMO Manager. This ensures the master copy is protected and there is confidence of the data reported. This can be done in multiple ways to suit the individual PMO Manager; such as sending the Finance Tracker template to the Project Manager with filtered projects. Updates can be discussed within the 1:1 catch up meetings a few days later.</li> </ul>
--------------------	--

## 2.2 Week 2 Activities

The following table outlining key activities to be undertaken in the PMO reporting cycle and responsibilities.

Owner	Activity
<b>PMO Manager</b>	<p><b>Review PMO Finance Tracker / Project Dashboards and update PMO Dashboard</b></p> <ul style="list-style-type: none"> <li>Identify and track missing data from PMs and Finance within the Finance Tracker, including the forecast financials within the 1:1 catch up meetings.</li> <li>Review Project Dashboards and liaise with PMs to compile for an overall programme summary, identifying key decisions, issues, programme risks for Major Projects and populate within the Programme Dashboard Overview (page 2).</li> <li>Review Project Dashboards and liaise with PMs to compile project updates on programme, finance, planning and risks for projects over £500k. Populate the Programme Dashboard KPI (pages 3-5).</li> <li>Review the forecast financials/actuals within the Finance Tracker and populate the Programme Dashboard Finance (page 6) and Finance section within the Overview (page 2).</li> <li>Review the Financial Tracker and copy and paste data from the “Master Tracker” tab into the Programme Dashboard “Tracker (ref only)” tab.</li> <li>Review the Programme Dashboard Schedule page, ensuring accuracy in the project codes for the reported projects (page 7).</li> <li>Collate risks from Project Risk Registers and populate the Programme Dashboard Risk (page 8).</li> <li>Collate H&amp;S data from contractor reports on Major Projects to populate the Programme Dashboard H&amp;S page.</li> </ul> <p>(Note, this is currently under development by Callidus (page 9)).</p>

## 3 PMO Programme Dashboard

---

This section provides detail to the PMO Manager on updating / navigating the Programme Dashboard. Everything in this section is undertaken by the PMO Manager, unless otherwise stated.

The PMO Dashboard is used to update the Estates & Campus Services Leadership and Finance on the performance of the capital programme. The PMO Dashboard is updated by the PMO Manager at the end of the second week of the month. An example copy of the PMO Programme Dashboard is provided within Appendix A.

A snapshot of key information is provided on the overview page of the dashboard, but if further detail is required on any particular topic, supplementary pages are included which provided a more in-depth view. This allows Estates & Campus Services Leadership to make informed decisions on any key issues which must be made.

The following pages are explained below:

- Overview
- Key Performance Indicators (KPIs)
- Finance
- Schedule
- Risk
- Health & Safety

### 3.1 Overview – Programme Dashboard Page 2

The overview page in the Programme Dashboard is the high level snapshot of the programme. The supporting pages behind the overview page is to supplement this, focusing on particular areas such as project KPIs, finance, schedule and risk.

It should be noted a separate piece of work is currently being undertaken by Callidus to focus on health and safety KPIs. Once agreed with the University, the health and safety dashboard can be linked into the Programme Dashboard.

The following figure 2 is an example of the Programme Dashboard overview page.

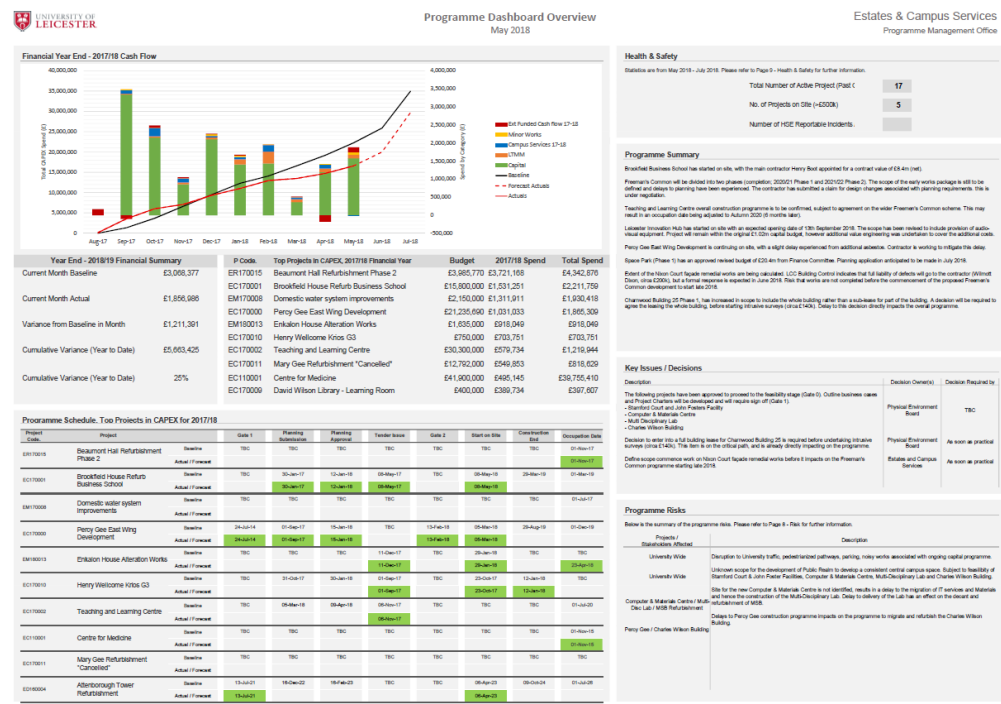


Figure 2 PMO Dashboard, Overview Page

#### 3.1.1 Programme Summary

This should be a summary of the key updates on the capital programme. This can include the approval of new projects, major risks, key decisions, issues, delays, overspend, large financial claims, disruptions to University operations etc.

The source of information is from the Project Manager’s project dashboards and the Capital Projects centre within the Estates and Campus Services Update report, produced by the Head of Programme (Major Projects). It is not practical to report on all project updates in this section, therefore the content is determined by the PMO Manager’s discretion based on an overview of the most important project updates across the programme.

### 3.1.2 Health & Safety

The Health & Safety KPIs shown on the overview page will be populated from data collated in line with the work being undertaken by Callidus. An initial set of statistics incorporated into the Programme Dashboard and to be collated by the PMO Manager include:

- Total Number of Active Projects (Past Gate 1, >£500k)
- No. of Projects on Site (>£500k)
- Number of HSE Reportable Incidents / Accidents

It is envisaged additional statistics may be incorporated into the Programme Dashboard once the University agrees the key health and safety KPIs and flexibility is provided in the Programme Dashboard to incorporate additional data.

### 3.1.3 Key Decisions / Issues

These should outline the major decisions and issues that need to be resolved, clearly stating when the decision or action that needs to take place and by whom. If possible / applicable, it should describe the consequence for lack of action.

The sources of information will be from the PM dashboards and the Capital Projects section within the Estates and Campus Services Update report. Alongside, through engagement with the PMs, the PMO Manager will be required to identify any key decisions / issues from an understanding of the overall capital programme / projects.

### 3.1.4 Risks

This section outlines any major programme risks and key project risks which the PMO Manager has identified through engagement with the PMs. The top 5-10 risks are summarised on the Overview page from the Programme Dashboard page on Risk.

The source of information is from the PM dashboards and the Capital Projects section within the Estates and Campus Services Update report, with key programme and project risks captured on “Page 8 – Risk” tab.

### 3.1.5 Finance Section

The finance section contains a graph with monthly spend breakdown of capital projects by category in the financial year, baseline forecast cashflow and forecast actual / actual. An explanation of generating this graph is outlined in section 0 and is the same graph used in the “Page 6 – Finance” tab.

The financial tables highlight the following information below and are automatically updated from the “Page 6 – Finance” tab. See section 3.3.4 for details for updating the financial information.



- Current Month Baseline
- Current Month Actual
- Variance from Baseline in Month
- Cumulative Variance (Year to Date)
- Cumulative Variance Percentage (Year to Date)

The Top Projects in CAPEX for 2017/18 Financial Year is found in the Financial Tracker, sorting projects by “Spend 17/18” in the “Forecast” tab. The Project Code should be input in the table, and the title, budget and total spend should update automatically from the “Tracker (ref only)” tab (note: data from the updated Financial Tracker should be pasted into this tab so the latest information is referenced). The 2017/18 Spend should be input manually from the Financial Tracker.

P Code.	Top Projects in CAPEX, 2017/18 Financial Year	Budget	2017/18 Spend	Total Spend
ER170015	Beaumont Hall Refurbishment Phase 2	£3,985,770	£3,721,168	£4,342,876
EC170001	Brookfield House Refurb Business School	£15,800,000	£1,531,251	£2,211,759
EM170008	Domestic water system improvements	£2,150,000	£1,311,911	£1,930,418
EC170000	Percy Gee East Wing Development	£21,235,690	£1,031,033	£1,865,309
EM180013	Enkalon House Alteration Works	£1,635,000	£918,049	£918,049
EC170010	Henry Wellcome Krios G3	£750,000	£703,751	£703,751
EC170002	Teaching and Learning Centre	£30,300,000	£579,734	£1,219,944
EC170011	Mary Gee Refurbishment *Cancelled*	£12,792,000	£549,853	£818,629
EC110001	Centre for Medicine	£41,900,000	£495,145	£39,755,410
EC170009	David Wilson Library - Learning Room	£400,000	£389,734	£397,607

Figure 3 PMO Dashboard, Top Projects in CAPEX table

### 3.1.6 Programme Schedule

The programme section is automatically generated by referencing the “Tracker (ref only)” tab. Any projects can be reported by inserting the desired project code for the respective project. As a default, the top projects by Capex in the 2017/18 financial year are reported.

The milestones are conditionally formatted, where forecast/actual dates which surpass the baseline turn red. Project codes and titles should be cross checked to ensure they have been properly copied across from the Schedule page.

Programme Schedule, Top Projects in CAPEX for 2017/18										
Project Code	Project		Gate 1	Gate 2	Planning Submission	Planning Approval	Tender Issue	Start on Site	Construction End	Occupation Date
ER170015	Beaumont Hall Refurbishment Phase 2	Baseline	Completed	Completed	Completed	Completed	Completed	Completed	Completed	01-Nov-17
		Actual / Forecast	Completed	Completed	Completed	Completed	Completed	Completed	Completed	01-Nov-17
EC170001	Brookfield House Refurb Business School	Baseline	Completed	Completed	30-Jan-17	12-Jan-18	Completed	08-May-18	29-Mar-19	29-Mar-19
		Actual / Forecast	Completed	Completed	30-Jan-17	12-Jan-18	Completed	08-May-18	29-Mar-19	29-Mar-19
EM170008	Domestic water system improvements	Baseline	Completed	Completed	Completed	Completed	Completed	Completed	Completed	01-Jul-17
		Actual / Forecast	Completed	Completed	Completed	Completed	Completed	Completed	Completed	01-Jul-17
EC170000	Percy Gee East Wing Development	Baseline	24-Jul-14	13-Feb-18	01-Sep-17	15-Jan-18	Completed	05-Mar-18	29-Aug-19	01-Dec-19
		Actual / Forecast	24-Jul-14	13-Feb-18	01-Sep-17	15-Jan-18	Completed	05-Mar-18	29-Aug-19	01-Dec-19
EM180013	Enkalon House Alteration Works	Baseline	Completed	Completed	Completed	Completed	11-Dec-17	29-Jan-18	23-Apr-18	23-Apr-18
		Actual / Forecast	Completed	Completed	Completed	Completed	11-Dec-17	29-Jan-18	23-Apr-18	23-Apr-18
EC170010	Henry Wellcome Krios G3	Baseline	Completed	Completed	31-Oct-17	30-Jan-18	01-Sep-17	23-Oct-17	12-Jan-18	TBC
		Actual / Forecast	Completed	Completed	31-Oct-17	30-Jan-18	01-Sep-17	23-Oct-17	12-Jan-18	TBC
EC170002	Teaching and Learning Centre	Baseline	Completed	TBC	05-Mar-18	TBC	06-Nov-17	TBC	TBC	01-Jul-20
		Actual / Forecast	Completed	TBC	05-Mar-18	TBC	06-Nov-17	TBC	TBC	01-Jul-20
EC110001	Centre for Medicine	Baseline	Completed	Completed	Completed	Completed	Completed	Completed	Completed	01-Nov-15
		Actual / Forecast	Completed	Completed	Completed	Completed	Completed	Completed	Completed	01-Nov-15
EC170011	David Wilson Library - Learning Room	Baseline	Completed	Completed	Completed	Completed	Completed	Completed	Completed	01-Jan-17
		Actual / Forecast	Completed	Completed	Completed	Completed	Completed	Completed	Completed	01-Jan-17
EC170003	Innovation Hub (LIH)	Baseline	Completed	16-Mar-18	Completed	Completed	Completed	26-Mar-18	20-Jul-18	13-Sep-18
		Actual / Forecast	Completed	16-Mar-18	Completed	Completed	Completed	26-Mar-18	20-Jul-18	13-Sep-18

Figure 4 PMO Dashboard, Programme Schedule Top Projects in CAPEX table

## 3.2 Key Performance Indicators (KPIs) – Page 3-5

The KPIs sheet graphically provide a high-level summary of the performance of all projects >£500k by Capex, in addition to projects reported by exception (i.e. projects requiring attention in some aspect as identified by the PMO Manager / informed by Estates & Campus Services Leadership). The project KPIs are reported over three pages divided as follows.

- >£5m
- £1m - £5m
- £500k - £1m, and projects by exception

The project specific information below is found within the Financial Tracker and input manually by the PMO Manager.

- Project Code
- Project Title
- Approved Budget
- Projected Out-turn
- Site Programme (start / practical completion dates)
- Forecast Completion Date

The KPIs are manually input by the PMO Manager, indicating the trend (increase, decrease, no change from the last reporting period) and should reflect the PM RAG status in the Finance Tracker and Project Dashboards (Section 3.2.1). Commentary against each KPI should input directly, with updates found within the Project Dashboards, Callidus H&S Project Dashboard (under development) and the Estates and Campus Services Update report.

The KPIs tracked are as follows.

- Programme
- Financial
- Planning
- Risk
- Health & Safety

UoL Programme Management Dashboard											Report Period: Jul-18					
Key Performance Indicators - Projects £500k - £1m											Page Over: 54 of 9					
Capex Projects, Financial Year (2017/18)																
Project Code	Project	Approved Budget	Projected Out-turn	Site Programme	Forecast Completion Date	Prog	Fin	Plan	Risk	H&S	Programme	Finance	Planning	Risk	Health & Safety	
	DWL Silent & Collab Learning Space	£697,380	£700,245	7 May 18 - 7 Sep 18	Sep 18	↓	→	→	→	→	Works have been put on hold whilst the business case is being agreed. Decision required to proceed needed by 13 July 18. This is likely to lead to at least a weeks extension to the programme meaning the works will run into the start of the new academic year.	No issues.	N/A	Large disruption associated with works continuing into the start of the new academic year. PM to mitigate impacts where possible.		
	Non Residential DIX items building remodel	£600,000	TBC	Jun 18 - Jul 18	31 Jul 18	→	→	→	→	→	Specify fire safety improvement works for pricing by 04/06/18. All outstanding works to be specified and priced by end of June 18th. All works to be completed by end of financial year (end of July).	Admin generator works (540k net) and MCS8/Heatlink R22 works (12.2k net) to be capitalised.	Input required into preferred option of remedial work to the fire engineering building from the Conservation Officer.	Need to finalise specifying fire safety improvement works following meeting the FRA (Budget figure of circa £13k not allocated). Specification will to be confirmed for the hot/cold water storage tank remedial works. Remedial work to MCS8 could mean to be defined.		
	Residences Projects Road DB&S Survey	£300,000	TBC	Jun 18 - Jul 18	31 Jul 18	→	→	→	→	→	Demolition works for Terrace garage by 16/07/18 (see plan). All outstanding works to be specified and priced by end of June 18th. Specify fire safety improvement works for pricing by 04/06/18. Works to be completed end of financial year (end of July).	Projected spend following further investigation into original DB&S output circa £257k net. VAI. Projection includes a reduced sum of £18k net. VAI contingency, including professional fees.	All requirements agreed with residents on the Terrace garage. Planning application submitted as scheduled (11/05/18).	Need to finalise specifying fire safety improvement works following meeting the FRA (Budget figure of circa £13k not allocated).		
	George Porter Lecture Theatre Refurbishment	£564,000	£714,538	18 Jun 18 - 21 Sep 18	Sep 18	↓	→	→	→	→	Works are progressing well on site, most of the strip out works are now complete. During the strip out process it has been discovered that some of the masonry mull panels around the concrete frame needs to be rebuilt. This may result in a change to the furniture is ready to order and the AV equipment has already been ordered to meet the deadline.	Anticipated to be delivered within budget.	N/A	Risk to programme associated with the unforeseen remediation works to masonry mull panels around the concrete frame. PM working to ensure it will be over all programme.		
	Adrian Building Fire Alarm Replacement	£507,300	£507,301	Mar 18 - Jul 18	Jul 18	→	→	→	→	→	Works started on the 5th March and are programmed for completion the second week of July or earlier if possible. Installation of new devices has commenced and is on schedule with no time lost over the new design.	No issues.	N/A	Additional unforeseen works.		
<£500k Projects by Exception, Financial Year (2017/18)																
Project Code	Project	Approved Budget	Projected Out-turn	Site Programme	Forecast Completion Date	Prog	Fin	Plan	Risk	H&S	Programme	Finance	Planning	Risk	Health & Safety	
<b>KPI Definitions</b>		<b>RAG Status</b>				<b>Trend</b>		<b>Trend</b>								
Prog: Programme	Fin: Financial	Plan: Planning	Risk: Risk	Risk: Risk	Red: Not performing, needs immediate attention	Amber: Not performing, being managed	Green: Performing / performing as expected	● No change	● Increase	● Decrease	● No change	● Increase	● Decrease			

Figure 5 PMO Dashboard, Key Performance Indicators Page

### 3.2.1 PM RAG Ratings Definition

The Red / Amber / Green (RAG) status reported by PMs within the Financial Tracker and Project Dashboards should be defined as follows.

#### R Items in RED

- The requirements are either not in place or are in place, but the item poses an immediate risk to the successful completion of the project.
- Finance = <10% over budget estimate.
- Programme = delay that impacts/defers occupation of the asset, forcing 3rd party impact/input.
- H&S = Significant risk to project team and/or occupants.

#### A Items in AMBER

- The requirements are not in place and still require completing or are in place but there is risk to the project surrounding the item.
- Finance = >5% over budget estimate.
- Programme = delay that has the potential to delay task/activity however NOT operation and use of the asset.
- H&S = issue that has been recognised but is a manageable risk.

#### G Items in GREEN

- The requirements are in place and currently there is no risk to the project.
- Finance = within budget and contingency threshold.
- Programme = on programme to deliver asset by prescribed deadline.
- H&S = No Issues.
- 

## 3.3 Finance – Page 6

The finance page consists of the following financial information on the Capital Programme.

- Programme Finance Cashflow Summary & Notes
- Minor Works Financial Breakdown
- 5 Year Financial Programme Forecast
- Programme Summary (£)
  - Current Month Baseline
  - Current Month Actual
  - Variance from Baseline in Month
  - Cumulative Year to Date Baseline
  - Cumulative Year to Date Actual
  - Cumulative Variance Year to Date

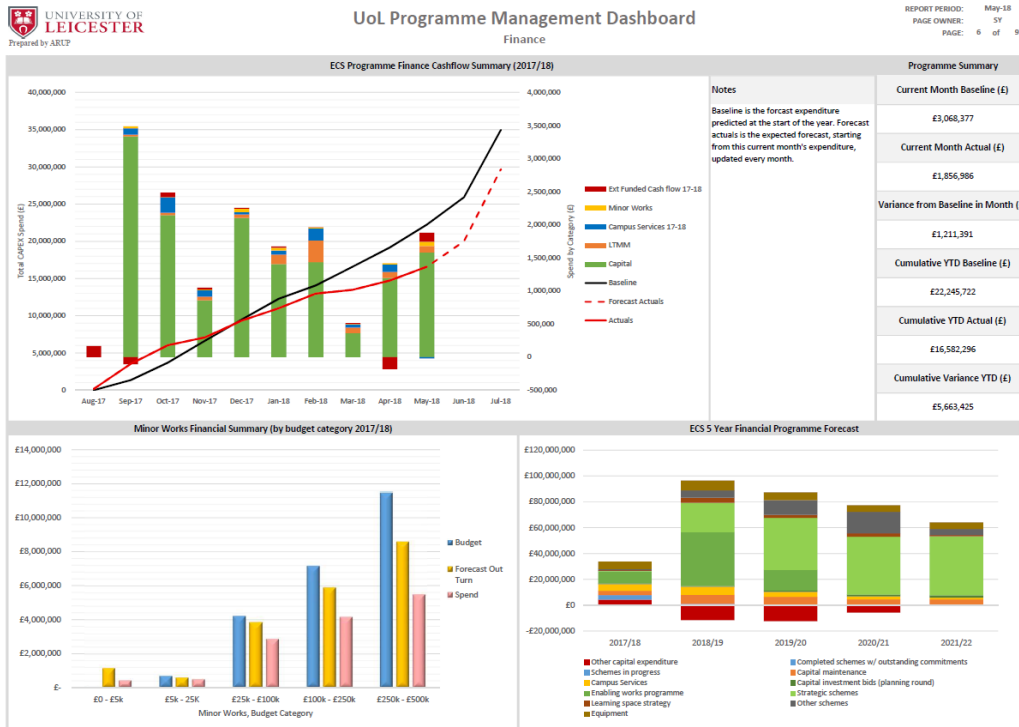


Figure 6 PMO Dashboard, Finance Page

### 3.3.1 Programme Finance Cashflow Summary

The programme finance cashflow summary graph displays capital projects by category, baseline forecast cashflow and forecast actual / actual. The update process is described below.

Step	Activity
<b>Step 1</b>	The categories are broken down within the Financial Tracker, “Forecast” tab, which includes the forecast finances (by certified invoices to the end of the month). The forecast finances are populated by the Project Manager / Quantity Surveyor, and the category defined by the PMO Manager (with Estates & Campus Services Leadership). Undertaken within the first week as part of updating the Financial Tracker (section 0).
<b>Step 2</b>	<p>The Forecast Approved Invoices summary table is at the bottom of the forecast spreadsheet (Figure 7) and highlights the actual approved invoices (light red) against future forecast.</p> <p>The PMO Manager should copy across figures in this table into the Project Cashflow Summary table (Figure 8) in the “Cashflows” tab of the PMO spreadsheet every month post PM update.</p>
<b>Step 3</b>	The Baseline forecast cashflow is taken from the Baseline Forecast summary table within the Financial Tracker (Figure 7). The PMO Manager should copy across figures into the Project Cashflow Summary table (Figure 9) in the “Cashflows” tab of the PMO spreadsheet. Note, these figures are fixed at the start of the year (August) and therefore this only needs to be done once per year.
<b>Step 4</b>	The PMO Manager should provide notes as to the status of expenditure, (e.g. why there is a predicted or actual overspend/underspend). This will require pro-active investigation by the PMO Manager, potentially talking to Finance / Project Managers and reviewing the updates within the Financial Tracker.

Financial Year 2017 - 2018 - Summary (Approved Invoices) and Future Forecast												
	Aug-17	Sep-17	Oct-17	Nov-17	Dec-17	Jan-18	Feb-18	Mar-18	Apr-18	May-18	Jun-18	Jul-18
Capital	-	3,338,412	2,146,874	857,960	2,102,957	1,406,196	1,435,896	363,198	1,194,575	1,579,541	3,106,208	8,881,553
LTMM	-	21,433	34,526	52,374	53,093	143,004	324,550	83,495	92,394	97,489	217,321	501,698
Campus Services 17-18	-	98,734	237,295	101,635	34,999	60,541	182,778	48,355	111,071	- 20,610	83,276	124,494
Minor Works	-	29,563	80	9,197	49,925	40,149	14,004	5,517	19,285	66,046	-	-
Ext Funded Cash flow 17-18	167,093	- 107,096	68,770	29,572	14,690	21,215	3,865	14,142	- 181,005	134,520	-	186,670
Total Monthly	167,093	3,381,047	2,487,544	1,050,739	2,255,664	1,671,106	1,961,093	514,707	1,236,319	1,856,985	3,406,805	9,694,415
Cumulative	167092.64	3,548,139	6,035,683	7,086,422	9,342,086	11,013,192	12,974,285	13,488,992	14,725,311	16,582,297	19,989,102	29,683,517

Financial Year 2017 - 2018 - Baseline Forecast (Approved Invoices): (Fixed in Aug 2017, DO NOT CHANGE)												
	Aug-17	Sep-17	Oct-17	Nov-17	Dec-17	Jan-18	Feb-18	Mar-18	Apr-18	May-18	Jun-18	Jul-18
Capital			1,921,710	2,602,576	2,788,093	2,679,401	1,724,691	2,461,912	2,359,562	2,890,389	3,041,208	8,815,553
LTMM			394,700	313,488	5,488	55,488	10,488	22,488	122,151	42,988	453,488	139,374
Campus Services 17-18			9,100	10,536	39,700	39,000	50,000	20,500	75,000	15,000	10,000	10,000
Minor Works			16,000	8,950	34,500	12,800	8,000		20,000	120,000	150,000	80,000
Ext Funded Cash flow 17-18		1,349,788						21,235				21,235
Total Baseline		1,349,788	2,341,510	2,935,550	2,867,781	2,786,689	1,793,179	2,526,135	2,576,713	3,068,377	3,654,696	9,086,162
Cumulative	0	1,349,788	3,691,298	6,626,848	9,494,629	12,281,318	14,074,497	16,600,632	19,177,345	22,245,722	25,900,418	34,966,580

Figure 7 Finance Tracker, “Forecast” Tab, Forecast Approved Invoices summary table (top); Baseline Forecast summary table (bottom)

	Budget	Spend To 31/07/17	Aug-17	Sep-17	Oct-17	Nov-17	Dec-17	Jan-18	Feb-18	Mar-18	Apr-18	May-18	Jun-18	Jul-18	Year 17/18 Actuals
Capital	505,065,326	91,073,826	-	3,338,412	2,146,874	857,960	2,102,957	1,406,197	1,435,896	363,198	1,194,575	1,579,541	3,106,208	8,881,553	12,793,137
LTMM	3,480,174	1,106,302	-	21,433	34,526	52,374	53,093	143,004	324,550	83,495	92,394	97,489	217,321	501,698	578,260
Campus Services 17-18	3,671,410	1,021,017	-	98,734	237,295	101,635	34,999	60,541	182,778	48,355	111,071	-20,610	83,276	124,494	1,113,291
Minor Works	902,171	18,266	-	29,563	80	9,197	49,925	40,149	14,004	5,517	19,285	66,046	-	-	133,239
Ext Funded Cash flow 17-18	824,676	897,254	167,093	-107,096	68,770	29,572	14,690	21,215	3,865	14,142	-181,005	134,520	-	186,670	31,246
Totals	513,943,757	94,116,665	167,093	3,381,046	2,487,545	1,050,738	2,255,664	1,671,106	1,961,093	514,707	1,236,320	1,856,986	3,406,805	9,694,415	14,649,173
Cumulative			167,093	3,548,139	6,035,684	7,086,422	9,342,085	11,013,191	12,974,283	13,488,991	14,725,310	16,582,296	19,989,101	29,683,516	

Figure 8 PMO Dashboard, “Cashflow” Tab, Project Cashflow Summary (Forecast Actuals / Actuals, column E to Q)

	Budget	Spend To 31/07/17	Aug-17	Sep-17	Oct-17	Nov-17	Dec-17	Jan-18	Feb-18	Mar-18	Apr-18	May-18	Jun-18	Jul-18	Year 17/18 Forecast
Capital	505,065,326	91,073,826			1,921,710	2,602,576	2,788,093	2,679,401	1,724,691	2,461,912	2,359,562	2,890,389	3,041,208	8,815,553	18,457,528
LTMM	3,480,174	1,106,302			394,700	313,488	5,488	55,488	10,488	22,488	122,151	42,988	453,488	139,374	628,320
Campus Services 17-18	3,671,410	1,021,017			9,100	10,536	39,700	39,000	50,000	20,500	75,000	15,000	10,000	10,000	199,874
Minor Works	902,171	18,266			16,000	8,950	34,500	12,800	8,000		20,000	120,000	150,000	80,000	35,000
Ext Funded Cash flow 17-18	824,676	897,254		1,349,788						21,235				21,235	90,000
Totals	513,943,757	94,116,665		1,349,788	2,341,510	2,935,550	2,867,781	2,786,689	1,793,179	2,526,135	2,576,713	3,068,377	3,654,696	9,066,162	19,410,722
Cumulative				1,349,788	3,691,298	6,626,848	9,494,629	12,281,318	14,074,497	16,600,632	19,177,345	22,245,722	25,900,418	34,966,580	

Figure 9 PMO Dashboard, “Cashflow” Tab, Project Cashflow Summary (Forecast Baseline, column R to AD)



### 3.3.2 Minor Works Financial Breakdown

The Minor Works Financial Breakdown shows spend of projects below £500k against their budget and forecast spend. The process is described below:

Step	Activity
<b>Step 1</b>	Forecast finances for minor projects are populated by the Project Manager / Quantity Surveyor within the Financial Tracker, "Forecast" tab. Undertaken within the first week as part of updating the Financial Tracker (section 0).
<b>Step 2</b>	Finance update the SAP Cost to date in the Financial Tracker. Undertaken within the first week as part of updating the Financial Tracker (section 0).
<b>Step 3</b>	The figures are drawn from the Financial Tracker, "Forecast" tab in the Minor Works Breakdown table at the bottom of the spreadsheet. The PMO Manager copies across figures to the PMO Dashboard, "Cashflow" tab (Figure 10).

Minor Works Breakdown 2017/18			
	Budget	Forecast	Spend TD
£0 - £5k	30,839	1,172,212	438,459
£5k - 25K	710,093	612,097	511,362
£25k - £100k	4,227,184	3,872,279	2,891,190
£100k - £250k	7,182,598	5,908,192	4,162,338
£250k - £500k	11,477,004	8,586,567	5,490,566

Figure 10 Finance Tracker, "Forecast" Tab, Minor Works Breakdown Table

	A	B	C	D
11	<b>Minor Works Breakdown 2017/18</b>			
12		Budget	Forecast Out Turn	Spend TD
13	£0 - £5k	30,839	1,172,212	438,459
14	£5k - 25K	710,093	612,097	511,362
15	£25k - £100k	4,227,184	3,872,279	2,891,190
16	£100k - £250k	7,182,598	5,908,192	4,162,338
17	£250k - £500k	11,477,004	8,586,567	5,490,566

Figure 11: PMO Dashboard, "Cashflow" Tab; Minor Works Breakdown Table

### 3.3.3 5 Year Financial Programme Forecast

The figures are currently drawn from a spreadsheet that Finance produced before the start of the financial year, and updated annually. The categories (below) are different to those within the Programme Finance Capital Summary, and therefore Estates & Campus Services Leadership / PMO Manager should reconcile which categories should be used or if this is acceptable. The data is within the “Financial Forecast” within the PMO Dashboard.

- Completed schemes w/ outstanding commitments
- Schemes in progress
- Capital maintenance
- Campus Services
- Capital investment bids (planning round)
- Enabling works programme
- Strategic schemes
- Learning space strategy
- Other schemes
- Equipment
- Other capital expenditure

### 3.3.4 Programme Summary

The Programme Summary information is populated automatically from the “Cashflows” tab, with data drawn from the Financial Tracker (see Section 0, same process). Details of figures below.

- Current Month Baseline – Forecast Baseline table (Figure 9); referencing the “Totals” row for the respective reporting month.
- Current Month Actual – Project Cashflow Summary table (Figure 8); referencing the “Totals” row for the respective reporting month.
- Variance from Baseline in Month – Difference between the Current Month Baseline and the Current Month Actual.
- Cumulative YTD Baseline – Forecast Baseline table (Figure 9); referencing the “Cumulative” row for the respective reporting month.
- Cumulative YTD Actual – Project Cashflow Summary table (Figure 8); referencing the “Cumulative” row for the respective reporting month.
- Cumulative Variance YTD – Difference between the Cumulative YTD Baseline and Cumulative YTD Actual.


### 3.4 Schedule – Page 7

The schedule page highlights key milestones outlined below.

- Gate 1
- Gate 2
- Planning Submission
- Planning Approval
- Tender Issue
- Tender Evaluation
- Start Construction
- End Construction
- Occupation Date

The milestones are conditionally formatted, turning red if forecast / actual surpasses the baseline date. Process for updating is outlined in the following steps:

Step	Activity
<b>Step 1</b>	Milestones information is updated by the Project Manager within the Financial Tracker, “Master Tracker” tab. Undertaken within the first week as part of updating the Financial Tracker (section 0).
<b>Step 2</b>	PMO Manager to copy figures from the updated Financial Tracker directly into the “Tracker (ref only)” tab. As this is a reference tab formatting is not a requirement, however it is important to check that project codes against the project data and headings are accurate; as the data is referenced automatically
<b>Step 3</b>	PMO Manager to input project codes for the desired projects to be reported on.  Note, data on the first ten projects within this sheet are automatically drawn into the Overview page (section 3.1.6). However, this can be overwritten by entering the project code for the desired project.
<b>Step 4</b>	Comments should be given by the PMO Manager for projects which indicate delays and should specifically address issues surrounding schedule (i.e. exclude financial updates). The commentary should follow what is written in the Finance Tracker / Programme Overview page (specific to milestones) and not contain any new information.



Prepared by: ARLP

### UoL Programme Management Dashboard

Schedule

# May-18  
PAGE OWNER: SY  
PAGE: 7 of 9

**Top Capex Projects this Financial Year - Programme Milestone Slippage Chart**

Project Code	Project		Gate 1	Gate 2	Planning Submission	Planning Approval	Tender Issue	Tender Evaluation	Start Construction	End Construction	Occupation Date	Comments
ER170015	Beaumont Hall Refurbishment Phase 2	Baseline	Completed	Completed	Completed	Completed	Completed	Completed	Completed	Completed	01-Nov-17	To be completed
		Actual/Forecast	Completed	Completed	Completed	Completed	Completed	Completed	Completed	Completed	01-Nov-17	
EC170001	Brookfield House Refurb Business School	Baseline	Completed	Completed	30-Jan-17	12-Jan-18	Completed	26-Apr-18	08-May-18	29-Mar-19	29-Mar-19	
		Actual/Forecast	Completed	Completed	30-Jan-17	12-Jan-18	Completed	26-Apr-18	08-May-18	29-Mar-19	29-Mar-19	
EM170008	Domestic water system improvements	Baseline	Completed	Completed	Completed	Completed	Completed	Completed	Completed	Completed	01-Jul-17	
		Actual/Forecast	Completed	Completed	Completed	Completed	Completed	Completed	Completed	Completed	01-Jul-17	
EC170000	Percy Gee East Wing Development	Baseline	24-Jul-14	13-Feb-18	01-Sep-17	15-Jan-18	Completed	13-Feb-18	05-Mar-18	29-Aug-19	01-Dec-19	
		Actual/Forecast	24-Jul-14	13-Feb-18	01-Sep-17	15-Jan-18	Completed	13-Feb-18	05-Mar-18	29-Aug-19	01-Dec-19	
EM180013	Enkalon House Alteration Works	Baseline	Completed	Completed	Completed	Completed	11-Dec-17	21-Jan-18	29-Jan-18	23-Apr-18	23-Apr-18	
		Actual/Forecast	Completed	Completed	Completed	Completed	11-Dec-17	21-Jan-18	29-Jan-18	23-Apr-18	23-Apr-18	
EC170010	Henry Wellcome Krios G3	Baseline	Completed	Completed	31-Oct-17	30-Jan-18	01-Sep-17	18-Oct-17	23-Oct-17	12-Jan-18	TBC	
		Actual/Forecast	Completed	Completed	31-Oct-17	30-Jan-18	01-Sep-17	18-Oct-17	23-Oct-17	12-Jan-18		
EC170002	Teaching and Learning Centre	Baseline	Completed	TBC	05-Mar-18	TBC	06-Nov-17	28-May-18	TBC	TBC	01-Jul-20	
		Actual/Forecast	Completed		05-Mar-18		06-Nov-17	28-May-18			01-Jul-20	
EC110001	Centre for Medicine	Baseline	Completed	Completed	Completed	Completed	Completed	Completed	Completed	Completed	01-Nov-15	
		Actual/Forecast	Completed	Completed	Completed	Completed	Completed	Completed	Completed	Completed	01-Nov-15	
EC170011	David Wilson Library - Learning Room	Baseline	Completed	Completed	Completed	Completed	Completed	Completed	Completed	Completed	01-Jan-17	
		Actual/Forecast	Completed	Completed	Completed	Completed	Completed	Completed	Completed	Completed	01-Jan-17	
ED160004	Attenborough Tower Refurbishment	Baseline	13-Jul-21	TBC	16-Dec-22	16-Feb-23	TBC	TBC	06-Apr-23	09-Oct-24	01-Jul-26	
		Actual/Forecast	13-Jul-21		16-Dec-22	16-Feb-23			06-Apr-23	09-Oct-24	01-Jul-26	
ED160006	MSB Phase 1 Refurbishment	Baseline	25-Nov-20	TBC	06-May-22	06-Jul-22	TBC	TBC	17-Aug-22	28-Feb-24	01-Jul-24	
		Actual/Forecast	25-Nov-20		06-May-22	06-Jul-22			17-Aug-22	28-Feb-24	01-Jul-24	
ED160005	Charles Wilson Building Student Svs	Baseline	17-Oct-18	TBC	TBC	27-May-20	TBC	TBC	08-Jul-20	19-Jan-22	01-Jul-23	
		Actual/Forecast	17-Oct-18			27-May-20			08-Jul-20	19-Jan-22	01-Jul-23	
EC170003	Innovation Hub (LH)	Baseline	Completed	16-Mar-18	Completed	Completed	Completed	Completed	26-Mar-18	20-Jul-18	13-Sep-18	
		Actual/Forecast	Completed	16-Mar-18	Completed	Completed	Completed	Completed	26-Mar-18	20-Jul-18	13-Sep-18	

Figure 12 PMO Dashboard, Schedule Page

### 3.5 Risk – Page 8

The risk page records the top programme and project risks across the Estates Capital Programme and is input by the PMO Manager.

#### 3.5.1 Programme Risks

Currently the programme risks are recorded directly within the “Page 8 – Risks” tab. The source of the programme risks comes directly from the PMO Manager, identifying risks through conversations with PMs, the Head of Programme (Major Projects) and the Finance department. This should be reviewed and updated monthly.

UoL Programme Management Dashboard										
Risk										
Top Programme Risks										
Projects / Stakeholders Affected	Description	Prop	Impact	RAG	Mitigation Action	Mitigation Status				
University Wide	Disruption to University traffic, pedestrianized pathways, parking, noisy works associated with ongoing capital programme.	3	3	9	Ongoing communications and stakeholder engagement strategy to be developed by Marketing and Comms in line with Capital Programme. Consistent approach to headings and signage.					
University Wide	Unknown scope for the development of Public Realm to develop a consistent central campus space. Subject to feasibility of Stamford Court & John Foster Facilities, Computer & Materials Centre, Multi-Disciplinary Lab and Charles Wilson Building.	4	5	20	Develop designs for Stamford Court & John Foster Facilities, Computer & Materials Centre, Multi-Disciplinary Lab and Charles Wilson Building so there is sufficient information to enable the Public Realm feasibility, informing the scope.					
Computer & Materials Centre / Multi-Disc Lab / MSB Refurbishment	Site for the new Computer & Materials Centre is not identified, results in a delay to the migration of IT services and Materials and hence the construction of the Multi-Disciplinary Lab. Delay to delivery of the Lab has an effect on the decant and refurbishment of MSB.	4	5	20	Undertake a feasibility study to outline options for migrating IT services and Materials to a new site (new build), existing accommodation or temporary accommodation enabling the timely start of construction for the Multi-Disc Lab.					
Percy Gee / Charles Wilson Building	Delays to Percy Gee construction programme impacts on the programme to migrate and refurbish the Charles Wilson Building.	3	5	15	Robust project management, oversight and frequent review of programme as Project Board and PEB level to mitigate potential delays.					
Top Project Risks										
Project Code	Project	Description	Probability	Cost	Schedule	Expected Cost Impact	Expected Schedule Impact	Mitigation Action	Mitigation Status	
EC170000	Percy Gee	Existing services (Utilities) found in close proximity to the excavation zone. Diversions required once services identified, which may be a significant challenge. Services will affect Fielding Johnson Square.	5	5	5	25	£40k	-	Undertake a sub site survey and a full review of record drawings. Utilities to be identified by further surveys, trial pits, liaise with UoL ITS to establish potential impact. Precise information required to be included within tender/contract package to manage risk exposure.	Temporary works redesigned to mitigate impact on services. Survey carried out by Open Reach and UoL on fibre optics, and services moved.
EC100000	Nixon Court facade remedial works	Solution will not be finalised for remedial works to address water ingress / fire stopping of the facade, before the commencement of the proposed Freeman's Common development to start late 2018.	5	5	4	25	£200k	-	Develop final solution for remedial works within Estates and Campus Services.	Indications are that full liability of the defects will go to the Contractor, however we await formal response from LCC Building Control.
EC170007	Charmwood Building 25 - Phase 1	Delays to programme through prolonged decision to undertake a lease for the whole building. Decision is on the critical path and required before starting surveys.	5	5	5	25	-	2 months	Raise decision to the Physical Environmental Group for undertaking the lease of the whole building	
EC170001	Brookfield Business School	Existing building condition not as expected leading to increased scope of works.	5	4	4	20	£30k	£2k	Undertake all necessary surveys to establish the existing building condition and provide scope of works as required. Where new items are discovered during the works, Design Team are to respond quickly to establish any new requirements.	

Figure 13 PMO Dashboard, Risk Page

#### 3.5.2 Project Risks

The highest project risks are identified through the collation of all project risk registers, provided by the PMs, using expected monetary value (EMV). EMV is a calculation used to estimate the statistical impact of a risk, multiplying the probability by the potential cost impact (formula below). It can be reasonably assumed that risks with the highest EMV offer the greatest financial risk to the University. A similar calculation can be done for programme delays, however caution will have to be taken as the calculation assumes the impact of the risk is on the critical path.

$$EMV (\text{£}) = \text{Probability (\%)} \times \text{Cost Impact if Risk Occurs (\text{£})}$$

The values for probability (likelihood) is in column D, most likely cost impact in column H and programme column I within the Project Risk Register. The PMO Manager should undertake the EMV calculation on all major project risk registers and incorporate the highest risks within the dashboard.

Ref	Causation	Risk Item	Probability	Cost	Programme	Ranking	Expected Most Likely Cost Impact £'s	Expected Programme Impact (weeks)	Control Measures	Risk Response	Owner	Action Date	CLOSED
1	Commercial	<b>Scope Creep</b> Users modify their expectations/requirements as the design progresses	3	3	3	9			Treat	Define user requirements and get them signed off at the start. Indicate what development flexibility is allowed for.			
2	Health and Safety	<b>Safety risk for campus users</b> Potential harm to campus users from construction activities	5	4	3	20			Treat	Proper site demarcation and fencing. Control management of deliveries. Regular liaison with contractors safety management			
3	Planning	<b>Planning delays</b> Listed building could involve significant planning constraints	2	2	2	4		3	Treat	Early meetings between planners and design team to discuss options			
4	Construction	<b>Insufficient utility services</b> Problems with electricity/water/drainage capacity to the proposed site	2	3	3	6	£7,000.00		Contingency	Early surveys to assess capacity available. Enhance site utilities if required			
5	Strategic	<b>Project is required earlier than is possible</b> Realistic delivery timescale exceeds the need	4	3	1	12			Contingency	Options study to look at temporary accommodation or phasing the work. May need to abandon the proposed project.			
6	Construction	<b>Unforeseen ground conditions</b> ground conditions affect design details and require changes	3	4	5	15	£5,000.00	6	Treat	Undertake proper desk study/site investigation before design. Allow contingency.			

Figure 14: Project Risk Register

### 3.6 Health & Safety – Page 9

This page is currently under development by Callidus. The PMO Manager should coordinate with Callidus to incorporate the relevant KPIs / dashboard into this report.

The Programme Dashboard references the Health and Safety page provided by Callidus for each monthly reporting cycle.

## Appendix A

### Project Dashboards

## A1 Major Projects Dashboard

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The project Dashboard is primarily used for Major Capital Projects and reported monthly by Project Managers. This information held within the dashboard is used to inform the Financial Tracker and Programme Dashboard. This includes:

- Project Summary Update
- RAG Status
- Milestones
- Key Decisions and Actions
- Risks
- Project Changes



## A2 Minor / Maintenance Projects 4-Box Report

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The 4 Box Report is a smaller more condensed monthly report intended for Maintenance and Minor Projects. This is better suited to these types of projects as they are typically shorter in nature, where Project Managers will be managing many of these. As a result, the 4 box report is a more pragmatic approach to reporting which is not too onerous to complete.

## **Appendix B**

### **PMO Dashboard**

# B1 PMO Dashboard Template

---



Change Control

<b>Change Control</b>	
Issued to Date	0
Closed Out	0
Open	0
New in Period	0

input  
input  
Auto  
input

#DIV/0!

< 74.9%
75.0 - 89.9%
> 90.0%

Variations / Instructions / CE's

<b>Compensation Events / Instructions</b>	
Issued to Date	0
Closed Out	0
Open	0
New in Period	0

input  
input  
input  
input

#DIV/0!

< 74.9%
75.0 - 89.9%
> 90.0%

<b>Contingency</b>	
Budget Allowance	£0
Current FA Build	£0
Current FA Allowance	£0
% against forecast FA Build	#DIV/0!
% against current risk register	0

Auto  
Auto  
Auto  
Auto  
input

< 4.9%
5.0 - 9.9%
> 10.0%

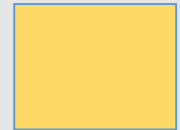
# PROJECT MANAGER 4-BOX UPDATE REPORT (Internal)

Key

Not on plan or recoverable	On plan
Not on plan & recoverable	complete

**Project Name:**  
**Programme Title:**

**Date:**  
**Development Lead:**



## Programme Milestones:

Upcoming Milestones	Date / Status	Major Milestones	Date / Status
		RIBA 2 – Concept Design Sign Off	23 June 18
		RIBA 3 – Developed Design Sign Off	
		RIBA 4 – Technical Design Sign Off	
		Planning Submission	
		Planning Approval	
		Tender Issue	
		Tender Return	
		Tender Analysis Complete	
		Signed Contract	
		Construction Start	
		Practical Completion	
		Occupation Date	

## Activities Last Period:

## Decisions / Help Required:

## Activities Next Period:

## UoL ECS Capital Programme Management Office Dashboard

### Contents

1. Cover Page
2. Overview
3. Key Performance Indicators, >£5m
4. Key Performance Indicators, £1m - £5m
5. Key Performance Indicators, £500k - £1m
6. Finance
7. Schedule
8. Risk
9. Health and Safety

The purpose of the PMO Dashboard is to act as a reporting tool for the PMO function, to report to the Department of Estates & Campus Services on the University Capital Programme. The information in this dashboard highlights any key decisions / actions to be undertaken, and issues that need to be escalated through the University. It also provides an update on the KPIs noted below:

- Programme
- ▣ Finance
- ▣ Planning
- ▣ Risk
- Health & Safety

This will be updated at the end of the second week every month, following completion of the financial tracker. The sources of information are as follows:

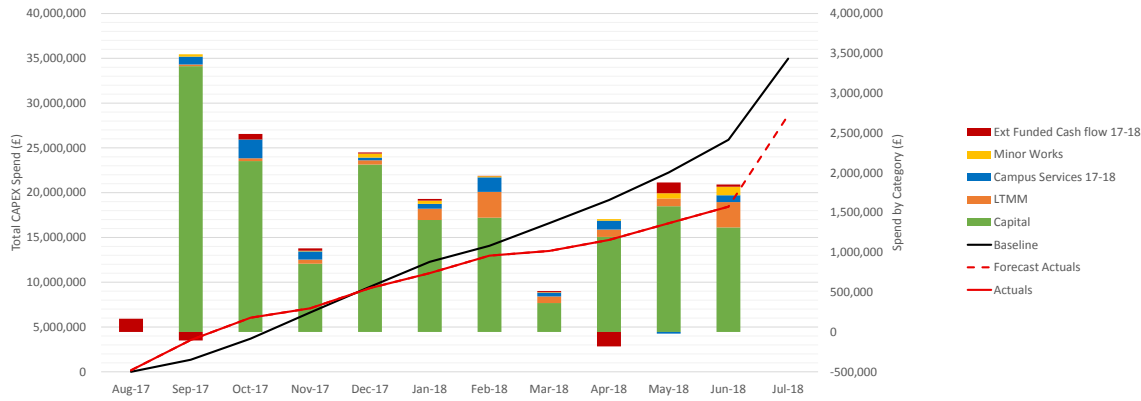
- The general updates, schedule and risk information is provided by the University Project Manager.
- Financials are provided by the University Finance Department
- Health & Safety updates are extracted from the contractor's report and varified by the University Project Manager.

### Document References

The PMO dashboard is referenced from the PMO Financial Tracker and Project Dashboard.

A PMO Dashboard User Guide is available, outlining the sources of information and how to navigate / populate the dashboard.

### Financial Year End - 2017/18 Cash Flow



Year End - 2018/19 Financial Summary		P Code.	Top Projects in CAPEX, 2017/18 Financial Year	Budget	2017/18 Spend	Total Spend
Current Month Baseline	£3,654,696	ER170015	Beaumont Hall Refurbishment Phase 2	£3,985,770	£3,721,168	£4,342,876
Current Month Actual	£1,853,117	EC170001	Brookfield House Refurb Business School	£15,800,000	£1,663,663	£2,344,141
Variance from Baseline in Month	£1,801,579	EM170008	Percy Gee East Wing Development	£21,193,000	£1,570,615	£2,404,891
Cumulative Variance (Year to Date)	£7,465,004	EM170008	Domestic water system improvements	£2,150,000	£1,360,094	£1,978,601
Cumulative Variance (Year to Date)	29%	EM180013	Enkalon House Alteration Works	£1,647,000	£1,035,416	£1,035,416
		EC170010	Henry Wellcome Krios G3	£750,000	£703,751	£703,751
		EC170002	Teaching and Learning Centre	£30,300,000	£590,712	£1,230,922
		EC170011	Mary Gee Refurbishment *Cancelled*	£12,792,000	£555,342	£824,118
		EC110001	Centre for Medicine	£41,900,000	£495,145	£39,755,410
		EC170009	David Wilson Library - Learning Room	£400,000	£389,734	£397,607

### Programme Schedule. Top Projects in CAPEX for 2017/18

Project Code.	Project	Gate 1	Planning Submission	Planning Approval	Tender Issue	Gate 2	Start on Site	Construction End	Occupation Date
ER170015	Beaumont Hall Refurbishment Phase 2	Baseline	TBC	TBC	TBC	TBC	TBC	TBC	01-Nov-17
	Actual / Forecast								01-Nov-17
EC170001	Brookfield House Refurb Business School	Baseline	29-Sep-17	11-Jan-18	08-Jan-18	28-Mar-18	07-May-18	29-Mar-19	12-Apr-19
	Actual / Forecast		29-Sep-17	11-Jan-18	08-Jan-18	28-Mar-18	07-May-18	05-Apr-19	
EM170008	Domestic water system improvements	Baseline	TBC	TBC	TBC	TBC	TBC	TBC	01-Jul-17
	Actual / Forecast								01-Jul-17
EC170000	Percy Gee East Wing Development	Baseline	24-Jul-14	01-Sep-17	15-Jan-18	17-Oct-17	13-Feb-18	05-Mar-18	29-Aug-19
	Actual / Forecast		24-Jul-14	01-Sep-17	15-Jan-18	17-Oct-17	13-Feb-18	05-Mar-18	29-Aug-19
EM180013	Enkalon House Alteration Works	Baseline	TBC	TBC	TBC	11-Dec-17	29-Jan-18	TBC	TBC
	Actual / Forecast					11-Dec-17	29-Jan-18		23-Apr-18
EC170010	Henry Wellcome Krios G3	Baseline	31-Oct-17	30-Jan-18	01-Sep-17	TBC	23-Oct-17	12-Jan-18	01-Apr-18
	Actual / Forecast						23-Oct-17	12-Jan-18	
EC170002	Teaching and Learning Centre	Baseline	TBC	05-Mar-18	09-Apr-18	06-Nov-17	TBC	TBC	01-Jul-20
	Actual / Forecast					06-Nov-17			
EC110001	Centre for Medicine	Baseline	TBC	TBC	TBC	TBC	01-Mar-18	01-Sep-18	01-Nov-15
	Actual / Forecast						01-Mar-18	01-Sep-18	01-Nov-15
EC170011	Mary Gee Refurbishment *Cancelled*	Baseline	TBC	TBC	TBC	TBC	TBC	TBC	TBC
	Actual / Forecast								
ED160004	Attenborough Tower	Baseline	13-Jul-21	16-Dec-22	16-Feb-23	TBC	TBC	06-Apr-23	01-Jul-26

### Health & Safety

Statistics are from May 2018 - July 2018. Please refer to Page 9 - Health & Safety for further information.

Total Number of Active Project (Past 6 Months)	17
No. of Projects on Site (>£500k)	5
Number of HSE Reportable Incidents	

### Programme Summary

Brookfield Business School has started on site, and with asbestos continually being found during strip out. A 'notice of potential delay' has been issued by the contractor, however adjusted dates have been reviewed with the client and Move Manager and no operational impact is anticipated.

Freeman's Common will be divided into two phases (completion: 2020/21 Phase 1 and 2021/22 Phase 2). The scope of the early works package is still to be defined and delays to planning have been experienced. The contractor has submitted a claim for design changes associated with planning requirements. This is under negotiation.

Teaching and Learning Centre is currently going through a value engineering exercise, finding £4m worth of savings to align with the budget. Programme under review, following the contractor withdrawing from the project and wider Freeman's Common scheme.

Leicester Innovation Hub works remain on programme, and positively the budgetary pressure has been reduced. The procurement of the furniture and a review of the IT scope of works has identified a saving of circa £35k, which means the capital outturn cost (excl. the AV wall) is at this time not predicted to require allocation of the ring fenced ERDF contingency.

Percy Gee East Wing Development is continuing on site. Contractor has requested a 7 week extension associated with asbestos removal and relocation of existing services.

Space Park (Phase 1) has an approved revised budget of £20.4m from Finance Committee. Planning application anticipated to be made end of July 2018.

Extent of the Nixon Court façade remedial works are being calculated. LCC Building Control indicates that full liability of defects will go to the contractor (Wilmott Dixon, circa £200k), but a formal response is expected in June 2018. Risk that works are not completed before the commencement of the proposed Freeman's Common development to start late 2018.

Charnwood Building 25 Phase 1, has increased in scope to include the whole building rather than a sub-lease for part of the building. A decision will be required to agree the leasing the whole building, before starting intrusive surveys (circa £140k). Delay to this decision directly impacts the overall programme.

Stamford Court and John Fosters Facility refurbishment appointing design team, expected in July 2018.

### Key Issues / Decisions

Description	Decision Owner(s)	Decision Required by
The following projects have been approved to proceed to the feasibility stage (Gate 0). Outline business cases and Project Charters will be developed and will require sign off (Gate 1). - Stamford Court and John Fosters Facility - Computer & Materials Centre - Multi Disciplinary Lab - Charles Wilson Building	Physical Environment Board	TBC
Decision to enter into a full building lease for Charnwood Building 25 is required before undertaking intrusive surveys (circa £140k). This item is on the critical path, and is already directly impacting on the programme.	Physical Environment Board	As soon as practical
Define scope commence work on Nixon Court façade remedial works before it impacts on the Freeman's Common programme starting late 2018.	Estates and Campus Services	As soon as practical
Determine next steps in progressing the Freeman's Common scheme following the contractor withdrawing from the process.	Estates and Campus Services	As soon as practical

### Programme Risks

Below is the summary of the programme risks. Please refer to Page 8 - Risk for further information.

Projects / Stakeholders Affected	Description	RAG
University Wide	Disruption to University traffic, pedestrianized pathways, parking, noisy works associated with ongoing capital programme.	9
University Wide	Unknown scope for the development of Public Realm to develop a consistent central campus space. Subject to feasibility of Stamford Court & John Foster Facilities, Computer & Materials Centre, Multi-Disciplinary Lab and Charles Wilson Building.	20
Computer & Materials Centre / Multi-Disc Lab / MSB Refurbishment	Site for the new Computer & Materials Centre is not identified, results in a delay to the migration of IT services and Materials and hence the construction of the Multi-Disciplinary Lab. Delay to delivery of the Lab has an effect on the decant and refurbishment of MSB.	20
Percy Gee / Charles Wilson Building	Delays to Percy Gee construction programme impacts on the programme to migrate and refurbish the Charles Wilson Building.	15





# UoL Programme Management Dashboard

## Key Performance Indicators - Projects >£5m

Capex Projects, Financial Year (2017/18)															
Project Code	Project	Approved Budget	Projected Out-turn	Site Programme	Forecast Completion Date	Prg	Fin	Pln	Risk	H&S	Programme	Finance	Planning	Risk	Health & Safety
	Brookfield School of Business	£15,800,000	£15,800,000	27 Feb 18 – 29 Mar 19	29 Mar 19	↓	→	→	→	→	Works within the PGTC are ongoing. Further items of asbestos are continually found during the soft-strip/demolition work and these are being addressed on a case-by-case basis. A 'notice of potential delay' has been issued by the contractor. No formal Extension-of-Time, or detailed evidence, has been received and this has been requested. These adjusted dates have been reviewed with the client and Move Manager, no operational impact is anticipated.	Henry Boot appointed for a contract value of £8.6 million ex VAT.  Projected out turn to fall within budget.	Planning approved.	A risk workshop was held in July 2018 with the design team and the contractor (Henry Boots).  The demolition works do carry a risk to the programme where additional items of asbestos are found.  There are a number of post-tender variations and items not captured under the contract that require an urgent instruction for programme purposes, (~£200k).	
	Freemen's Common	TBC	TBC	Summer 2018 Early Works, main programme Autumn 2018	2020/21, phase 1 2021/22, start of term phase 2	→	→	→	→	→	An early works package (EWP) has been received from the partner the scope of which was too large, costly and has been rejected.  We are working on agreeing an EWP which delivers a clear site and discharges certain ground and asbestos risks at a cost of below £2m. The impact of this and the delay in planning approval is such that a two phased approach to delivery will be required.	The Contractor has submitted a claim for additional costs for design changes due to planning requirements. These remain under negotiation and will continue to be and open issue until financial close (forecast 31 October 2018).  The move to a two phase build will increase the cost of the project but we will work to mitigate this and the cost will not be above the approved budget.	The earliest date by which the scheme will reach committee is July 2018 with a more realistic date of September 2018.  In part this is due to LCC processes and the size of the scheme meaning they are unable to commit to a fixed planning committee date.	Programme is under significant pressure due to the planning delay and changes.  It is now certain that there will be two phases to this project – with some residences delivered for 2020/ 21 and others for 2021/22 – this does not put pressure on rooms as the delay can be mitigated through nominations but will have a claimed cost impact.	
	Percy Gee East Wing Development	£21,230,000	£21,230,000	01 Mar 18 – 26 Aug 19	26 Aug 19	↓	→	→	→	→	Contractor has provided notification to the team that they are in delay, an extension of time notice for 7 weeks has been issued. The claim is in relation to the relocation of existing services within the building, the subsequent removal of asbestos in the lower basement areas and obstructions that have been identified in the ground during excavation for the foundations. Contractors are currently working weekends in order to mitigate the stem of programme delays.	Scheme is being managed in line with budgets.	Planning consent has been received from LCC, including 8 planning conditions, 2 of which are pre-commencement. The pre-commencement conditions have been approved by LCC. 2 nr amendments are expected to be submitted in respect of the plant screen and commercial kitchen extract.	Concern over the condition of the existing services and building, impacting on the programme.	
	Space Park Leicester (Phase 1)	£20,400,000	£20,400,000	Jan 2019 – Jun 2020	01 Jun 20	→	→	→	→	→	The prolonged engagement with the Mayor has resulted in a delay to the planning submission. This has resulted in RIBA 3 report being pushed back to mid August, prioritising the collation of design information for the Mayor. This will not impact on the overall programme, tenders will still be issued as per the original programme.	Finance committee approved a new budget of £20.4m. Current estimate is £20.4m. Negotiation in relation to cost of land (not included in above figure) is ongoing. Awaiting a response from LCC (expected in July) on defining the developable area.	Planning documents are being compiled, with submission planned for 31 July 2018; 3 weeks later than anticipated. This is associated with prolonged engagement with the Mayor.	Some risks exist in respect of closing out the deal for the land, and agreement of the specification / condition the site will be handed over to the University.	
	Teaching and Learning Centre	£30,300,000	£34,300,000	TBC	TBC	→	↑	→	→	→	The procurement process has been delayed in the period by 2 weeks, however this is still in advance of the Freeman's Common programme.  The overall construction programme is to be confirmed and is subject to agreement on the wider Freeman's Common scheme. It is important to note that current discussions may result in T&LC completion and occupation date being adjusted to Autumn 2020 (c. 6 months later). This will be reviewed.	Package returns have been received. A number of packages are placing pressure on the overall budget; however, this is being managed by the project team. Value engineering is ongoing and expected to continue to get back to budget. Approximately £4m over budget, with £2.35m of target savings have been identified.	The planning risk has been negated as much is feasible through pre-application dialogue. However, this remains a key risk despite encouraging feedback from LCC Planning department. Date for Planning Committee is to be determined and hence decision on planning approval.	Failure to meet financial close on Freeman's Common scheme.  Planning approval.  Continued market testing of the cost estimate highlights inadequacy within the budget.  Specific areas of risk at this time are the groundworks, envelope and M&E.	
	Learning & Space Strategy – Programme of Work	TBC	£10,000,000	TBC	TBC	↓	↓	→	↓	→	Individual project programmes for delivery in 2018/19 currently on programme, however to maintain this we will need to commission enabling works packages on the basis that all costs are not fully tested.  A paper is being prepared to communicate this at LSS Project Board in June 18.	'Programme' currently on budget.  Budgets have been established and await market testing (receipt of tenders) to fully test cost.	No current issues.	To reflect need for 'enabling' works and receipt of affordable tenders.	

**KPI Definitions**


Prg: Programme

Fin: Financial

**RAG Status**

Red: Not performing requires immediate attention

Amber: Not performing, being managed

**Trend**
 No change

 Increase



# UoL Programme Management Dashboard

## Key Performance Indicators - Projects £1m - £5m

Capex Projects, Financial Year (2017/18)															
Project Code	Project	Approved Budget	Projected Out-turn	Site Programme	Forecast Completion Date	Prg	Fin	Pln	Risk	H&S	Programme	Finance	Planning	Risk	Health & Safety
	Beaumont Hall (Phase 2)	£3,980,000	£4,560,000	30 May 17 – 26 Oct 17	07 Dec 17	↑	→	→	↓	→	Changed from Amber to Green to reflect completion of rectification works (flood damage since Practical Completion and occupation).  Lessons Learned exercise undertaken in the period to establish what action needs to be taken to mitigate against future poor project delivery. Final 'report' to be issued for 'final' comment 25 May 18.	Status un-changed in the period to represent agreement of final account.  A budget increase of £560k has been approved.  The cost apportioned to all flood damage (pre-Christmas 2017, and Easter 2018) will be deducted from that Final Account i.e. no additional cost to the university.	No issues.	Status un-changed to reflect investigation works that are on-going to mitigate re-occurrence of flood damage.	
	Enkalon House	£1,650,000	£1,650,000	29 Jan 18 – 2 Apr 18	02 Apr 18	→	→	→	→	→	All works Complete	<del>Scope above project currently being covered</del> Final Account in the process of being agreed and will be under budget	Not required	Outstanding risk remains within the condition of the windows. A report is being prepared with options to repair (quotations awaited).	
	Leicester Innovation Hub	£1.02M (ERDF Grant plus £90k ring fenced contingency)	£1,026,000	Mar 18 - Aug18	01 Aug 18	→	→	→	→	→	The works continue to be focused on delivery in time for the opening on 13th September.	The procurement of the furniture and a review of the IT scope of works has identified a saving of circa thirty five thousand pounds, which means the capital outturn cost (excl. the AV wall) is at this time not predicted to require allocation of the ring fenced ERDF contingency.  A meeting to agree the costs was held on by the Project Team on Friday 22nd June. Agreement on a number of variations has been reached.	It is not intended to apply for conservation area permission as there will be no external work. Advertising / planning consent will be required for external signage, this is not currently expected to delay completion.	Receipt of ERDF monies. Engagement timeline in place to for RED to secure ERDF funding.  Key programme risks are the procurement of the reception desk, furniture and AV wall; at this time all remain on programme but their is no time contingency in these works.	
	Charnwood Building 25 – Phase 1	£4,630,000	£4,630,000	Nov 18 - Jul 19	01 Jul 19	↓	↓	→	↓	→	Programme is currently in delay due to HoT agreement being outstanding. Now on critical path so each week delay pushes the completion date back a week.	Scope has increased from original intent in that the University is taking on the whole building rather than a sub-lease for part of the building. This brings additional risk and cost.	Awaiting development of programme to engage with change of use.	Major risk is the agreement for lease, programme is now in delay.  Risk profile and exposure has increased as a result of the University taking the whole building in a full repairing lease.	
	Nixon Court façade remedial works	N/A	N/A	Dependent upon discussions with Building Control	Unknown at this stage	↑	→	→	↓	→	Status changed from Red to Amber to reflect recent meetings with LCC Building Control. Indications are that full liability of the defects will go to the Contractor, however we await formal response from LCC (expected by end May 18). Direct discussions will then be had with the Contractor to establish extent of intervention and works programme.	Retention being held against Wilmott Dixon (circa £200k). Once a final design solution is agreed and liability established, we (UoL) may decide to contribute to improve fire integrity to all blocks. LCC Building Control's expected response may only refer to fire integrity of the two (of five) higher blocks, however a moral question may be posed to the university to address all blocks which will incur a re-cladding cost. Costs are currently being estimated.	To be discussed once the final solution is agreed.	Risk that a solution will not be in place before the commencement of the proposed Freeman's Common development to start late 2018.	
	Adrian Building	TBC	TBC	TBC	TBC	→	→	→	→	→	Revised Stage 0 report is to be presented in May 18 with proposals for stage 1 -4 to be established	Budget costs to be reviewed based on stage 1 -4 proposals	It is not envisioned that there will need to be any planning applications	Programme is due to start in August 18 but has not been agreed as yet.	

**KPI Definitions**

 Prg: Programme  
 Fin: Financial

**RAG Status**

 Red: Not performing requires immediate attention  
 Amber: Not performing, being managed  
 Green: Progressing / performing as expected

**Trend**

 → No change  
 ↑ Increase  
 ↓ Decrease

# UoL Programme Management Dashboard

## Key Performance Indicators - Projects £500k - £1m

Capex Projects, Financial Year (2017/18)															
Project Code	Project	Approved Budget	Projected Out-turn	Site Programme	Forecast Completion Date	Prg	Fin	Pln	Risk	H&S	Programme	Finance	Planning	Risk	Health & Safety
	DWL Silent & Collab Learning Space	£697,980	£700,245	7 May 18 - 7 Sep 18	Sep 18	↓	→	→	→	→	Works have been put on hold whilst the business case is being signed off. Decision required to proceed needed by 13 July 18. This is likely to lead to at least a weeks extension to the programme meaning the works will run into the start of the new academic year.	No issues.	N / A	Large disruption associated with works continuing into the start of the new academic year. PM to mitigate impacts where possible.	
	Non-Residential DX items building remedi	£600,000	TBC	Jun 18 - Jul 18	31 Jul 18	→	→	→	→	→	Specify fire safety improvement works for pricing by 04/06/18. All outstanding works to be specified and priced by end of June latest. All works to be completed by end of financial year (end of July)	Adrian generator works (£40k nett) and RKCSB / Hodgkin R22 works (£72.8k nett) to be capitalised.  Projected spend following further investigation into original D&K output circa £257k incl. VAT. Projection includes a reduced sum of £18k incl. VAT contingency. Including professional fees.	Input required into preferred option of remedial works to the Engineering Building from the Conservation Officer	Need to finalise specifying fire safety improvement works following receiving the FRA (budget figure of circa £15k net allocated). Specification still to be confirmed for the Hodgkin water storage tank remedial works. Remedial works to RKCSB cold rooms to be defined.	
	Residences Projects Reqd D&K Survey	£500,000	TBC	Jun 18 - Jul 18	31 Jul 18	→	→	→	→	→	Demolition works for Treroose garage by 16/07/18 (on plan). All outstanding works to be specified and priced by end of June latest. Specify fire safety improvement works for pricing by 04/06/18. Works to be completed by end of financial year (end of July).	Projected spend following further investigation into original D&K output circa £127k incl. VAT. Contingency reduced since last update. Projection still includes £9.6k incl. VAT contingency. Including professional fees. All outstanding works to be specified and priced by end of June.	All requirements agreed with residences on the Treroose garage. Planning application submitted as scheduled (11/05/18).	Need to finalise specifying fire safety improvement works following receiving the FRA (budget figure of circa £30k net still allocated).	
	George Porter Lecture Theatre Refurbishment	£564,000	£714,558	18 Jun 18 - 21 Sep 18	Sep 18	↓	↑	→	↑	→	Works are progressing well on site, most of the strip out works are now complete. During the strip out process it has been discovered that one of the masonry infill panels around the concrete frame needs to be rebuilt. This may result in a change - TBC Furniture is nearly ready to order and the AV equipment has already been ordered to meet the deadlines.	Anticipated to be delivered within budget.	N / A	Risk to programme associated with the unforeseen remediation works to masonry infill panels around the concrete frame. PM working to absorb within overall programme.	
	Adrian Building Fire Alarm Replacement	£507,500	£507,501	Mar 18 - Jul 18	Jul 18	→	→	→	→	→	Works started on the 5th March and are programmed for completion the second week of July or earlier if possible. Installation of new devices has commenced and is on schedule with no time lost over the new design.	No issues.	N / A	Additional unforeseen works.	

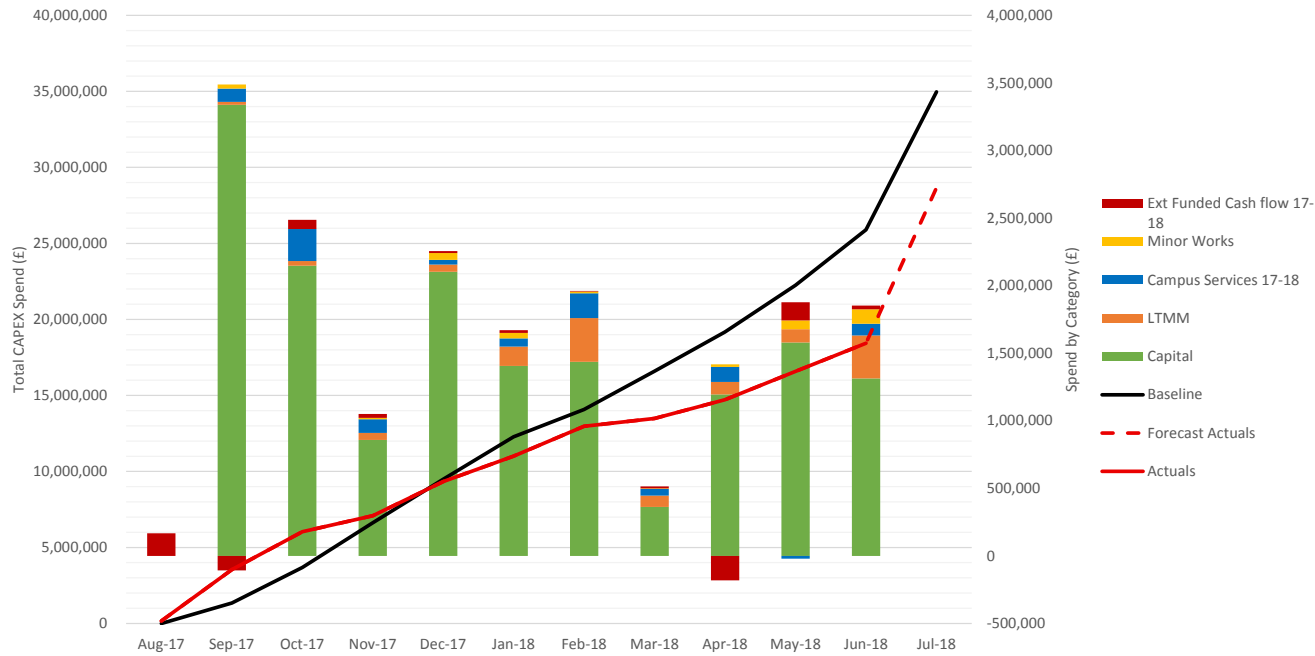
<£500k Projects by Exception, Financial Year (2017/18)															
Project Code	Top Projects	Approved Budget	Projected Out-turn	Site Programme	Forecast Completion Date	Prg	Fin	Pln	Risk	H&S	Programme	Finance	Planning	Risk	Health & Safety

<b>KPI Definitions</b> Prg: Programme    Pln: Planning Permission Fin: Financial    Risk: Risk	<b>RAG Status</b> Red: Not performing requires immediate attention Amber: Not performing, being managed Green: Progressing / performing as expected	<b>Trend</b> → No change ↑ Increase ↓ Decrease	<b>Trend</b> → No change ↑ Increase ↓ Decrease
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# UoL Programme Management Dashboard

## Finance

### ECS Programme Finance Cashflow Summary (2017/18)



#### Notes

Baseline is the forecast expenditure predicted at the start of the year. Forecast actuals is the expected forecast, starting from this current month's expenditure, updated every month.

### Programme Summary

#### Current Month Baseline (£)

£3,654,696

#### Current Month Actual (£)

£1,853,117

#### Variance from Baseline in Month (£)

£1,801,579

#### Cumulative YTD Baseline (£)

£25,900,418

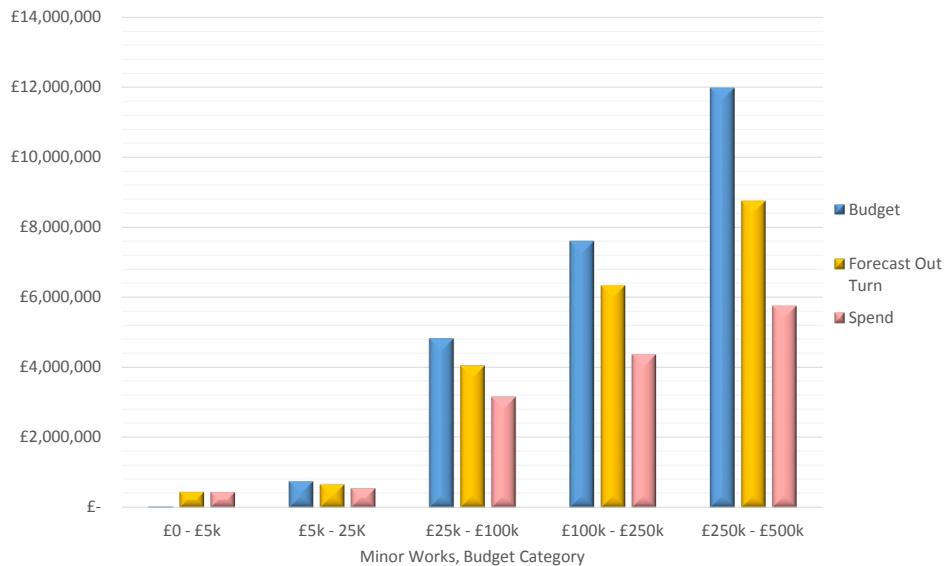
#### Cumulative YTD Actual (£)

£18,435,414

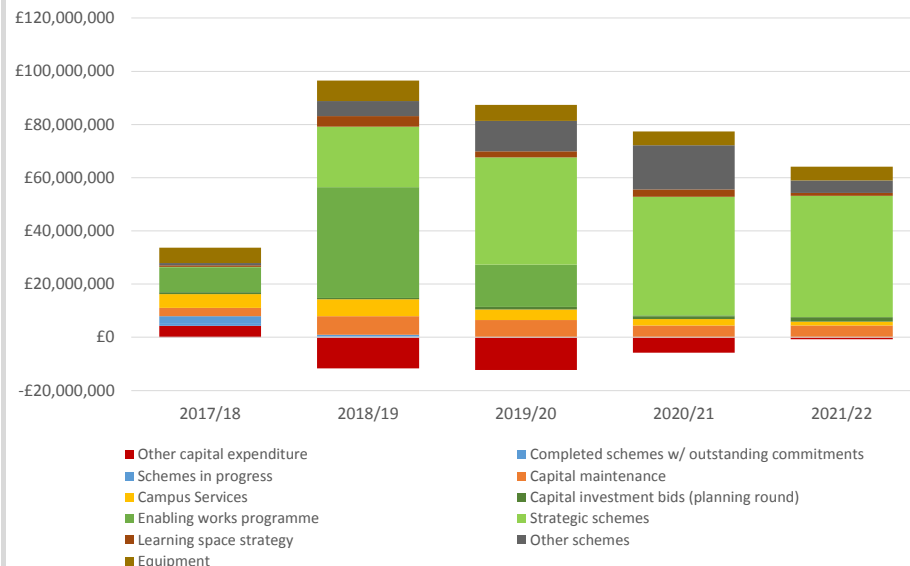
#### Cumulative Variance YTD (£)

£7,465,004

### Minor Works Financial Summary (by budget category 2017/18)



### ECS 5 Year Financial Programme Forecast









## Health & Safety

PROJECT ACCIDENT & INCIDENT DATA			Incident Analysis Jun-18			
Cat No	Category description	Jun-18	Incident date	Category	Incident details	Closed out?
1	1. RIDDOR specified injury	-	01/01/18	7	Falling object narrowly missed operative.	
2	2. RIDDOR 7-day reportable injury	-				
3	3. RIDDOR Dangerous Occurrence	-				
4	4. Lost-time injury	-				
5	5. Minor accident requiring first aid	1				
6	6. H&S incident (no injury)	1				
7	7. Near miss	3				
8	8. Environmental incident	-				

Key Issues / Safety Focus Topics			Inductions completed			
Date	Auditor	Closed out?	Week commencing	Number	Subject of Talk	No of Attendees
			11/06/18		Work at height	30

Key Issues / Safety Focus Topics			Tool Box Talks Completed			
Date	Auditor	Closed out?	Week commencing	Number	Subject of Talk	No of Attendees

Key Issues / Safety Focus Topics			Tool Box Talks Completed			
Date	Auditor	Closed out?	Week commencing	Number	Subject of Talk	No of Attendees

Capital Programme  
Financial Forecasts 2018

SAP project code	Project title	Category	Planned completion date	Planning period					Outside of planning period					N = C to M	O = A - N			
				A	B	C	D	E	F	G	H	I	J			K	L	M
				Approved / planned project budget	2017/18 budget	Actual spend to 2016/17	2017/18	2018/19	2019/20	2020/21	2021/22	2022/23	2023/24			2024/25	2025/26	2026/27
<b>Completed schemes w/ outstanding commitments</b>				Budget £	Budget £	Actual £	Forecast £	Forecast £	Forecast £	Forecast £	Forecast £	Forecast £	Forecast £	Forecast £	Forecast £	Forecast £		
EA160022	Storage facility CRF	Other campus projects		78,000	-	18,220	52,704	-	-	-	-	-	-	-	-	70,924	7,076	
EA170016	Adrian 248 & 249 labs	Other campus projects		70,000	-	4,590	61,359	1,500	-	-	-	-	-	-	-	67,449	2,551	
EC100000	E Nixon Court New Block	Other campus projects		15,000,000	212,000	14,803,322	(5,514)	212,000	-	-	-	-	-	-	-	15,015,322	(15,322)	
EC110001	Centre for Medicine	Other campus projects		41,900,000	665,000	39,252,614	480,247	-	-	-	-	-	-	-	-	39,732,861	2,167,139	
EC170004	Media, Comm and Sociology suite	Other campus projects		92,000	-	68,688	1,632	-	-	-	-	-	-	-	-	70,320	21,680	
ED20010	E Engineering Labs/Workshop Roof & Walls	Other campus projects		19,500,000	690,000	18,000,000	(1)	-	-	-	-	-	-	-	-	17,999,999	1,500,001	
ED160001	IT projects - attendance monitoring	Other campus projects		364,134	1,581	911,276	(1)	-	-	-	-	-	-	-	-	911,276	(547,142)	
ED160002	IT projects - wireless networks	Other campus projects		510,088	1,174	748,786	(1)	-	-	-	-	-	-	-	-	748,787	(238,699)	
EM150013	FJB Reception & Exec Corridor	Other campus projects		475,000	-	471,060	6,346	-	-	-	-	-	-	-	-	477,406	(2,406)	
EM160001	FJB Car Park Alts	Other campus projects		875,000	96,000	779,104	15,954	-	-	-	-	-	-	-	-	795,057	79,943	
EM160003	Physics Re-roofing Project	Other campus projects		1,030,874	17,000	1,041,675	(22,330)	-	-	-	-	-	-	-	-	1,019,345	11,529	
EM160008	Boiler replacement works at D Brown	Other campus projects		329,061	-	300,677	14,954	-	-	-	-	-	-	-	-	315,631	13,430	
EM160012	CRF fish tanks	Other campus projects		350,000	10,000	348,773	15,847	-	-	-	-	-	-	-	-	364,620	(14,620)	
EM160014	Bennett Lecture Theatres Refurbishment (3 projects)	Other campus projects		917,000	-	810,844	68,754	-	-	-	-	-	-	-	-	879,598	37,402	
EM170001	Adrian LG10/15 Retractable Partitions	Other campus projects		62,432	-	55,727	1,161	-	-	-	-	-	-	-	-	56,888	5,544	
EM170005	Boiler replacement for Potting Shed	Other campus projects		45,000	1,020	39,671	(1)	-	-	-	-	-	-	-	-	39,670	5,330	
EM170007	Temporary Chillers for Physics Data Ctr	Other campus projects		30,000	-	9,120	17,880	-	-	-	-	-	-	-	-	27,000	3,000	
EM170013	Replacement of Physics chillers (£111.5k to be funded from IT capital)	Other campus projects		445,000	6,000	411,421	37,952	-	-	-	-	-	-	-	-	449,373	(4,373)	
EM170014	107-111 Princess Road East	Other campus projects		320,269	7,000	301,458	4,819	-	-	-	-	-	-	-	-	306,277	13,992	
EM170018	Works in MSB - Physiotherapy	Other campus projects		266,000	80,000	241,609	24,652	-	-	-	-	-	-	-	-	266,261	(261)	
<b>Total</b>				<b>82,659,858</b>	<b>1,786,775</b>	<b>78,618,634</b>	<b>781,929</b>	<b>213,500</b>	-	-	-	-	-	-	-	<b>79,614,064</b>	<b>3,045,794</b>	
<b>Schemes in progress</b>																		
EA180002	Hastings House Res G-House Cooling Proje	Other campus projects		66,000	-	-	65,395	-	-	-	-	-	-	-	-	65,395	605	
EA180004	MSB Cat 3 Facility H&S Works	Other campus projects		234,000	-	-	220,000	-	-	-	-	-	-	-	-	220,000	14,000	
EC170005	Centre for Medicine - Interpretive Design	Other campus projects		441,449	442,000	-	108,329	333,120	-	-	-	-	-	-	-	441,449	(1)	
EC170009	David Wilson Library - Learning Room	Other campus projects		400,000	-	7,873	389,194	-	-	-	-	-	-	-	-	397,067	2,933	
EC170010	Henry Wellcome Krios G3	Other campus projects		750,000	308,000	-	696,742	53,258	-	-	-	-	-	-	-	750,000	-	
EC180001	Adrian Fire Stopping Project	Other campus projects		28,000	-	-	64,247	-	-	-	-	-	-	-	-	64,247	(36,247)	
EM170009	Archaeology Roof	Other campus projects		594,240	90,000	204,336	266,286	10,000	-	-	-	-	-	-	-	480,622	113,618	
EM170015	8th, 9th floor CWB	Other campus projects		75,000	17,000	76,687	(7,370)	5,000	-	-	-	-	-	-	-	74,317	683	
EM170019	Computer centre chillers	Other campus projects		68,970	-	-	24,241	-	-	-	-	-	-	-	-	24,241	44,729	
EM170025	Engineering Social Space	Other campus projects		50,000	-	-	40,369	-	-	-	-	-	-	-	-	40,369	9,631	
EM170028	Knighton Hall Drive	Other campus projects		78,000	-	-	70,121	5,400	1,000	-	-	-	-	-	-	76,521	1,479	
EM170034	CRF Fish Tank - Fish Holding Equipment	Other campus projects		55,000	-	49,217	2,618	-	-	-	-	-	-	-	-	51,835	3,165	
EM170039	Readson House lift	Other campus projects		30,804	-	-	30,804	-	-	-	-	-	-	-	-	30,804	-	
EM170043	FJB Square - Furniture	Other campus projects		136,850	-	-	136,426	-	-	-	-	-	-	-	-	136,426	424	
EM170044	MSB Cold Rooms 163,164 & 242	Other campus projects		109,000	-	-	111,055	-	-	-	-	-	-	-	-	111,055	(2,055)	
ER180000	FJB Cash Office Alterations	Other campus projects		84,000	-	-	74,063	2,000	-	-	-	-	-	-	-	76,063	7,938	
EW180012	Fume Cabinet Installation HWB 2/11	Other campus projects		72,730	-	-	72,730	-	-	-	-	-	-	-	-	72,730	-	
EW180005	Knighton Hall Bathroom	Other campus projects		38,250	-	-	31,309	-	-	-	-	-	-	-	-	31,309	6,941	
ED180003	Security lodge refurbishment	Other campus projects		340,000	-	-	245,000	95,000	-	-	-	-	-	-	-	340,000	-	
ED180008	MSB Mayers Lab	Other campus projects		350,000	-	-	150,000	200,000	-	-	-	-	-	-	-	350,000	-	
New	Placeholder - refurb for star project	Other campus projects		-	-	-	-	-	-	-	-	-	-	-	-	-	-	
<b>Total</b>				<b>4,002,293</b>	<b>857,000</b>	<b>338,113</b>	<b>2,791,558</b>	<b>703,778</b>	<b>1,000</b>	-	-	-	-	-	-	-	<b>3,834,450</b>	<b>167,843</b>
<b>Capital maintenance</b>																		
EM170008	Domestic water improvements	Non-residential capital maintenance		2,150,000	1,450,000	618,507	1,503,291	-	-	-	-	-	-	-	-	2,121,798	28,202	
EM170035	RKCSB Rationalisation of Water Services (accelerated compliance works)	Non-residential capital maintenance		900,000	-	23,386	68,328	805,661	-	-	-	-	-	-	-	897,375	2,625	
EM170037	MSB Chiller (accelerated compliance works)	Non-residential capital maintenance		200,000	-	29,572	(1)	170,000	-	-	-	-	-	-	-	199,572	428	
EM180001	Adrian Building Fire Alarm Replacement	Non-residential capital maintenance		507,500	-	-	242,518	7,000	-	-	-	-	-	-	-	249,518	257,982	
EM180011	Attenborough Tower Controller Repl	Non-residential capital maintenance		61,994	-	-	119,994	-	-	-	-	-	-	-	-	119,994	(58,000)	
EM180016	Bennett Fume Cabinet LG13	Non-residential capital maintenance		33,960	-	-	53,470	-	-	-	-	-	-	-	-	53,470	(19,510)	
EM180008	George Porter Flue Upgrade (accelerated compliance works)	Non-residential capital maintenance		329,760	-	-	51,550	297,000	-	-	-	-	-	-	-	348,550	(18,790)	
EM180009	Engineering Flue Upgrade (accelerated compliance works)	Non-residential capital maintenance		213,240	-	-	22,768	201,000	-	-	-	-	-	-	-	223,768	(10,528)	
EM180010	21 University Rd Heating Mains Install (accelerated compliance works)	Non-residential capital maintenance		118,800	-	-	131,104	-	14,090	-	-	-	-	-	-	145,194	(26,394)	
EM180015	Att. Tower Paternoster Replacement (accelerated compliance works)	Non-residential capital maintenance		830,040	-	-	91,164	760,000	-	-	-	-	-	-	-	851,164	(21,124)	
EM180021	RKCSB Steam	Non-residential capital maintenance		50,000	-	-	50,000	-	-	-	-	-	-	-	-	50,000	-	
EM180023	Replace Small Goods Lift Computer Centre (accelerated compliance works)	Non-residential capital maintenance		50,880	-	-	50,839	-	-	-	-	-	-	-	-	50,839	41	
EM180024	Physics Building Goods Lift Replacement (accelerated compliance works)	Non-residential capital maintenance		127,500	-	-	127,951	-	-	-	-	-	-	-	-	127,951	(451)	
EM180026	Repair to Foul Waste Stacks (Adrian)	Non-residential capital maintenance		146,856	-	-	146,856	-	-	-	-	-	-	-	-	146,856	-	
EM180002	Adrian HV resilience	Non-residential capital maintenance		1,185,000	-	-	134,000	1,051,000	-	-	-	-	-	-	-	1,185,000	-	
EM180029	PRF compliance works	Non-residential capital maintenance		272,880	-	-	26,300	246,580	-	-	-	-	-	-	-	272,880	-	
EM180032	Plant room locks (accelerated compliance works)	Non-residential capital maintenance		150,000	-	-	150,000	-	-	-	-	-	-	-	-	150,000	-	
EM180033	Roofing works	Non-residential capital maintenance		125,000	-	-	125,000	-	-	-	-	-	-	-	-	125,000	-	
EM180035	Replace electrical distribution board (accelerated compliance works)	Non-residential capital maintenance		54,000	-	-	54,000	-	-	-	-	-	-	-	-	54,000	-	
EM180039	Lightning protection (accelerated compliance works)	Non-residential capital maintenance		46,000	-	-	46,000	-	-	-	-	-	-	-	-	46,000	-	
New	CONDITION Maintenance Non-Residential	Non-residential capital maintenance		18,000,000	-	-	-	2,000,000	2,000,000	2,000,000	2,000,000	2,000,000	2,000,000	2,000,000	2,000,000	18,000,000	-	
New	COMPLIANCE Maintenance Non-Residential	Non-residential capital maintenance		23,530,000	-	-	-	1,530,000	4,500,000	2,500,000	2,500,000	2,500,000	2,500,000	2,500,000	23,530,000	-		
<b>Total</b>				<b>49,083,410</b>	<b>1,450,000</b>	<b>671,465</b>	<b>3,195,130</b>	<b>7,068,241</b>	<b>6,514,090</b>	<b>4,500,000</b>	<b>4,500,000</b>	<b>4,500,000</b>	<b>4,500,000</b>	<b>4,500,000</b>	<b>4,500,000</b>	<b>48,948,926</b>	<b>134,484</b>	
<b>Campus Services</b>																		
EC170011	Mary Gee Refurbishment (project not going ahead)	Mary Gee		12,792,000	3,500,000	268,776	549,853	-	-	-	-	-	-	-	-	818,629	11,973,371	
ER180009	Mary Gee - social building (project not going ahead)	Mary Gee		2,208,000	-	-	55,514	-	-	-	-	-	-	-	-	55,514	2,152,486	
ER170015	Beaumont Phase 2 (Knighton 1-5, Gatehouse & Ashcroft)	Beaumont Phase 2		3,985,770	3,008,770	621,708	3,874,648	63,645	-	-								

Capital Programme  
Financial Forecasts 2018

SAP project code	Project title	Category	Planned completion date	Planning period					Outside of planning period					N = C to M	O = A - N	Project variance				
				A	B	C	D	E	F	G	H	I	J				K	L	M	
				Approved / planned project budget	2017/18 budget	Actual spend to 2016/17	2017/18	2018/19	2019/20	2020/21	2021/22	2022/23	2023/24				2024/25	2025/26	2026/27	Forecast outturn
<b>Capital investment bids (planning round)</b>				Budget £	Budget £	Actual £	Forecast £	Forecast £	Forecast £	Forecast £	Forecast £	Forecast £	Forecast £	Forecast £	Forecast £	Forecast £	Forecast £			
EM170023	Capital investment bid 2017 - Adrian passive fire works	Capital investment bids		435,000	400,000	-	129,300	-	-	-	-	-	-	-	-	-	129,300	305,700	Contingency too high in initial budget	
EM170016	Capital investment bid 2017 - DWL Post Grad remodel	Capital investment bids		232,000	192,000	59,678	125,524	46,798	-	-	-	-	-	-	-	-	232,000	-	Funded by Teaching and Research Equip Maintenance Fund	
ED180000	Capital investment bid 2017 - CCTV investment	Capital investment bids		500,000	500,000	-	449,269	-	-	-	-	-	-	-	-	-	449,269	50,731		
EM180018	Capital investment bid 2017 - Engineering refurbishment	Capital investment bids		250,000	250,000	-	50,000	200,000	-	-	-	-	-	-	-	-	250,000	-	Split 50:50 over 2017-18 and 2018-19	
New	Capital investment bid 2018 - DWL archiving and storage solution	Capital investment bids		795,000	-	-	-	-	95,000	700,000	-	-	-	-	-	-	795,000	-	To be complete by 2022-23	
New	Capital investment bid 2018 - Stamford Court AV replacement	Capital investment bids		-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	£150k - assume not approved	
New	Capital investment bid 2018 - SALTO access control	Capital investment bids		250,000	-	-	-	250,000	-	-	-	-	-	-	-	-	250,000	-		
New	Capital investment bid 2018 - CoLS core facilities investment	Capital investment bids		-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	£10m over 5 years - assume not approved	
New	Capital investment bid - future years	Capital investment bids		8,000,000	500,000	-	-	-	1,000,000	1,000,000	1,000,000	1,000,000	1,000,000	1,000,000	1,000,000	8,000,000	-	-		
<b>Total</b>				<b>10,462,000</b>	<b>1,842,000</b>	<b>59,678</b>	<b>754,093</b>	<b>496,798</b>	<b>1,000,000</b>	<b>1,095,000</b>	<b>1,700,000</b>	<b>1,000,000</b>	<b>1,000,000</b>	<b>1,000,000</b>	<b>1,000,000</b>	<b>1,000,000</b>	<b>10,105,569</b>	<b>356,431</b>		
<b>Enabling works programme</b>																				
EC170000	Percy Gee East Wing	Percy Gee East Wing	Aug-19	21,193,000	2,889,487	834,276	2,877,539	15,262,772	1,980,612	280,491	-	-	-	-	-	-	21,235,690	(42,690)		
EC170001	Brookfield Business School	Brookfield Business School	Mar-19	15,800,000	5,341,259	680,508	2,990,996	12,018,196	155,942	-	-	-	-	-	-	-	15,845,641	(45,641)		
EC170002	Teaching Centre	Teaching Centre	Sep-21	30,300,000	2,517,002	640,210	1,088,101	14,276,148	13,711,122	45,363	-	-	-	-	-	-	29,760,944	539,056		
New	Placeholder - Teaching Centre top floor fit out	Teaching Centre		-	-	-	-	-	-	-	-	-	-	-	-	-	-	-		
EC180000	Astley Clarke decant	Strategic programme		500,000	-	-	470,286	15,000	-	-	-	-	-	-	-	-	485,286	14,714		
ED180002	Enabling works programme decant	Strategic programme		32,000	500,000	-	77,500	-	-	-	-	-	-	-	-	-	77,500	(45,500)		
ED180004	DWL and FJB decant	Strategic programme		468,000	-	-	400,000	68,000	-	-	-	-	-	-	-	-	468,000	-	£72k funded by Salix	
EM180013	Enkalon House Alteration Works	Strategic programme		1,647,000	-	-	1,406,145	15,000	-	-	-	-	-	-	-	-	1,421,145	225,855	More savings against budget expected.	
<b>Total</b>				<b>69,940,000</b>	<b>11,247,748</b>	<b>2,154,994</b>	<b>9,310,567</b>	<b>41,655,116</b>	<b>15,847,676</b>	<b>325,854</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>69,294,207</b>	<b>645,793</b>		
<b>Strategic schemes</b>																				
EC160000	Space Park Ph1 (£7.8m govt funding)	Space Park Leicester (Phase 1 & 2)	Aug-20	20,400,000	1,000,000	891,218	85,361	6,646,000	12,200,000	577,421	-	-	-	-	-	-	20,400,000	-	Updated budget and profile Mar-18	
EC180005	Space Park Ph2 (matched funding commitment)	Space Park Leicester (Phase 1 & 2)		10,000,000	-	-	-	-	1,000,000	4,000,000	-	-	-	-	-	-	10,000,000	-	Adam Baynes to provide phasing update once known.	
New	Placeholder - Space Park land acquisition	Space Park Leicester (Phase 1 & 2)		850,000	-	-	-	850,000	-	-	-	-	-	-	-	-	850,000	-	Expected to be between £800-£900k	
EC170006	Multi-Disciplinary Laboratory (MDL) - New Build	Strategic programme	Feb-23	38,100,000	-	59,920	-	2,857,500	2,857,500	5,000,000	16,000,000	-	-	-	-	-	38,100,000	-	Gleeds schedule	
ED160005	CWB - Student Services & Teaching Hub - Refurbish	Strategic programme	Jul-20	43,349,393	-	85,300	-	3,251,205	8,251,205	23,000,000	8,761,684	-	-	-	-	-	43,349,393	-	Gleeds schedule	
ED160006	MSB (Phase 1) Bio-Medical R&T Centre - Refurbish	Strategic programme	Sep-24	50,781,333	-	74,294	-	-	3,808,600	3,808,600	-	-	-	-	-	-	50,781,333	-	Gleeds schedule	
ED160004	Attenborough Tower - Refurbish & Extend	Strategic programme	Sep-24	55,015,304	-	89,316	-	-	4,126,148	4,126,148	-	-	-	-	-	-	55,015,304	-	Gleeds schedule	
New	Computer Centre	Strategic programme	Apr-21	13,600,000	-	-	-	-	1,020,000	5,020,000	6,040,000	-	-	-	-	-	13,600,000	-	Gleeds schedule	
New	Hodgkin building refurbishment (if required)	Strategic programme	Jul-22	5,000,000	-	-	-	-	-	-	5,000,000	-	-	-	-	-	5,000,000	-	Gleeds schedule	
New	Placeholder - Adrian building refurbishment	Strategic programme	Sep-25	31,490,000	-	-	-	-	-	-	1,417,050	-	-	-	-	-	31,490,000	-	Gleeds schedule	
New	Placeholder - decants	Strategic programme		9,000,000	-	-	-	1,000,000	1,000,000	1,000,000	1,000,000	-	-	-	-	-	9,000,000	-	£1m per annum	
ED180001	Freemens Common Cottages	Freemens Common (car park, social space, cottage)		3,000,000	-	-	2,180	497,654	2,497,820	-	-	-	-	-	-	-	2,997,654	2,346	Latest estimate is net £30m cash out for Freemens and T&L	
EC180002	Freemens Common Social Space	Freemens Common (car park, social space, cottage)		3,000,000	-	-	2,180	497,654	2,497,820	-	-	-	-	-	-	-	2,997,654	2,346	Latest estimate is net £30m cash out for Freemens and T&L	
EC180004	Freemens Common Residences Infrastructure	Freemens Common (car park, social space, cottage)		250,000	-	-	94,469	100,000	50,000	-	-	-	-	-	-	-	244,469	5,531	Deloitte have advised fees etc. can be capitalised	
ED160003	Car park (funded by capital receipt)	Freemens Common (car park, social space, cottage)		12,000,000	-	-	-	6,010,000	5,990,000	-	-	-	-	-	-	-	12,000,000	(-)	Latest estimate is net £30m cash out for Freemens and T&L	
<b>Total</b>				<b>295,836,030</b>	<b>1,000,000</b>	<b>1,200,048</b>	<b>184,190</b>	<b>22,730,013</b>	<b>40,364,345</b>	<b>44,552,169</b>	<b>45,633,482</b>	<b>54,688,298</b>	<b>54,999,117</b>	<b>23,735,297</b>	<b>6,738,850</b>	<b>1,000,000</b>	<b>295,825,807</b>	<b>10,223</b>		
<b>Learning space strategy</b>																				
EM170041	MSB - 2nd Floor Refurb Project	Learning space strategy		255,000	-	35,244	214,574	2,800	-	-	-	-	-	-	-	-	252,618	2,382		
EM170042	Attenborough Building, Room Z20/111	Learning space strategy		115,000	-	210	49,630	-	-	-	-	-	-	-	-	-	49,840	65,160		
EM180019	Bennett lecture theatres	Learning space strategy		1,400,000	-	-	100,000	1,300,000	-	-	-	-	-	-	-	-	1,400,000	-	Completion Sep-18	
ED180005	DWL silent and collaborative learning spaces	Learning space strategy		700,000	-	-	200,000	500,000	-	-	-	-	-	-	-	-	700,000	-		
ED180006	George Porter lecture theatres	Learning space strategy		33,000	-	-	33,000	-	-	-	-	-	-	-	-	-	33,000	-	Completion Sep-18	
ED180007	Misc teaching room investment	Learning space strategy		60,000	-	-	30,000	30,000	-	-	-	-	-	-	-	-	60,000	-		
New	Learning Space Strategy: University funded	Learning space strategy		3,530,402	250,000	-	-	950,402	1,080,000	1,500,000	-	-	-	-	-	-	3,530,402	-	Up to 2020-21 approved in CP2017. Moved to HEFCE/OFIS contributions thereafter.	
New	Learning Space Strategy: HEFCE funded (TCIF)	Learning space strategy		9,600,000	1,300,448	-	-	1,200,000	1,200,000	1,200,000	1,000,000	1,000,000	1,000,000	1,000,000	1,000,000	9,600,000	-	-		
<b>Total</b>				<b>15,693,402</b>	<b>1,550,448</b>	<b>35,454</b>	<b>627,204</b>	<b>3,983,202</b>	<b>2,280,000</b>	<b>2,700,000</b>	<b>1,000,000</b>	<b>1,000,000</b>	<b>1,000,000</b>	<b>1,000,000</b>	<b>1,000,000</b>	<b>1,000,000</b>	<b>15,625,860</b>	<b>67,542</b>		
<b>Other schemes</b>																				
EC170003	Innovation Hub (ERDF funded)	Innovation hub		1,026,084	864,184	14,946	759,718	336,458	6,138	-	-	-	-	-	-	-	1,117,260	(91,176)	Investigating overspend - contingency may be required.	
EC170007	Charnwood Phase 1	Charnwood		4,630,000	500,000	52,080	74,601	2,338,531	2,000,000	164,788	-	-	-	-	-	-	4,630,000	-		
New	Charnwood Phase 1 - VAT contingency	Charnwood		926,000	-	-	14,920	467,706	400,000	43,374	-	-	-	-	-	-	926,000	-	As advised by Adam Baynes. Likely a high % of VAT can be recovered but not yet confirmed.	
ED170000	Public realm - University Road	Public realm	Nov-20	6,000,000	2,000,000	39,970	-	500,000	4,000,000	1,460,030	-	-	-	-	-	-	6,000,000	-	Gleeds schedule	
New	Public realm - infrastructure	Public realm	May-22	26,800,000	-	-	-	2,010,000	5,010,000	15,000,000	4,780,000	-	-	-	-	-	26,800,000	-	Gleeds schedule	
<b>Total</b>				<b>39,382,084</b>	<b>3,364,184</b>	<b>106,996</b>	<b>849,239</b>	<b>5,652,695</b>	<b>11,416,138</b>	<b>16,668,192</b>	<b>4,780,000</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>39,473,260</b>	<b>(91,176)</b>	
<b>Equipment</b>																				
RIF (Research Infrastructure Fund)	Research (RIF)			19,516,400	2,216,400	-	1,166,400	2,410,000	1,980,000	2,080,000	1,980,000	-	-	-	-	-	19,516,400	-		
RIF (Henry Wellcome Krios matched funding)	Research (RIF)			885,000	437,000	-	885,000	-	-	-	-	-	-	-	-	-	885,000	-		
RIF (ERDF Star Project - Space Park equipment)	Research (RIF)			1,302,782	-	-	-	665,872	636,910	-	-	-	-	-	-	-	1,302,782	-	Budget needs to be increased for refurb element. Currently equipment only.	
RIF (DNA Clean Lab)	Research (RIF)			632,000	-	-	-	421,333	210,667	-	-	-	-	-	-	-	632,000	-		
RIF (NMR Spectrometer)	Research (RIF)			225,000	-	-	67,500	157,500	-	-	-	-	-	-	-	-	225,000	-		
Research equipment - general	Other equipment			6,050,000	730,000	-	350,000	750,000	750,000	600,000	600,000	600,000	600,000	600,000	600,000	6,050,000	-			
Other general equipment	Other equipment			2,85																

**Project Cashflows Summary**

	Budget	Spend To 31/07/17
Capital	505,065,326	91,073,826
LTMM	3,480,174	1,106,302
Campus Services 17-18	3,671,410	1,021,017
Minor Works	902,171	18,266
Ext Funded Cash flow 17-18	824,676	897,254
Totals	513,943,757	94,116,665

	Aug-17	Sep-17	Oct-17	Nov-17	Dec-17	Jan-18	Feb-18	Mar-18	Apr-18	May-18	Jun-18	Jul-18	Year 17/18 Actuals	Aug-17	Sep-17	Oct-17	Nov-17	Dec-17	Jan-18	Feb-18	Mar-18	Apr-18	May-18	Jun-18	Jul-18	Year 17/18 Forecast
Capital	-	3,338,412	2,146,874	857,960	2,102,957	1,406,197	1,435,896	363,198	1,194,575	1,579,541	1,313,438	9,390,698	12,793,137			1,921,710	2,602,576	2,788,093	2,679,401	1,724,691	2,461,912	2,359,562	2,890,389	3,041,208	8,815,553	31,285,094
LTMM	-	21,433	34,526	52,374	53,093	143,004	324,550	83,495	92,394	97,489	318,466	472,824	578,260			394,700	313,488	5,488	55,488	10,488	22,488	122,151	42,988	453,488	139,374	1,560,141
Campus Services 17-18	-	98,734	237,295	101,635	34,999	60,541	182,778	48,355	111,071	-20,610	86,103	124,494	1,113,291			9,100	10,536	39,700	39,000	50,000	20,500	75,000	15,000	10,000	10,000	278,836
Minor Works	-	29,563	80	9,197	49,925	40,149	14,004	5,517	19,285	66,046	106,804	44,725	133,239			16,000	8,950	34,500	12,800	8,000		20,000	120,000	150,000	80,000	450,250
Ext Funded Cash flow 17-18	167,093	-107,096	68,770	29,572	14,690	21,215	3,865	14,142	-181,005	134,520	28,306	192,030	31,246		1,349,788						21,235				21,235	1,392,258
Totals	167,093	3,381,046	2,487,545	1,050,738	2,255,664	1,671,106	1,961,093	514,707	1,236,320	1,856,986	1,853,117	10,224,771	14,649,173		1,349,788	2,341,510	2,935,550	2,867,781	2,786,689	1,793,179	2,526,135	2,576,713	3,068,377	3,654,696	9,066,162	

## Project Code

## Project Description

## Sponsor

**Projects > £5m**

ED160004	Attenborough Tower Refurbishment	TBC
ED160006	MSB Phase 1 Refurbishment	TBC
ED160005	Charles Wilson Building Student Svs	Henrietta O'Connor
EC170006	Multi-Disciplinary Laboratory	Paul Monks
EC170002	Teaching and Learning Centre	Caroline Taylor
EC170000	Percy Gee East Wing Development	Jon Scott
EC160000	Space Park	Ian Gillespie
EC170001	Brookfield House Refurb Business School	Zoe Radnor
ED160003	Public Realm Works - Car Park	TBC
New2	Radiology Labs and Additional Prep Room	
New4	Priority Capital Projects (including Research Institutes)	
Not Estates1	IT Infrastructure (Equipment)	
EC180005	Space Park Phase 2	Ian Gillespie
ED170000	Public Realm - University Road	Andrew Smith (LCC)
Not Estates2	Research Infrastructure (Equipment)	
Not Estates5	Research Equipment Additions (not ITS or RIF)	

**Projects £1m - £5m**

EC170007	Charnwood Campus R&D incubator	Ian Gillespie
EC180002	Freemens Common Social Space	Martin Riddleston
ED180001	Freemens Cottages Refurbishment	Martin Riddleston
Not Estates4	General Equipment Additions (not ITS or RIF)	
EM170008	Domestic water system improvements	
New3	MSB Dissection Suite Refurb	
EM180019	Bennett Building lecture theatres lower	Caroline Taylor
EC170003	Innovation Hub (LIH)	Anjuu Teverdi

<b>Projects £500k - £1m</b>		
EM170035	RKCSB Rationalisation of Water Services	TBC
EM180015	Att. Tower Paternoster Replacement	Ruth Daly
Not Estates3	ASDEC (Equipment)	
EC170010	Henry Wellcome Krios G3	John Schwabe
ED180005	DWL Silent & Collab Learning Space	Caroline Taylor
EM180006	Non-Residential DX items building remedi	
EM170009	Archaeology Reroofing works	
ED180006	George Porter Lecture Theatre Refurbishm	Caroline Taylor
EM180001	Adrian Building Fire Alarm Replacement	Miranda Johnson
ER170034	Residences Projects Reqd D&K Survey	
ED180002	Astley Clarke Decant Works	Sarah Peacock
EC180000	Enabling Works Decant Project	Sarah Peacock
ED180000	CCTV Compliance Works - Business Systems	
<b>Projects &lt; £500k</b>		
ED180004	DWL & FJB Office Decants	Sarah Peacock
EM180043	R22 Replacement (Phase 2)	Richard Thomas
EW180008	Additional Campus Accommodation	
EC170005	Centre for Medicine -Interpretive Design	
EM170023	Adrian passive fire stopping review	Richard Thomas
EW140012	Freemens Common Creative Services	Martin Riddleston
ER180010	Various Buildings - DX Items Low/Medium	
ED180008	MSB CAT 3i Labs (CAT 2 LABS)	
ED180003	Security Lodge Silver Control Room	
EM180008	George Porter Flue Upgrade	
ER180035	Knighton Court Replacemnt Windows & Doors	Kirsty Woodward
EM180025	Gas Network Checks Campus Wide	
EM180020	Emergency Lighting asset listing academi	

EM180029	PRF Works	
<b>Projects £100k - £250k</b>		
EM180018	Electrical Lab Refurbishment	
EC180004	Freemens Common Res Infrastructure Asset	
EM170017	Fixed Wire Testing - Academic	
EM170016	David Wilson Library Post Grad remodel	
ER170010	Meadow Court Lodge Alts. and Refurb	
EM180009	Engineering Flue Upgrade	Richard Thomas
EM180012	LDEC Dilapidations, Repairs & Upgrades	Richard Thomas
ER180021	Residential FRA/Fire Protection Works	Richard Thomas
EM170037	MSB Chiller	Richard Thomas
ER180020	Water Hygiene Risk Assessment & Remedial	Richard Thomas
EM170040	Water Systems Legionella Risk Assessment	Richard Thomas
EM180004	Asbestos Removal 2017/18 Academic	
ER180019	Emergency Lighting asset listing Residen	Richard Thomas
ER170028	Clivedon Garage demolition	
EM180032	Electronic Plantroom Door Locks	
ER180036	Gas Network Check (Residential)	Richard Thomas
EM180026	Repair to Foul Waste Stacks (Adrian)	Richard Thomas
EM180010	21 University Rd Heating Mains Install	Richard Thomas
EM180022	College Court Fire Stopping Remedials	
EM180024	Physics Building Goods Lift Replacement	Richard Thomas
EM180033	Site wide roof risk assessments/improve.	Richard Thomas
ER170025	Lightning Protection (Oadby)	Richard Thomas
ER170032	Lasdun Rationalisation of Water Systems	Richard Thomas
EA160018	Manor Road Sports Ct Raised Access Floor	
EW180014	MSB - Refurb Rooms G31 to G39	
EM170024	PGR Additional spaces	

**Projects £25k -  
£100k**

EM180027	Academic FRA/Fire Protection Works	Richard Thomas
ER180031	Stamford Dining Block & Tutor Sets Re-Ro	
ER180006	Asbestos Removal 2017/18 Residential	
ED180010	LSP Outlet Improvements	
EM180003	Plantroom and Riser Surveys- PB000631	Richard Thomas
ER170018	Nixon D block internal decorating	
EC170004	School of Media, Comms and Sociology	
EM180034	Mary Gee Securing and Decommissioning	
ER170014	Freemens Common Blocks Shower Pod Repl	
EW180016	Danielle Brown Sports Centre - Push Pads	
EA180001	Fraser Noble - Basement Lavatories	
ER180000	FJB Cash Office Alterations	
ER160025	John Foster blocks A_E internal dec	
ER170026	John Foster - Quorndon & Ragdale Int Dec	
EA160022	CRF External Store	
EM170015	Charles Wilson Bldg Refurb floors 8 & 9	
EW180007	Here for You Metering	
EM170027	Critical LEV Compliance & remedials	Richard Thomas
EW180012	Fume Cabinet Installation HWB 2/11	
EA170016	Adrian Building Rooms 248 + 249	
ER170027	John Foster - Huncote, John O'Gaunt Dec	
EA180002	Hastings House Res G-House Cooling Proje	
ED180009	106 New Walk Refurbishment	
ER160024	Lasdun C D E F & G blocks	
ER180002	Residential DX HS	
EW170002	FJB Law Department Accessibility route	
EM180038	R22 Air Conditioning replacement Phase 1	Richard Thomas



ED180007	Miscellaneous Teaching Room Improvements	
EM180007	Annual asbestos re-inspections all sites	
EM180035	Replace Distribution Boards in Charles W	Richard Thomas
ER170019	Treroose Boiler replacement work	
ER180018	Southmeades 14 Shower Cubicle Replacemen	
ER180040	Nixon E Block Internal Decorating	
EM180023	Replace Small Goods Lift Computer Centre	Richard Thomas
ER170009	Stamford Kitchen 2017 PB000337	
EM180021	RKCSB Steam	Richard Thomas
EM170025	Engineering Social Space	
EM180030	David Willson Library Roof repairs	Richard Thomas
EM180016	Bennett Fume Cabinet LG13	Richard Thomas
EM180039	Add Lightning Protection around Main Cam	Richard Thomas
EC180006	Fraser Noble Wall Removal Rm 0.14 & 0.15	
EW180004	MSB G45 IT Store to Office Conversion	
EM180028	MSB 3rd Floor Corridors Flooring Replace	
EW180015	Big Data Initiative LGH	
EM180044	Replace & Enhance UPS equipment in PRF	
ER180008	Knoll Water System Rationalisation	Richard Thomas
ER160026	John Foster blocks G&P Int dec	
EM170036	Temporary Chiller for the MSB	Richard Thomas
ER180005	Southmeades Shower block Repl	
ER180041	Bowder Court Block EE,FF&GG Int Decorate	
ER180038	Digby Coloured blocks internal decorate	
ER170000	Treroose Internal Decorating	
EA180012	Bennett LG12 & LG13 Refurbishment	
EW180017	RKCSB Rm1.22 Alterations - Training Ward	
EW180011	Public Realm Security Worls	

EM180037	Roof Risk Assessments - Non-Residential	Richard Thomas
EM170031	Physics Data Centre - UPS batteries	
EM170039	Readson House Lift Controller	Richard Thomas
EW180006	PRF Security Improvements	
EA180008	Life insurance work re Alliance	
EM160022	Adrian Building Cladding/concrete survey	
EM180040	Add Catalyst Filters PRF, CC & RKCSB Gen	Richard Thomas
ER180037	Digby House, Lodge & Purple Block Int Dec	
EA170017	Heat Meter Installation at Main campus	
<b>Projects £5k - £25k</b>		
ER180039	Rosenfels Internal Decorating	
EM180031	Health & Safety Contractors Audits	Richard Thomas
ER160011	Lasdun Study Bedrooms A, B, LA Blocks	
ER180016	Stamford Court & John Foster Facilities	
ER180030	Coppice House Timber Window Refurb	
EM170026	Percy Gee bio mass hopper	Richard Thomas
EA170021	MaTIC Building - Mechanical Cooling	
EM180036	Add Surge Protection to key Main Panels	Richard Thomas
ER180015	D.H Southmeade House Boiler Replacement	Richard Thomas
EM180042	Computer Ctr Fencing to External Plant	Richard Thomas
ER170030	Installation of AMR equipment and meters	
ER180022	Village Hub Launderette Alterations	
EM180017	The Grove Repairs	Richard Thomas
EM180041	Physics Data Centre Cooling Fans	
EM180014	RKCSB room 527 & 528 wall removal	
EW180013	Reset Access Terminal Infrastructure	
ER170031	Kent House Bedroom Decoration	
ER160016	Stamford Dining Hall Accessibility Toile	

ER180024	Coppice Recycling Area	
ER170033	Kent Lodge internal decorating	
EA170023	Danielle Brown Steam Room Tiling	
ER180034	Nixon Court E Block Kitchen, Outer Flat	
EA180000	MSB Student Enquiry Counter	
EM180005	Ad Hoc Fire Consultancy	
EA180006	RKCSB Rms 406 & 406a replacement floor c	
ER180004	Oadby Traka/Reset	
EA180009	Criminology 154 New Walk Decoration	
EW180003	FJB Int Office DDA Door Openers - PB0006	
ER160028	Mens toilet refurbishment Stamford Hall	
ER160027	Ladies toilet refurb Tutors block	
ER180042	Nixon E Block OuterFlat Bathrm replace	
EW150028	Ken Edwards Reception/Foyer Feas	
ER180013	Manorcroft Lodge Path Replacements	
EW180009	Lighting Attenborough Tower Red	
ER180028	Nixon G, Flats 301-305 & 401-405 interna	
EA180007	MSB Autoclave Alterations	
EA180010	RKCSB Kitchenette Room 312a Refurb	
ER180029	Nixon Court Dog Spend	
EM180000	MSB Mortuary Enbalming Room Ventilation	
ER180032	John Foster Facilities Building External	
ER180017	Lasdun J Block Flat 17 Kitchen	
ER180014	Student BBQs OSV	
ER180023	Lasdun Recycling Area	
ER180025	Digby Recycling Area	
EM180002	Adrian Building - feasibility intake sub	TBC
ER180033	Roof Risk Assessments - Residential	Richard Thomas

**Projects <£5k**

ER180012	Kent Lodge External Door Replacement	
ER160021	Manorcorft Shower Room Refurb	
ER170037	Olive Banks Cycle Park	
ER170016	Stamford Food Court Office	
ER180027	Glebe Court Kitchens Structural Survey	
ER160019	Cabin Removal - Digby Hall	
ER180026	Stable Cottage Structural Survey	
EA180011	Camera Charging Station Bankfield House	
EW180002	College Crt Elm 2-3 Dividing Wall - PB00	
EA180003	Take Down Dividing Wall in Elm2-3	
ER170035	Kent Lodge power alterations	
ER180043	Beaumont Hall 2 Bollards	
EA180005	Henry Wellcome Insurance Works	
EA160023	College Court Fire	
EA160014	Computer Centre Flood - Insurance Claim	
EA170022	Charles Wilson Building Flood	
EA170015	Prospect House Water Leak	
EA170012	Engineering Building Water Leak	

**Completed Projects in Defects Liability Period**

EC110001	Centre for Medicine	Debbie Oldham
ED120010	E Engineering Labs/Workshop Roof & Walls *complete*	
EC100000	E Nixon Court New Block	Brita Sread
EC170011	Mary Gee Refurbishment *Cancelled*	Kirsty Woodward
ER170015	Beaumont Hall Refurbishment Phase 2	Kirsty Woodward
ER160015	Beaumont Hall Refurb Block 6,7,8 & Rockl	
ER180009	Mary Gee - Social Activities Bldg *Cancelled*	Kirsty Woodward
EM180013	Enkalon House Alteration Works	Margot Burke

EM160003	Physics Re-roofing Project	
EM160014	Refurbishment of Lecture Theatres - vari	Caroline Taylor
ER160013	Stamford Hall Dining Room *complete*	
EM150013	FJB Reception & Exec Corridor	
EM160001	FJB Car Park Alts	Brita Sread
ER160009	Mary Gee First Floor Shower Room	Kirsty Woodward
EC170008	1 Salisbury Road, North Campus	
EM170013	Physics Data Centre Chiller Replacement	
ER160020	Bowder Court Block DD Refurb and Remodel	
EC170009	David Wilson Library - Learning Room	Caroline Taylor
EM160002	MSB Lab refurb 211-212	
EM160025	Charles Wilson One Stop Shop	
EM160012	CRF Fish tanks	
EM160008	Boiler replacement works at D Brown	Richard Thomas
EM170014	Refurb of Princess Road 107-111	
EM170018	MSB Physiotherapy works	
EM170041	MSB - 2nd Floor Refurb Project	
EA180004	MSB Cat 3 Facility H&S Works	
EW140019	Astley Clarke PhD Room Refurbishment	
EW150036	Bennett Building F67 Laboratory Refurb	
EM160007	AHU replacement works at Danielle Brown	
ER170036	Digby Hall replacement boilers main room	
ER160022	Stoughton Leys, Bredon, Fieldshouse	
ER160023	Southmeads, Kent House, Kent Lodge	
EA160019	IT Lecture Capture Projects	
EM170003	MSB Gas Upgrades	
EM170043	FJB Square - Furniture	Brita Sread
EM170002	Campus Wide PSSR Written Schemes of Exam	

EM170042	Attenborough Building, Room Z20/111	
EM170044	MSB Cold Rooms 163,164 & 242	
ER160007	Freemans Common Houses H, J and M	
EM170000	Asbestos Removal 16/17 Non-Res Bldgs	
EA150006	Hodgkin 6th Floor ALterations 2015	
ER170001	Asbestos Removal 16/17 Res Bldgs	
ER160018	Nixon court boiler replacement works	
EM170028	Knighton Hall Drive	
EM180011	Attenborough Tower Controller Repl	
EM170019	Computer Centre Chillers	
EW150041	Bennett Lower Ground FLOORing Works	
ER160001	Manorcroft - Refurbishment	
ED160000	College Court Overspill Car Park Resurf	
EM170001	Adrian LG10/15 Retractable Partitions	
EW150005	Refurb of Student Office Attenborough	
ER180011	Lasdun - roof access/safety remedial wks	
EM160013	Engineering Building Flue Remedials	
EW150025	MSB 389	
EM170034	CRF Fish Tank - Fish Holding Equipment	
EC180001	Adrian Fire Stopping Project	
EA150004	Astley Clarke Administration & Foyer	
EM170012	Radiation Labs Remedial Works	
EA160003	RKCSB 2nd Floor Alts to Rm 237	
EM170005	Boiler replacement for Potting Shed	Richard Thomas
ER170024	Bowder Internal Redecoration works	
ER180001	Clivedon thermostatic shower value repla	
EW180005	Knighton Hall Bathroom	
ER160000	Kent/Clivedon Kitchen/Shower Refurb	

EM170006	Repair and redeco of painted elements	
EM170007	Temporary Chillers for Physics Data Ctr	
ER160012	Lasdun Study Bedrooms H, I, J	
EW170001	New Air-curtains for MSB entrance	
EW180000	Astley Clarke - Admin Alterations	
EM170011	Heating pipework replacement - Museum St	
ER170011	Digby Hall Warden Lodge	
EA160000	Office Alterations with Forensic Science	
EM170022	College Court Damp Issues	
EM170033	114 Regent Road Nursery, repair conserv.	
EA170018	Upgrade of Supply Fan for MSB Lab 131	
EM160016	MSB PSSR Written Scheme	
EW180010	Bankfield House - Railings	
EM170038	MSB Roof edge protection & modif	
EA170020	Nursery Toilets Refurbishment	
ER180007	Emergency H&S Roofing Repairs Oadby	
EM170029	CO2 installation remedial works	
EW170003	Fielding Johnson Uneven Floor 212	
ER160014	Bowder Court Refuse Area	
EA170014	103-105 Princess Road East bike canopy	
EA160013	MSB Second Floor Lab Fire - Ins. Claim	

Estates Project Lead	Project Category	PM RAG Rating		Total Authorised Budget
		Timeline	Budget	
Steve Holgate	Majors	Red	Green	£55,015,304
Steve Holgate	Majors	Red	Green	£50,781,333
John Pointon	Majors	Red	Amber	£43,349,393
John Pointon	Majors	Green	Green	£38,100,000
Stuart Todd	Majors	Red	Green	£30,300,000
Ian Carey	Majors	Red	Amber	£21,193,000
Martin Perryman	Majors	Green	Green	£20,400,000
Matt Flint	Majors	Red	Green	£15,800,000
Steve Holgate	Majors	Green	Green	£12,000,000
	Majors	Amber	Green	£10,000,000
	Majors	Amber	Green	£10,000,000
	Majors	Amber	Green	£10,000,000
Martin Perryman	Majors	Amber	Green	£10,000,000
Steve Holgate	Majors	Amber	Green	£8,000,000
	Majors	Amber	Green	£7,500,000
	Majors	Amber	Green	£6,764,776
Ian Carey	Majors	Green	Green	£4,630,000
John Pointon	Majors	Red	Green	£3,000,000
John Pointon	Majors	Green	Green	£3,000,000
		Amber	Green	£2,500,000
James Geddes		red	Green	£2,150,000
		Amber	Green	£2,100,000
Matt Flint	Majors	Green	Red	£1,400,000
Stuart Todd	Majors	Amber	Amber	£1,026,084



Ged McCrea	LTM	Green	Green	£900,000
Mike Smith	LTM	Green	Amber	£864,632
		Amber	Green	£770,000
Matt Flint	Majors	Green	Green	£750,000
Matt Flint	Majors	Green	Amber	£700,000
Steve Parker		Green	Green	£600,000
Matt Flint		Amber	Green	£594,240
Matt Flint	Majors	Green	Green	£841,986
Ed Rowlands	Majors	Green	Green	£507,500
Luke Gisborne		Green	Green	£500,000
Matt Flint	Space	Green	Green	£500,000
Sarah Peacock	Space	Green	Green	£500,000
Andrew Gahagan		Green	Green	£500,000
Matt Flint	Space	Green	Green	£468,000
Mike Smith	LTM	Green	Amber	£454,678
		Green	Green	£451,085
Gail Ruddle		Green	Green	£441,449
Ed Rowlands	Majors	Amber	Green	£435,000
	Majors	Green	Green	£435,000
Steve Parker		Green	Green	£400,000
Luke Gale		Green	Green	£350,000
Luke Gale		Green	Green	£340,000
Chrispal Anand	LTM	Green	Green	£362,298
Luke Gisborne	Minors	Green	Green	£324,000
Mike Smith		Green	Red	£180,000
Neil Hunt		Green	Green	£300,000

Neil Hunt		Green	Green	£272,880
Luke Gale		Green	Red	£250,000
Jas Lail		Green	Amber	£250,000
Chris Souter		Amber	Red	£250,000
		Amber	Green	£232,000
John Mason		Green	Green	£220,000
Chrispal Anand	LTM	Green	Green	£219,168
Chrispal Anand	LTM	Green	Green	£208,193
Claire Newlove-Hill	LTM	Green	Green	£200,000
Chris Souter	LTM	Green	Green	£200,000
Chris Smith	LTM	Green	Green	£200,000
Chris Smith	LTM	Green	Green	£200,000
James Geddes		Green	Green	£200,000
Neil Hunt	LTM	Green	Green	£200,000
Luke Gale		Amber	Green	£153,000
Andrew Gahagan		Green	Green	£150,000
Mike Smith	LTM	Green	Green	£120,000
Mike Smith	LTM	Green	Green	£146,856
Chrispal Anand	LTM	Green	Red	£145,194
Steve Parker		Green	Green	£144,000
Mike Smith	LTM	Green	Amber	£127,500
James Geddes	LTM	Green	Green	£125,000
Chris Souter	LTM	Green	Green	£120,000
James Geddes	LTM	Green	Red	£120,000
John Mason		Green	Green	£114,199
Luke Gale		Green	Green	£110,000
Gail Ruddle		Green	Red	£102,000

Claire Newlove-Hill	LTM	Green	Green	£100,000
James Geddes		Green	Green	£100,000
James Geddes		Green	Green	£100,000
Jas Lail		Green	Green	£96,000
Neil Hunt	LTM	Green	Green	£95,616
John Mason		Green	Green	£94,604
Gail Ruddle		Green	Green	£92,000
James Geddes		Green	Red	£90,000
John Mason		Green	Green	£87,000
		Green	Green	£85,000
John Mason		Green	Amber	£98,881
Steve Parker		Green	Green	£84,000
John Mason		Green	Green	£80,000
John Mason		Green	Green	£79,386
Matt Flint		Green	Green	£78,000
		Amber	Red	£75,000
Chrispal Anand		Green	Green	£73,775
Neil Hunt	LTM	Green	Green	£72,000
Steve Parker		Green	Amber	£70,000
Steve Parker		Green	Green	£70,000
John Mason		Green	Green	£66,528
Steve Parker		Green	Green	£66,000
Luke Gisborne			Amber	£66,000
John Mason		Green	Green	£65,000
James Geddes		Green	Red	£65,000
John Mason		Green	Green	£61,292
Mike Smith	LTM	Green	Green	£61,200

Matt Flint		Green	Green	£60,000
James Geddes		Green	Green	£55,200
Chris Souter	LTM	Green	Green	£54,000
Jim Benson		Green	Green	£53,210
John Mason		Green	Green	£52,000
John Mason		Green	Green	£50,288
Mike Smith	LTM	Green	Green	£50,880
		Red	Green	£50,000
Chris Smith	LTM	Green	Green	£143,016
Gail Ruddle		Green	Green	£50,000
Claire Newlove-Hill	LTM	Green	Green	£47,120
Neil Hunt	LTM	Green	Red	£46,991
Chris Souter	LTM	Green	Green	£46,000
John Mason		Green	Green	£45,600
Steve Parker		Green	Green	£44,000
James Geddes	LTM	Green	Amber	£43,000
Luke Gale		Green	Green	£41,758
Chris Souter		Green	Green	£41,725
Chris Smith	LTM	Green	Green	£40,520
John Mason		Green	Green	£40,000
Chris Souter	LTM	Green	Red	£40,000
John Mason		Green	Green	£38,400
John Mason		Green	Green	£38,266
John Mason		Green	Green	£38,072
John Mason		Green	Green	£38,000
Luke Gale		Green	Green	£34,000
John Mason		Green	Green	£33,000
Matt Flint		Green	Green	£32,000

James Geddes	LTM	Green	Green	£31,524
Chris Souter		Green	Red	£31,394
Mike Smith	LTM	Green	Green	£30,804
Matt Flint		Green	Green	£30,000
Mike Smith		Green	Green	£30,000
James Ruddle		Amber	Amber	£30,000
Chris Souter	LTM		Green	£30,000
John Mason		Green	Green	£29,888
Jim Benson		Green	Green	£26,829
John Mason		Green	Green	£24,161
Chrispal Anand	LTM	Green	Green	£24,000
John Mason		Green	Red	£24,000
		Green	Amber	£23,425
John Mason		Green	Green	£21,000
Chrispal Anand	LTM	Green	Green	£20,000
Jim Benson		Green	Green	£19,458
Chris Souter	LTM	Green	Green	£35,250
Neil Hunt	LTM	Green	Green	£16,932
James Geddes	LTM	Green	Green	£16,800
Jim Benson		Green	Green	£16,706
John Mason		Green	Green	£13,752
James Geddes	LTM	Green	Green	£12,900
Chris Souter			Green	£12,546
John Mason		Green	Green	£12,000
John Mason		Green	Green	£12,000
John Mason		Green	Red	£12,000
John Mason		Green	Green	£11,700

John Mason		Green	Green	£11,634
John Mason		Green	Green	£11,577
Steve Parker		Green	Green	£11,494
John Mason		Green	Green	£11,012
Steve Parker		Green	Green	£10,800
James Geddes		Green	Green	£10,000
John Mason		Green	Green	£10,000
John Mason		Green	Green	£9,800
Steve Parker		Green	Amber	£9,374
Steve Parker		Green	Green	£9,360
John Mason		Green	Green	£9,100
John Mason		Green	Green	£8,900
John Mason		Green	Green	£8,500
Matt Flint		Red	Green	£8,500
John Mason		Green	Green	£8,400
Chris Souter		Green	Green	£8,000
John Mason		Green	Green	£7,200
Nick Emmett		Green	Green	£7,000
John Mason		Green	Green	£7,000
John Mason		Green	Green	£6,974
Mike Smith		Green	Green	£6,240
John Mason		Green	Green	£6,234
John Mason		Green	Green	£5,843
John Mason		Green	Green	£5,640
John Mason		Green	Red	£5,525
John Mason		Green	Red	£5,525
Chrispal Anand	LTM	Green	Red	£5,400
James Geddes	LTM	Green	Green	£5,112

John Mason		Green	Green	£4,800
John Mason		Green	Green	£4,800
John Mason		Green	Green	£4,536
John Mason		Green	Green	£4,200
John Mason		Green	Green	£3,000
John Mason		Green	Green	£2,700
John Mason		Green	Green	£2,000
Steve Parker		Green	Green	£1,712
Steve Parker		Green	Green	£1,650
Steve Parker		Green	Green	£1,650
John Mason		Green	Green	£1,500
John Mason		Green	Green	£1,452
Sue Banbury		Green	Red	£2
Jonathan Aldworth		Green	Red	£1
Sue Banbury		Red	Green	£0
Sue Banbury		Green	Red	£0
Sue Banbury		Amber	Red	£0
Sue Banbury		Green	Red	£0
Jonathan Aldworth		Amber	Green	£41,900,000
Jonathan Aldworth		Amber	Green	£19,500,000
Jonathan Aldworth		red	Amber	£15,000,000
Ian Carey		Green	Green	£12,792,000
John Pointon		Green	Red	£3,985,770
		Green	Green	£2,800,000
Ian Carey		Green	Green	£2,208,000
Matt Flint		Green	Green	£1,647,000

Matt Flint		green	Green	£1,030,874
Matt Flint		Red	Green	£917,000
Jonathan Aldworth		Green	Green	£789,000
		Green	Amber	£475,000
Matt Flint		Amber	Red	£650,000
Matt Flint		Amber	Green	£461,500
Luke Gale		Green	Green	£450,000
Chris Souter	LTM	Amber	Amber	£445,000
Martin Perryman		Green	Green	£432,000
Matt Flint		Green	Green	£400,000
Matt Flint		Amber	Green	£390,000
Matt Flint		Red	Red	£380,000
Matt Flint		Red	Amber	£350,000
Jim Benson		Green	Green	£329,061
Steve Parker		Amber	Green	£320,269
Luke Gale		Amber	Red	£266,000
Luke Gale		Green	Green	£255,000
Steve Parker		Green	Green	£234,000
Matt Flint		Green	Green	£231,000
Matt Flint		Amber	Green	£219,500
Jim Benson		Green	Green	£200,000
Mike Smith		Green	Green	£192,864
John Mason		Green	Green	£189,000
John Mason		Green	Green	£178,000
Ian Carey		Green	Red	£172,274
James Geddes		Amber	Green	£162,000
Matt Flint		Green	Amber	£136,850
James Geddes		green	Green	£150,000



Luke Gale		Green	Green	£115,000
James Geddes		Green	Amber	£109,000
John Mason		Green	Green	£106,000
James Geddes		Amber	Red	£100,000
Matt Flint		Green	Green	£80,000
James Geddes		Amber	Green	£80,000
Jim Benson		Green	Green	£78,683
Matt Flint		Green	Green	£78,000
Mike Smith		Green	Green	£74,794
James Geddes		Amber	Green	£68,970
Matt Flint		Amber	Red	£65,250
Matt Flint		Amber	Green	£65,000
Martin Perryman		Green	Green	£63,000
Steve Parker		Green	Green	£62,432
Steve Parker		Green	Green	£62,310
James Geddes		Green	Amber	£60,000
James Ruddle		Green	Green	£56,000
Matt Flint		Amber	Red	£55,500
Matt Flint		Green	Green	£55,000
James Geddes		Red	Red	£54,000
Matt Flint		Amber	Green	£52,000
Steve Parker		Amber	Green	£49,995
Matt Flint		Amber	Green	£46,000
Jim Benson		Amber	Green	£45,000
Luke Gale		Green	Green	£43,940
Ged McCrea		Green	Green	£39,787
Matt Flint		Green	Green	£38,250
Matt Flint		Amber	Amber	£35,000

James Ruddle		Green	Red	£35,000
Chris Souter		Amber	Green	£30,000
John Mason		Green	Green	£23,000
Jim Benson		Green	Green	£20,840
Matt Flint		Green	Red	£20,000
James Geddes		Amber	Red	£16,000
Matt Flint		Green	Red	£16,000
Matt Flint		Amber	Red	£15,500
Steve Parker		Amber	Green	£15,000
James Geddes		Green	Red	£12,500
Jim Benson		Green	Green	£12,412
James Geddes		Green	Green	£12,000
Luke Gale		Green	Green	£12,000
James Geddes		Green	Red	£12,000
Steve Parker		Green	Amber	£11,983
James Ruddle		Green	Green	£11,934
James Geddes		Green	Green	£10,000
Steve Parker		Green	Green	£7,669
John Mason		Green	Green	£6,600
Steve Parker		Green	Red	£6,000
Matt Flint		Red	Red	£0

SAP Cost to Date	Certified to Date (gross)	Balance Remaining	Forecast Out-Turn	Gate Passed
£118,135		£54,897,169	£55,015,304	Gate 0
£98,934		£50,682,399	£50,781,332	Gate 0
£107,850		£43,241,543	£43,349,393	Gate 0
£78,755		£38,021,245	£38,100,000	Gate 0
£1,230,922		£29,069,078	£29,638,267	Gate 1
£2,404,891		£18,788,109	£21,235,689	Gate 2
£683,826		£19,716,174	£20,399,999	
£2,344,141		£13,455,859	£15,799,999	
£16,167		£11,983,833	£11,999,999	Gate 0
£0		£10,000,000	£0	
£0		£10,000,000	£0	
£0		£10,000,000	£10,000,000	
£0		£10,000,000	£10,000,000	Gate 0
£87,210		£7,912,790	£7,999,999	Gate 0
£0		£7,500,000	£7,500,000	
£0		£6,764,776	£6,764,776	
£172,472		£4,457,529	£4,636,930	Gate 1
£4,944		£2,995,056	£2,999,999	Gate 0
£4,944		£2,995,056	£2,999,999	Gate 0
£0		£2,500,000	£2,500,000	
£1,978,601		£171,399	£2,121,797	
£0		£2,100,000	£0	
£74,654		£1,325,346	£1,599,654	Gate 1
£293,888		£732,196	£1,029,828	

£65,280		£834,720	£897,374
£78,754		£785,878	£874,753
£0		£770,000	£770,000
£703,751		£46,249	£750,000 Gate 2
£32,637		£667,363	£732,637 Gate 1
£59,466		£540,534	£59,466 Gate 1
£485,734		£108,506	£485,733
£24,699		£817,287	£839,699 Gate 1
£92,230		£415,270	£250,229 Gate 2
£0		£500,000	£0
£142,222		£357,778	£497,221 Gate 2
£46,399		£453,601	£99,844
£337,589		£162,411	£449,268
£124,947		£343,053	£434,947 N / A
£1,662		£453,016	£456,339
£0		£451,085	£0
£108,329		£333,120	£441,449
£35,280		£399,720	£129,300
£316,955		£118,045	£316,955
£36,420		£363,580	£36,420 Gate 1
£41,899		£308,101	£349,899 Gate 1
£20,875		£319,125	£330,874 Gate 1
£17,412		£344,886	£298,411 Gate 1
£0		£324,000	£0
£45,000		£135,000	£345,000
£216,568		£83,432	£216,567

£7,560		£265,320	£272,880	
£9,072		£240,928	£275,072	Gate 1
£116,874		£133,126	£250,000	N / A
£261,405		-£11,405	£311,405	Gate 2
£185,202		£46,798	£231,999	Gate 2
£169,218		£50,782	£173,217	Gate 2
£4,096		£215,072	£154,095	Gate 2
£62,316		£145,877	£62,316	Gate 2
£9,588		£190,412	£9,588	Gate 2
£592		£199,408	£54,591	
£14,727		£185,273	£14,727	Gate 1
£59,501		£140,499	£59,500	Gate 2
£17,255		£182,745	£34,255	
£147,006		£52,994	£147,005	Gate 2
£41,322		£111,678	£72,711	Gate 2
£0		£150,000	£150,000	
£30,000		£90,000	£30,000	Gate 2
£0		£146,856	£146,856	Gate 0
£10,272		£134,922	£158,973	Gate 2
£70,980		£73,020	£70,979	
£74,932		£52,568	£127,902	Gate 2
£2,259		£122,741	£92,259	
£40,715		£79,285	£112,406	Gate 1
£177,034		-£57,034	£237,133	Gate 2
£95,054		£19,145	£95,054	Gate 2
£57,806		£52,194	£57,805	Gate 2
£151,287		-£49,287	£151,287	

£34,891		£65,109	£34,891	Gate 2
£0		£100,000	£100,000	
£0		£100,000	£8,300	
£95,987			£0	
£57,600		£38,016	£57,600	Gate 2
£94,604		£0	£94,603	
£70,320		£21,680	£70,320	
£22,656		£67,344	£112,656	
£67,376		£19,624	£67,375	
£0			£0	
£6,926		£91,955	£98,926	
£64,288		£19,712	£80,287	
£65,471		£14,529	£65,470	
£69,677		£9,709	£69,677	
£72,405		£5,595	£72,404	
£77,046		-£2,046	£82,046	
£14,931		£58,844	£14,930	
£33,600		£38,400	£33,600	Gate 2
£5,721		£64,279	£72,720	
£65,949		£4,051	£67,449	
£63,744		£2,784	£63,744	
£395		£65,605	£65,394	
£66,710		-£710	£66,709	
£59,320		£5,680	£59,319	
£85,095		-£20,095	£85,095	
£55,265		£6,027	£55,265	
£0		£61,200	£0	Gate 2

£14,552		£45,448	£54,552	
£21,432		£33,768	£21,432	
£0		£54,000	£54,000	Gate 2
£47,972		£5,238	£47,971	
£45,706		£6,294	£45,705	
£0		£50,288	£50,288	
£35,586		£15,294	£50,586	Gate 2
£0		£50,000	£40,000	
£0		£143,016	£50,000	Gate 2
£46,974		£3,026	£46,974	
£0		£47,120	£0	Gate 2
£17,338		£29,653	£60,338	Gate 2
£0		£46,000	£46,000	
£0			£0	
£22,017		£21,983	£22,017	
£44,159		-£1,159	£44,159	
£0		£41,758	£0	
£0			£0	
£13,057		£27,463	£13,056	Gate 2
£29,146		£10,854	£29,145	
£30,093		£9,907	£70,092	
£36,109		£2,291	£36,108	
£0		£38,266	£38,266	
£0		£38,072	£38,072	
£36,559		£1,441	£36,558	
£0			£0	
£0			£0	
£10,446		£21,554	£13,445	

£0		£31,524	£31,524
£31,394		£0	£94,181
£30,804		£0	£30,804
£0		£30,000	£0
£503		£29,497	£502
£70,415		-£40,415	£106,054
£0		£30,000	£0
£0		£29,888	£29,888
£19,861		£6,968	£19,861
£0		£24,161	£24,161
£13,236		£10,764	£13,236
£29,592		-£5,592	£29,591
£23,425		£0	£23,425
£0		£21,000	£21,000
£15,552		£4,448	£15,551
£16,481		£2,977	£16,481
£934		£34,316	£933
£16,932		£0	£16,932
£0		£16,800	£16,800
£13,471		£3,235	£13,470
£12,338		£1,414	£12,338
£1,482		£11,418	£1,482
£12,546		£0	£12,546
£0		£12,000	£0
£2,826		£9,174	£2,826
£12,678		-£678	£12,678
£9,909		£1,791	£9,908



£10,702		£932	£10,701
£11,276		£301	£11,276
£0		£11,494	£0
£10,011		£1,002	£10,010
£7,859		£2,941	£7,858
£4,116		£5,884	£4,116
£7,225		£2,775	£7,225
£6,128		£3,672	£6,127
£9,458		-£84	£9,458
£0		£9,360	£0
£9,100		£0	£9,100
£8,756		£144	£8,756
£0			£0
£0		£8,500	£0
£6,116		£2,284	£6,116
£3,402		£4,598	£3,401
£6,588		£612	£6,588
£0		£7,000	£5,360
£330		£6,670	£7,000
£6,673		£301	£6,673
£1,890		£4,350	£1,890
£0		£6,234	£0
£4,943		£900	£4,943
£5,220		£420	£5,220
£5,838		-£313	£5,838
£6,654		-£1,129	£6,654
£13,696		-£8,296	£13,695
£0		£5,112	£5,112

£3,494		£1,306	£3,493	
£3,754		£1,046	£3,753	
£4,536		£0	£4,536	
£4,120		£80	£4,119	
£0		£3,000	£0	
£2,507		£193	£2,507	
£1,050		£950	£1,050	
£1,592		£120	£1,592	
£0		£1,650	£0	
£1,650		£0	£1,650	
£1,119		£381	£1,118	
£1,452			£0	
£7,043		-£7,041	£7,042	
£115,557		-£115,556	£115,556	
£0		£0	£0	
£16,165		-£16,165	£16,165	
£13,122		-£13,122	£13,122	
£32,478		-£32,478	£32,478	
£39,755,410		£2,144,590	£39,755,409	
£17,722,445		£1,777,555	£17,999,999	
£14,806,923		£193,077	£15,018,922	
£824,118		£11,967,882	£824,117	
£4,342,876		-£357,106	£4,560,000	
£2,836,499		-£36,499	£2,836,499	
£58,814		£2,149,186	£58,813	
£1,035,416		£611,584	£1,162,416	

£1,020,756		£10,118	£1,020,756
£872,082		£44,918	£872,082
£745,996		£43,004	£763,781
£477,406		-£2,406	£477,405
£795,058		-£145,058	£795,057
£444,275		£17,225	£444,274
£0		£450,000	£0
£411,373		£33,627	£449,372
£425,994		£6,006	£425,993
£397,607		£2,393	£406,587
£265,282		£124,718	£265,281
£406,037		-£26,037	£406,036
£357,575		-£7,575	£366,325
£307,934		£21,127	£307,933
£300,777		£19,492	£306,277
£266,261		-£261	£298,049
£249,818		£5,182	£252,617
£199,525		£34,475	£219,524
£223,923		£7,077	£223,922
£212,481		£7,019	£212,481
£184,174		£15,826	£184,173
£183,982		£8,882	£183,982
£186,706		£2,294	£186,705
£175,620		£2,380	£175,620
£285,514		-£113,240	£286,058
£113,388		£48,612	£113,388
£137,505		-£655	£137,505
£129,061		£20,939	£139,060

£49,840		£65,160	£49,840
£111,055		-£2,055	£111,055
£85,484		£20,516	£85,483
£204,391		-£104,391	£204,390
£56,213		£23,787	£56,213
£61,384		£18,616	£61,384
£60,634		£18,049	£60,633
£65,316		£12,684	£71,716
£59,994		£14,800	£59,994
£58,523		£10,447	£58,522
£79,608		-£14,358	£79,608
£52,780		£12,220	£52,779
£58,774		£4,226	£58,774
£56,888		£5,544	£56,887
£56,951		£5,359	£56,951
£60,550		-£550	£60,549
£53,091		£2,909	£55,530
£67,910		-£12,410	£67,910
£51,835		£3,165	£51,835
£62,747		-£8,747	£62,746
£42,809		£9,191	£42,809
£40,122		£9,873	£40,121
£39,402		£6,598	£39,402
£39,671		£5,330	£39,670
£27,260		£16,680	£28,260
£37,265		£2,522	£37,265
£31,309		£6,941	£31,309
£35,797		-£797	£35,796

£57,049		-£22,049	£126,858
£27,000		£3,000	£27,000
£20,238		£2,762	£20,238
£18,266		£2,574	£18,265
£21,378		-£1,378	£21,377
£15,970		£30	£17,937
£20,413		-£4,413	£20,412
£25,452		-£9,952	£25,452
£8,469		£6,531	£8,468
£12,319		£181	£24,818
£10,537		£1,875	£10,536
£3,960		£8,040	£3,960
£7,375		£4,625	£7,374
£10,061		£1,939	£32,060
£12,350		-£367	£12,350
£7,560		£4,374	£7,560
£6,610		£3,390	£6,609
£6,709		£960	£6,709
£5,998		£602	£5,997
£12,640		-£6,640	£12,640
£238,772		-£238,772	£238,772

Project Status	Planned / Unplanned Capital Plan	Project Started	Gate 0 Approval	Estimate at Gate 0	Funding Source
0 : Strategic Definition			13-Jul-21		
0 : Strategic Definition			25-Nov-20		
0 : Strategic Definition			17-Oct-18		
0 : Strategic Definition			04-Jun-19		
2 : Design					
5 : Construction					
3 : Developed Design					
3 : Developed Design					
0 : Strategic Definition					
0 : Strategic Definition					
4 : Technical Design					
3 : Developed Design					
4 : Technical Design					



7 : In Use					



6 : Handover & Close Out					
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5 : Construction					
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1 : Preparation & Brief					
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6 : Handover & Close Out					
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5 : Construction					
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5 : Construction					
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6 : Handover & Close Out					
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0 : Strategic Definition					
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7 : In Use					
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1 : Preparation & Brief					
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5 : Construction					
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5 : Construction					
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5: Construction					
		N/A	N/A	N/A	N/A
7 : In Use					
1 : Preparation & Brief					
7 : In Use					
7 : In Use					
0 : Strategic Definition					
7 : In Use					
7 : In Use					





7 : In Use					
5 : Construction					
4 : Technical Design					
4 : Technical Design					
7 : In Use					
7 : In Use					
7 : In Use					
7 : In Use					
7 : In Use					
3 : Developed Design					
7 : In Use					
5 : Construction					

7 : In Use					
7 : In Use					
4 : Technical Design					
1 : Preparation & Brief					
4: Construction					
7 : In Use					
7 : In Use					
7 : In Use					
7 : In Use					
4 : Technical Design					
4 : Technical Design					
7 : In Use					
5: Construction					
7 : In Use					

7 : In Use					
2 : Design					
4 : Technical Design					
5 : Construction					
5 : Construction					
7 : In Use					
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7 : In Use					
5 : Construction					
7 : In Use					
7 : In Use					
5 : Construction					
7 : In Use					
7 : In Use					

7 : In Use					
7 : In Use					
6 : Handover & Close Out					
4 : Technical Design					
4 : Technical Design					
7 : In Use					
7 : In Use					
7 : In Use					
7 : In Use					
1 : Preparation & Brief					
2 : Concept Design					
7 : In Use					
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0 : Strategic Definition					
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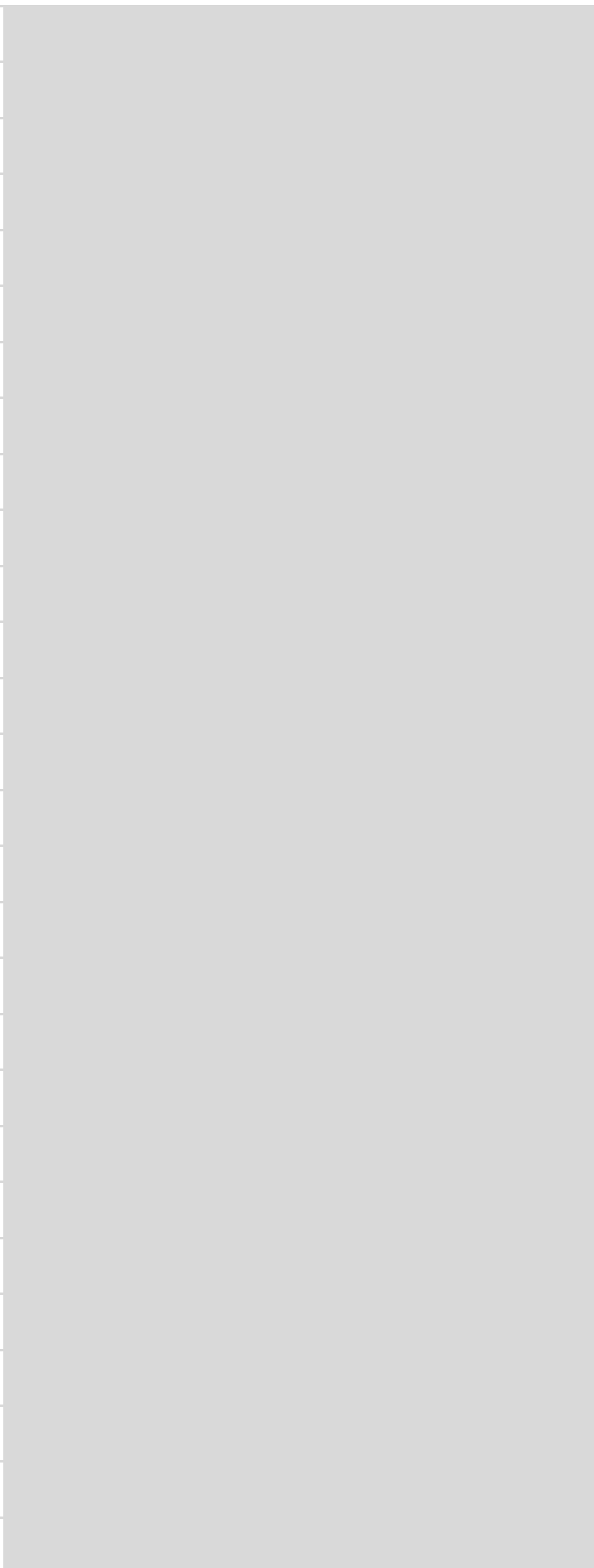
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6 : Handover & Close Out					
3 : Developed Design					
7 : In Use					
0 : Strategic Definition					
7 : In Use					



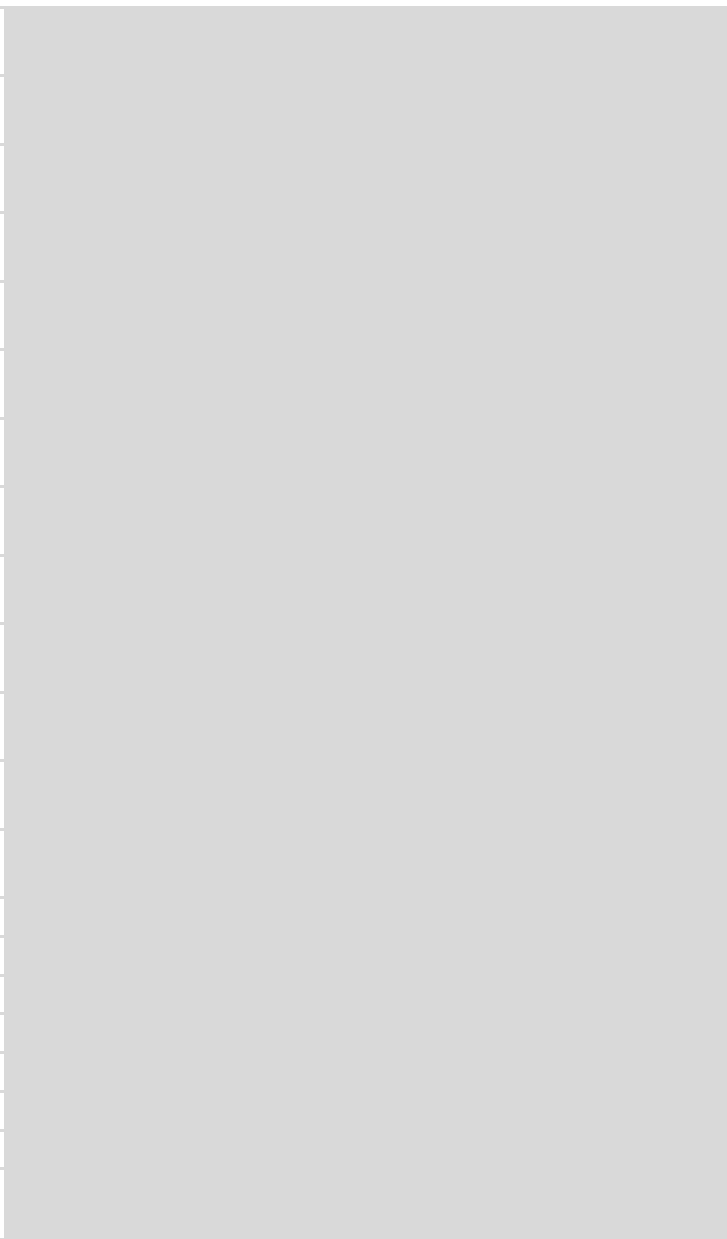
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7 : In Use		
2 : Design		
7 : In Use		
7 : In Use		
6 : Handover & Close Out		

6 : Handover & Close Out	
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7 : In Use	
7 : In Use	
7 : In Use	
7 : In Use	
0 : Strategic Definition	
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7 : In Use	
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7 : In Use	
7 : In Use	
7 : In Use	
2 : Design	
7 : In Use	
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6 : Handover & Close Out	
6 : Handover & Close Out	

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6 : Handover & Close Out	
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7 : In Use	
7 : In Use	
7 : In Use	
7 : In Use	
4 : Technical Design	
7 : In Use	
7 : In Use	
5 : Construction	
7 : In Use	
7 : In Use	
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7 : In Use	



7 : In Use	
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6 : Handover & Close Out	
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7 : In Use	
6 : Handover & Close Out	
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7 : In Use	
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7 : In Use	
7 : In Use	
6 : Handover & Close Out	





RIBA Stage 1 Report		Gate 1 Approval	Estimate at Gate 1	RIBA Stage 2 Report		RIBA Stage 2 Report
Planned	Forecast / Actual			Planned	Forecast / Actual	Planned
19-Jan-22		13-Jul-21		19-Jan-22		12-Jul-22
		25-Nov-20		01-Jun-21		17-Nov-21
		17-Oct-18		17-Apr-19		09-Oct-19
				04-Dec-19		Jun-20
				21-Jun-17	22-Jun-17	05-Oct-17
07-Nov-16	07-Nov-16	24-Jul-14		30-Dec-16	30-Dec-16	26-Apr-17
		17-May-17	£20,400,000	01-Sep-17	01-Sep-17	13-Jul-18
17-Jan-17	17-Jan-17			42814	42814	May-17
Apr-18				Jun-18		Feb-19
08-Dec-17	08-Dec-17			11-May-18		16-Nov-18
04-Apr-17						
04-Apr-17						
				02/03/2018		Apr-18




05-Jun-17 09-Aug-17 05-Sep-17

23-Mar-18 Apr-18

16-Feb-18 Apr-18

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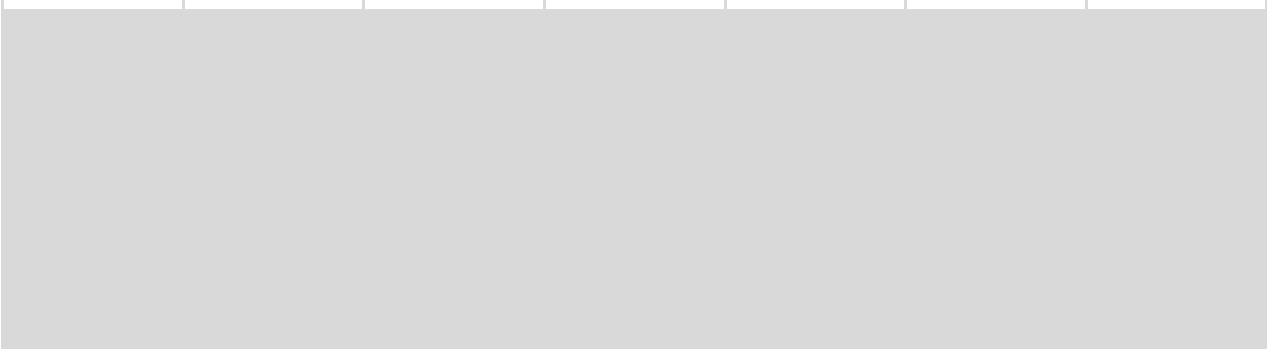
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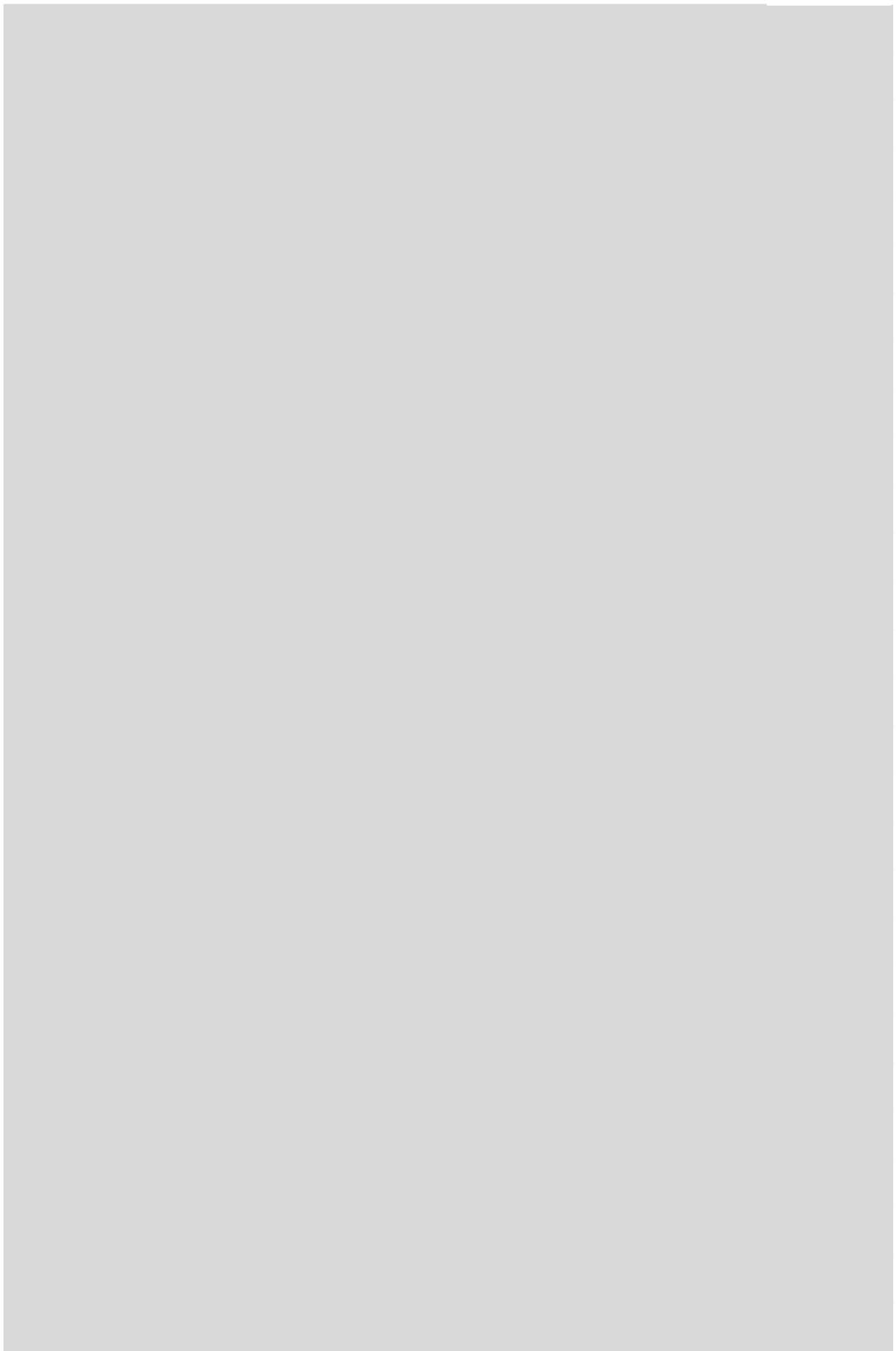




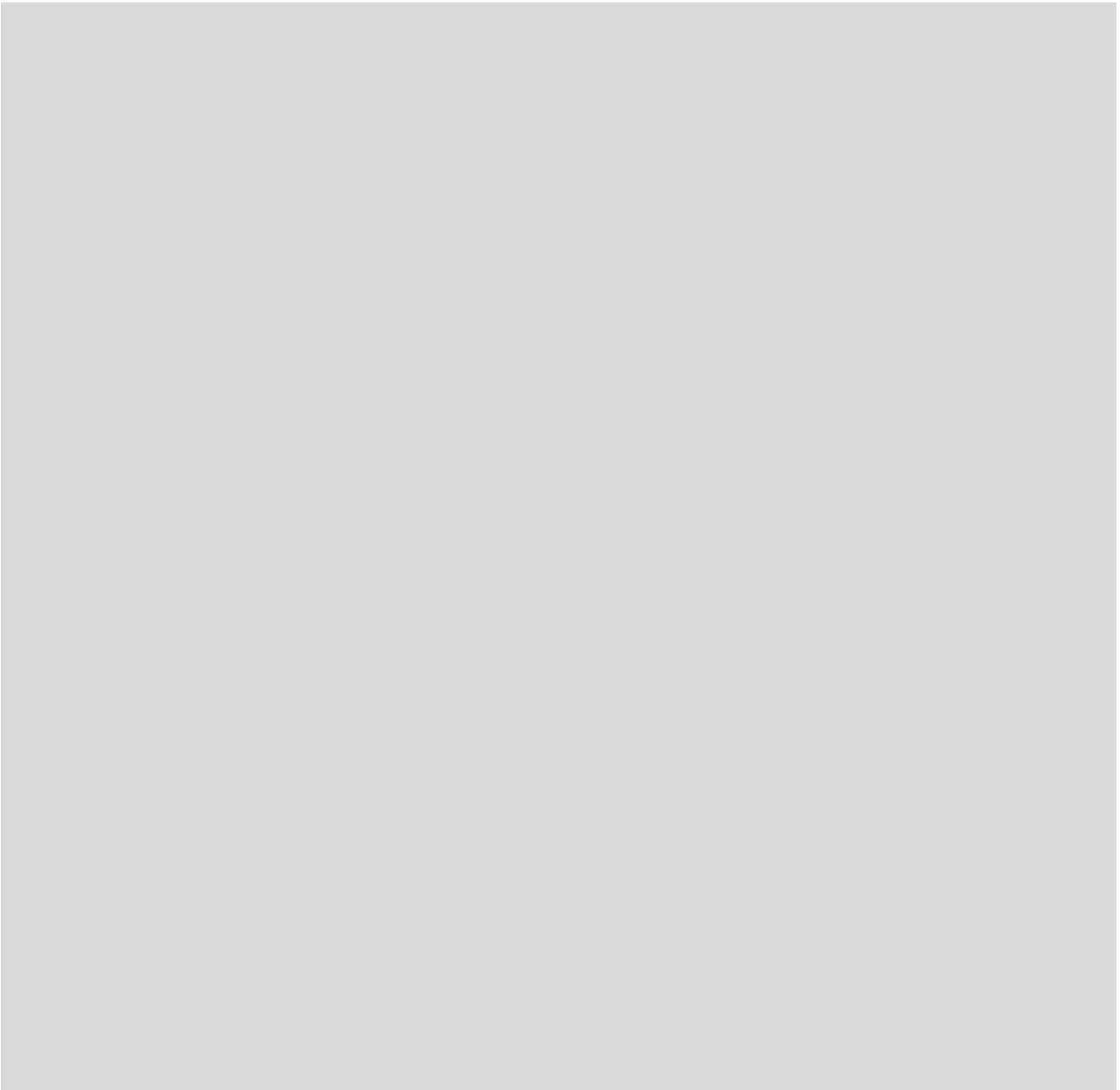










e 3 Report	Planning Submission		Planning Approval		RIBA Stage 4 Report		
	Forecast / Actual	Planned	Forecast / Actual	Planned	Forecast / Actual	Planned	Forecast / Actual
	16-Dec-22	16-Dec-22	16-Feb-23	16-Feb-23	11-Jan-23		
	06-May-22	06-May-22	06-Jul-22	06-Jul-22	23-May-22		
			27-May-20	27-May-20	08-Apr-20		
			14-Jan-21		25-Nov-20		
05-Oct-17	05-Mar-18		09-Apr-18		08-Mar-18		
26-Apr-17	01-Sep-17	01-Sep-17	15-Jan-18	15-Jan-18	09-Nov-17	09-Nov-17	
15-Aug-18	06-Jul-18	31-Jul-18	05-Oct-18	02-Nov-18	19-Oct-18		
May-17	29-Sep-17	29-Sep-17	11-Jan-18	11-Jan-18	18-Dec-17	Dec-17	
	02-Nov-18		04-Jan-19				
Apr-18	N/A	N/A	N/A	N/A	May-18	May-18	




	31-Oct-17		30-Jan-18		Oct-17	
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	N/A	N/A	N/A	N/A	May-18	
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Apr-18	N/A	N/A	N/A	N/A	May-18	May-18
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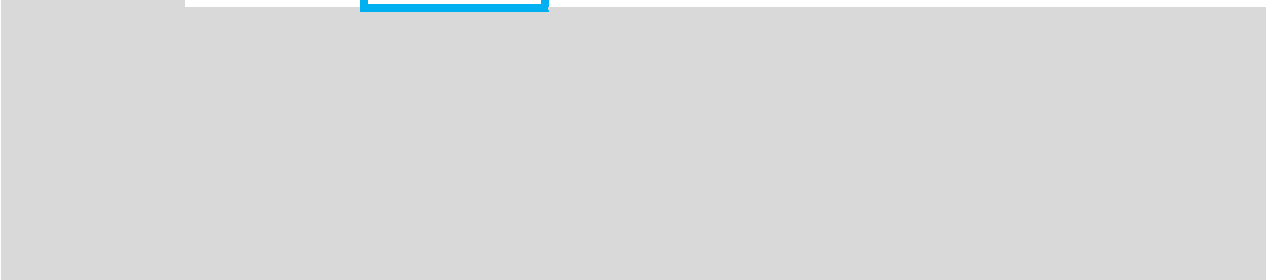
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	11-May-18	11-May-18				
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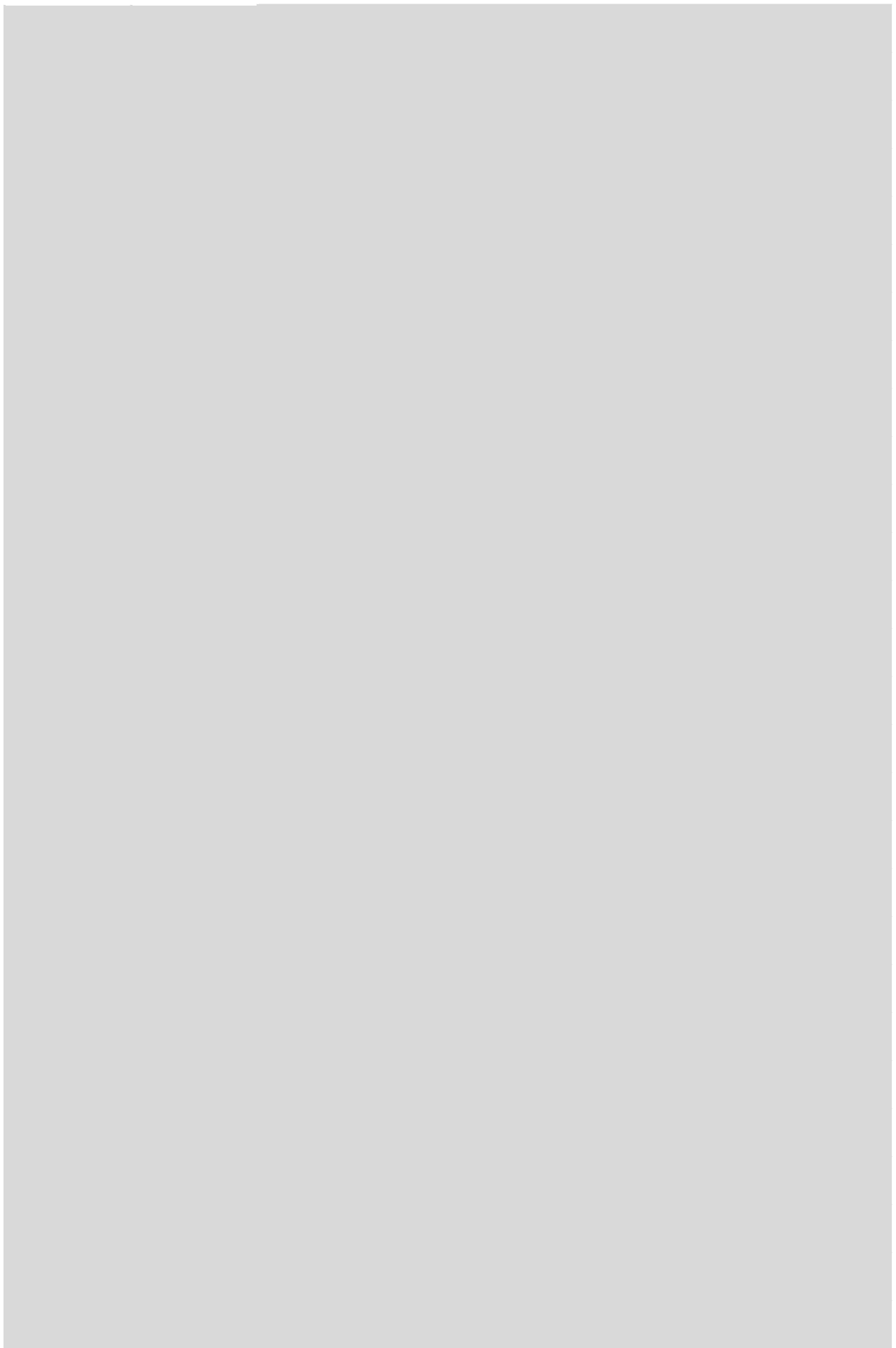




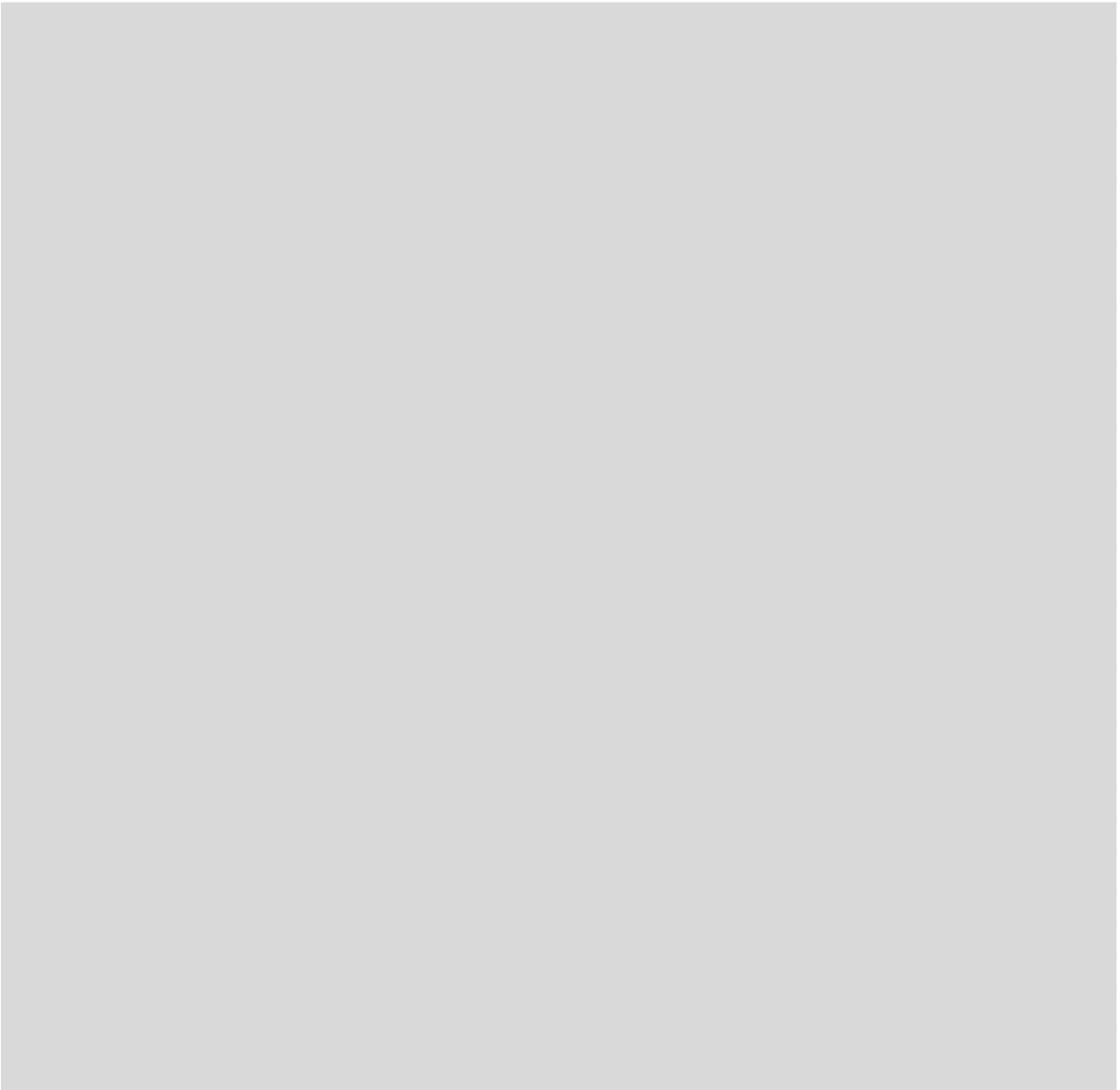












Tender Design			Project Pre-Tender	Tender	
Planned Start	Planned End	Forecast End	Estimate	Tender Issue	Tender Return



			£21,068,760	06-Nov-17	08-Jan-18
				17-Oct-17	15-Dec-17
				29-Oct-18	21-Dec-18
			£9,004,339	08-Jan-18	15-Mar-18
				01-Mar-19	



				14-Dec-18	25-Jan-18
			£1,600,000	14-May-18	01-Jun-18

				01-Sep-17	18-Sep-17
			£760,000	25-May-18	13-Jun-18
			£840,000	21-May-18	08-Jun-18


				21-Jun-18	





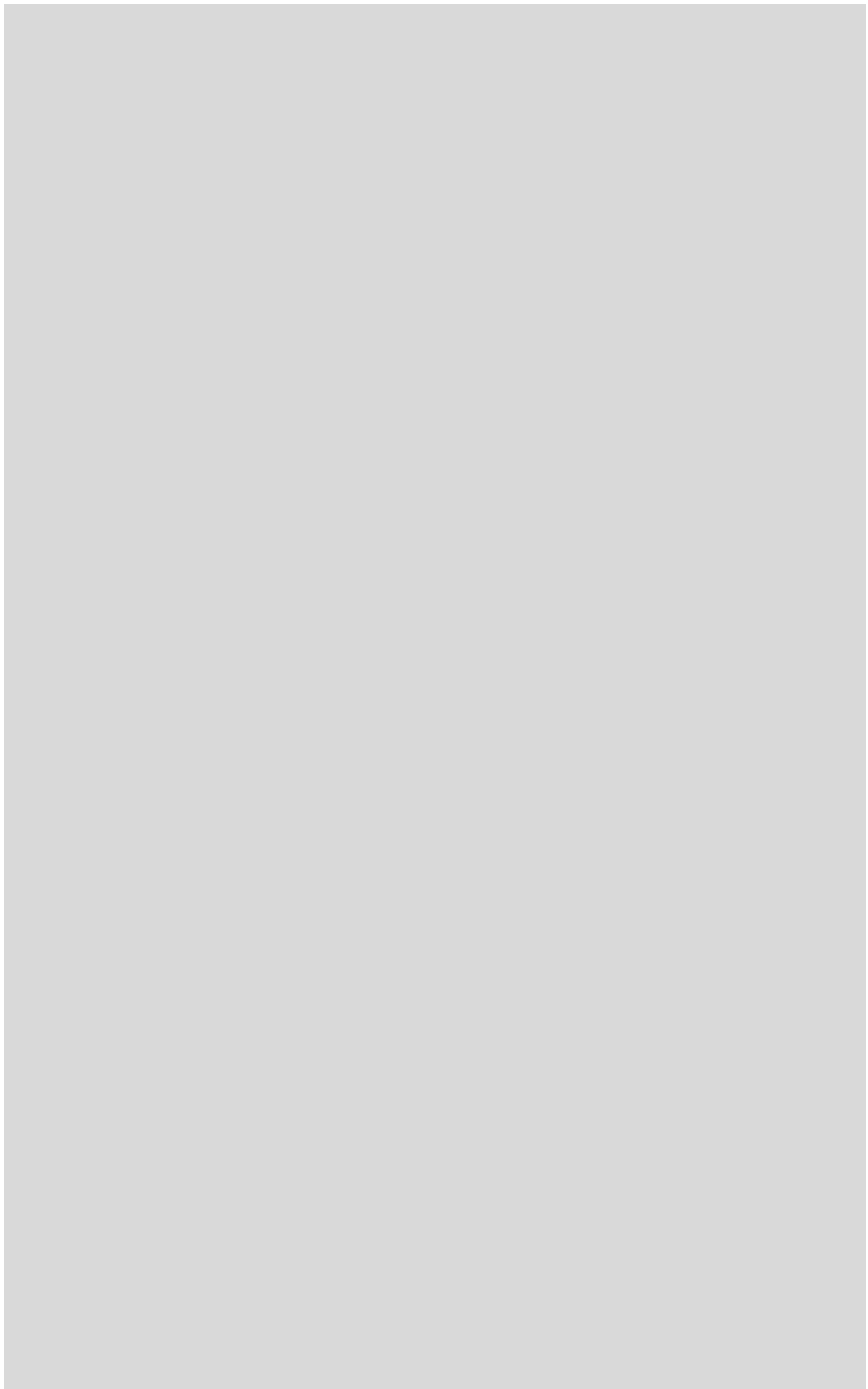


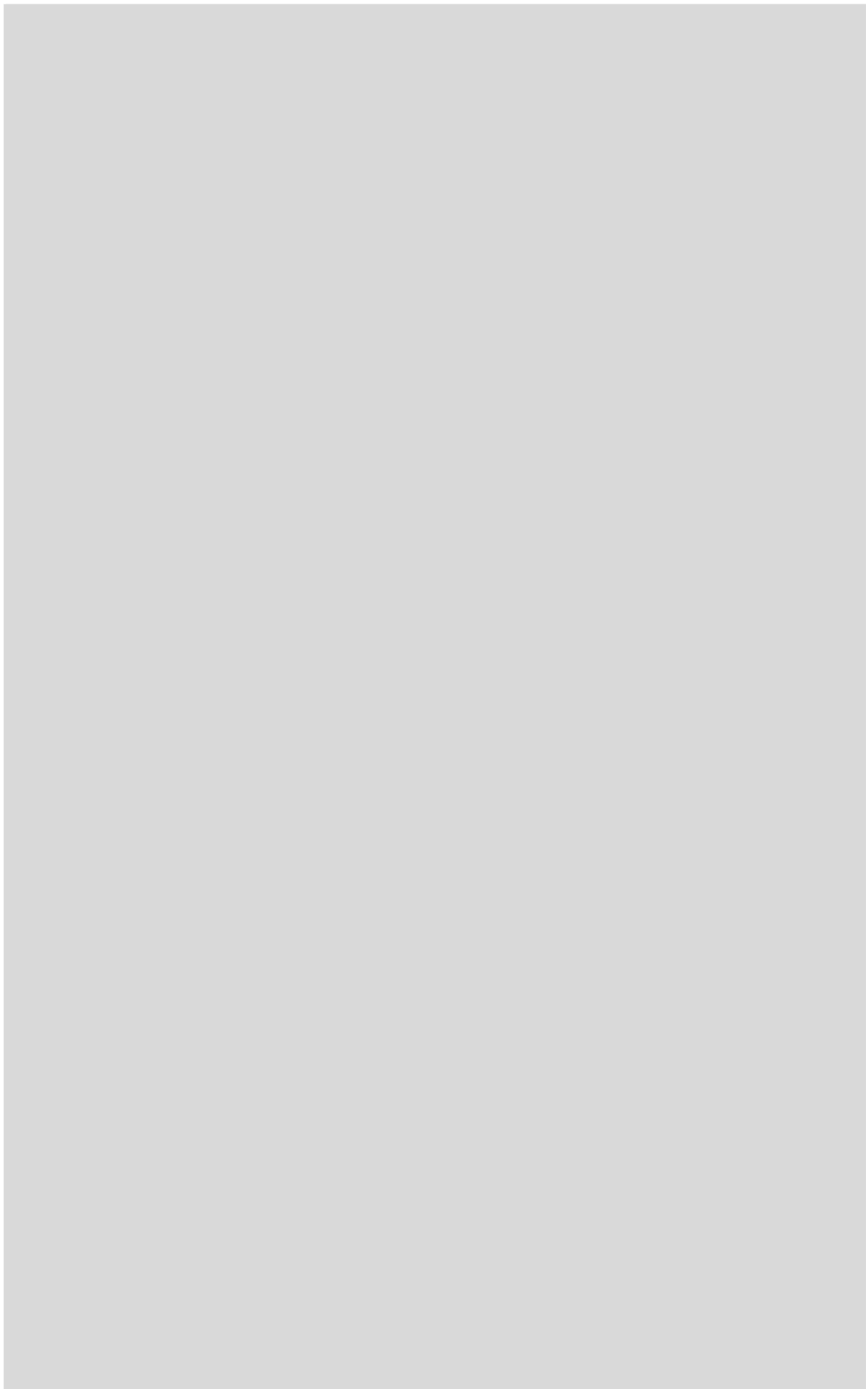
















Period		Gate 2 Approval	Signed Contract	Contract Sum (Net)	University Enabling Works	
Analysis Complete	GMP Date				Start	Complete



14-May-18	28-May-18		15-Jun-18			
26-Jan-18	26-Jan-18	13-Feb-18	01-Mar-18	£13,180,490	01-Jan-18	01-Mar-18
01-Feb-19	01-Mar-19	01-Mar-19			N/A	N/A
28-Mar-18	28-Mar-18	28-Mar-18	01-Jun-18	£8,663,417	29-Jan-18	17-Oct-18
	01-Apr-19					



08-Feb-19			01-Mar-19			
	05-Jul-18					
	05-Jul-18					
15-Jun-18					N/A	N/A
		16-Mar-18	16-Mar-18	£530,170		




18-Sep-17    18-Oct-17

22-Jun-18	22-Jun-18			£350,000	N/A	N/A
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29-Jun-18



15-Jun-18	15-Jun-18			£509,388	N/A	N/A
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23-Apr-18







			08-Jun-18			
			08-Jun-18			









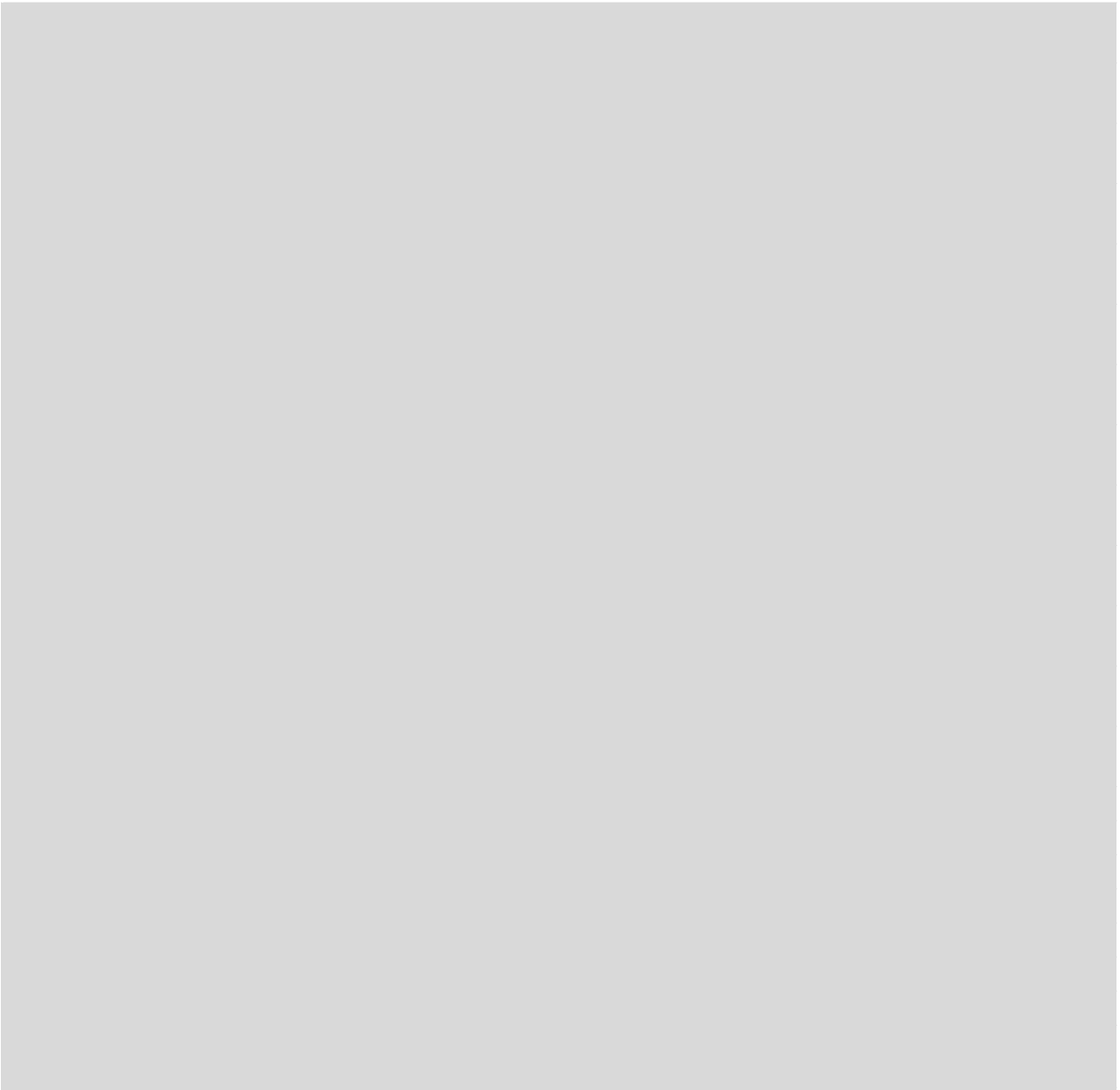










Start on Site	Practical Completion		University Fit Out		Occupation Date	
	Planned	Forecast / Actual	Start	Complete	Anticipated	Actual
06-Apr-23	09-Oct-24	09-Oct-24			Jul-26	Jul-26
17-Aug-22	28-Feb-24	28-Feb-24			Jul-24	Jul-24
08-Jul-20	19-Jan-22	19-Jan-22			Jul-23	Jul-23
26-Apr-21	01-Feb-23				Jul-23	
					Jul-20	
05-Mar-18	29-Aug-19	29-Aug-19		29-Aug-19	Dec-19	
18-Mar-19	03-Jul-20				28-Aug-20	
07-May-18	29-Mar-19	05-Apr-19	12-Apr-19	12-Apr-19	Apr-19	
					Jul-20	
					Jan-20	
					Jan-20	
					Jan-20	
01-Jun-19	01-Nov-20				Jul-22	
					Jan-20	
					Jan-20	
18-Mar-19	30-Aug-19				Aug-19	
09-Dec-19						
10-Feb-20						
					Jan-20	
					Jul-17	Jul-17
					Jul-16	
10-Jun-19	20-Sep-19		10-Jun-19		Sep-19	
26-Mar-18	20-Jul-18	20-Jul-18	26-Mar-18		Sep-18	Sep-18

					Dec-17	
					Jan-20	
23-Oct-17	12-Jan-18	12-Jan-18	18-Dec-17	31-Mar-18	Apr-18	
16-Jun-18	21-Sep-18		24-Sep-18	05-Oct-18	Sep-18	
31-Jul-18		31-Jul-18		31-Jul-18		
					Jul-17	
02-Jul-18	31-Aug-18		27-Aug-18	07-Sep-18	Sep-18	
05-Mar-18	13-Jul-18					
24-Apr-18	31-Aug-18				Aug-18	
					Jul-17	
					Jul-18	
					Jul-17	
					Sep-16	
16-Jul-18	31-Jul-18	31-Jul-18		31-Jul-18		
04-Jun-18	03-Aug-18				Aug-18	
11-Jun-18	31-Jul-18				Jul-18	
13-Aug-18	31-Oct-18					

02-Jul-18	31-Aug-18		02-Jul-18		Sep-18	
N/A	N/A	N/A	N/A		N/A	N/A
					Jul-17	
					Jul-17	
					Jun-17	
	31-Jul-18		31-Jul-18		31-Jul-18	
	01-Jun-18				Jun-18	
					Apr-18	
					Jul-17	



					Jul-17	
					Apr-16	
					Oct-17	
					Jul-17	
					Sep-17	
					Sep-17	
					Sep-16	











May-17

Sep-16

Aug-16

Jul-16

Sep-16

Dec-16

Jul-17

Sep-16

Jan-17

Aug-16

Sep-16

Dec-16

Dec-16

Aug-17

Aug-17

Sep-16

Jul-16

Dec-16

Nov-15

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Oct-16

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Mar-17

Jul-17



























University of Leicester  
**Programme Management Office**  
Risk and Contingency User Guide

PM007

Issue 01 | 3 August 2018



This report takes into account the particular instructions and requirements of our client.

It is not intended for and should not be relied upon by any third party and no responsibility is undertaken to any third party.

Job number 260652-00

**Ove Arup & Partners Ltd**

The Arup Campus  
Blythe Gate  
Blythe Valley Park  
Solihull B90 8AE  
United Kingdom  
[www.arup.com](http://www.arup.com)

**ARUP**

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## Appendices

### Appendix A

Gated Process

# 1 Introduction

This document describes how Project Managers should apply the following procedures on their projects to provide a consistent approach to the PMO monitoring and reporting:

- Risk Registers and how to quantify cost allowances for project risks
- Contingency applied to the cost estimates at each stage of the project

The standard percentages for contingencies at different stages of the project may be adjusted over time to reflect learning from completed projects. Project Managers should include such feedback in any project close out reviews.

Different contingencies are applied at different project Gate stages as described in section 3. For details of the Gates, please refer to the Gated Process report (ref. PM003). The key parts relating to construction / maintenance projects are summarised on the chart in Appendix A.

In the sub-sections below reference is made to P80 prices which is an industry standard term. It is the cost estimate plus contingency price that has an 80% chance of not being exceeded when the project is complete.

## 2 Application of Risk Management

The Project Manager (PM) should work with his / her project team to develop and maintain a project risk register. The PM shall decide when reviews and updates of the risk register are undertaken to suit their individual projects. The most recent risk register should be given to the PMO manager each month to assist with the collation of the PMO monthly dashboard report. This does not mean that the PMs are required to update the risk register monthly.

### 2.1 Assessment of Risks and Contingency Calculation

Risk probability should be estimated using the bandings shown in Table 1, multiplied by the risk impact (defined by the PM), based on cost and programme. It is essential that these probabilities are adhered to when assessing the project risks.

Probability of Occurrence		Score
Very Low: Occurrence is unlikely but possible.	(<5% likelihood)	1
Low: Occurrence is moderately likely.	(5% to 20% likelihood)	2
Medium: Occurrence is likely.	(20% to 50% likelihood)	3
High: Occurrence is very likely.	(50% to 75% likelihood)	4
Very High: Occurrence is reasonably certain.	(>75% likelihood)	5

Table 1 Risk Occurrence

The expected cost and programme delays should be provided if the risk were to materialise, recorded in columns H and I of the risk register (Figure 1). Note: this is the most likely cost and programme impact, not the worst case.

Ref	Causation	Risk Item	Probability	Cost	Programme	Ranking	Expected Most Likely Cost Impact £'s	Expected Programme Impact (weeks)	Gate 2 Contingency (Expected Monetary Value) £'s	Control Measures	Risk Response	Owner	Action Date	STATUS
1	Commercial	<b>Scope Creep</b> Users modify their expectations/requirements as the design progresses	3	3	3	9			£ -	Treat	Define user requirements and get them signed off at the start. Indicate what development flexibility is allowed for.			
2	Health and Safety	<b>Safety risk for campus users</b> Potential harm to campus users from construction activities	5	4	3	20			£ -	Treat	Proper site demarcation and fencing. Control management of deliveries. Regular liaisons with contractors safety management			
3	Planning	<b>Planning delays</b> Listed building could involve significant planning constraints	2	2	2	4		3	£ -	Treat	Early meetings between planners and design team to discuss options			
4	Construction	<b>Insufficient utility services</b> Problems with electricity/water/drainage capacity to the proposed site	2	3	3	6	£7,000.00		£ 875.00	Contingency	Early surveys to assess capacity available. Enhance site utilities if required			
5	Strategic	<b>Project is required earlier than is possible</b> Realistic delivery timescale exceeds the need	4	3	1	12			£ -	Contingency	Options study to look at temporary accommodation or phasing the work. May need to abandon the proposed project.			
6	Construction	<b>Unforeseen ground conditions</b> Ground conditions affect design details and require changes	3	4	5	15	£5,000.00	6	£ 1,750.00	Treat	Undertake proper desk study/site investigation before design. Allow contingency.			

Figure 1 Risk Register Extract

The expected monetary value (EMV) is calculated in column J automatically, by multiplying the probability with the expected most likely cost impact. The summation of the EMV figures provides the contingency at Gate 2.

$$EMV (£) = Probability (\%) \times Cost Impact if Risk Occurs (£)$$

For further details please refer to the Risk Management report (ref. PM002).

## 2.2 Risk Management at Gates

### Up to Gate 0

No risk registers are required before Gate 0 as there will be too little definition of the project. However, the PM may include any obviously significant risks in the project charter if he / she considers it appropriate.

### Gate 0 to Gate 1

An initial risk register should be developed to support the outline business case. However, it is expected that the project will still be insufficiently defined to use the costed risk calculation method to define contingency allowances.

### After Gate 1

After Gate 1 the project design will be developed and the risk register should be expanded and maintained to cover all risks and uncertainties.

At Gate 2 the costed risk register shall be the basis for defining the project contingency that should be applied after Gate 2. The cost estimate at Gate 2 should contain no exclusions for anything needed to deliver the required scope.

## 3 Project Contingency

---

### 3.1 Levels of Contingency to be Applied

The range of uncertainty that applies to any individual project will depend on a number of factors such as:

- Is it new build or refurbishment? (refurb projects are generally considered to have more risks associated with them)
- Its position on the spectrum of simple projects with few dependencies through to very complex project with many interacting issues / requirements.
- Is there good benchmark cost data available or is it an unusual or a very bespoke project?
- How well the users can define their requirements at the time the estimate is prepared or the budget is set.

These different attributes have been allowed for in the proposals for allocating budgets at Gate 1 described below. By Gate 2 these attributes will have been incorporated into the project designs so the contingency calculated by the project team will supersede these allowances.

#### At Gate 0

This is a review at the earliest time to confirm that it is worth spending effort to prepare an initial investigation. The best estimate available (usually an early guess) should be increased by 30-75% to set an upper bound for the possible final cost. The “Estates and Campus Services Project and Programme Governance” paper (by UoL), dated 23 May 2018, recommends 40%.

The added percentage is to be decided by the PM / Estates & Campus Services leadership based on the project size and complexity.

It is not intended that the Gate 0 cost should be used in any way as a basis for budget approval: it is simply a figure to be used against the question “at this price does this project make sense?”

#### At Gate 1

The following contingences are applied to the cost estimate developed during the initial investigation stage (RIBA stage 1 and possibly some of RIBA stage 2). They should generally be applied as standard but may need to be modified if particularly significant risks are identified during the initial investigation. The PM in conjunction with the Estates & Campus Services Leadership shall decide what alternative percentage shall be applied to suit the particular project risks.

Approval at Gate 1 will be given by the highest level of authority required by the University's standing rules. The requested budget should be based on the best estimate available plus the contingency percentage taken from the table below.

***Note that the best estimate shall include everything required to deliver the project scope: there should be no exclusions and estimates are gross cost including VAT at the standard prevailing rate unless otherwise advised by the University's VAT specialist advisor.***

If the approving authority decides to set a budget below the requested budget then the scope should be reduced accordingly to ensure that the relevant contingency percentage is maintained with the lower budget.

This budget becomes the "not to exceed price" and requires approval from the original approving body before any actions or decisions are taken that could break the limit.

Gate 1 Approval	Simple Project	Medium Project	Complex Project
<b>New Build Projects</b>			
Extreme range, estimate +	-5% to +20%	-5% to +25%	-10% to +35%
Project Contingency	10%	12.75%	17.25%
<b>Refurbishment Projects</b>			
Extreme range, estimate +	-10%to +25%	-10% to +30%	-15% to +50%
Project Contingency	12%	14.5%	24.5%

Table 2 Gate 1 contingencies (80% certainty)

For projects that comprise of a mix of refurbishment and new build the percentages should be applied proportionally.

The contingencies in the above table have been calculated to provide an overall budget with an 80% certainty of being enough to deliver the full project scope. This is the so called P80 price.

## At Gate 2

At Gate 2 it is expected that final cost estimates will be based on Contractor tenders received and (for two stage contracts) professional QS estimates based on final design information.

At this Gate a detailed cost report should be proved as part of the review documentation. The final contingency applied should based on a detailed risk and uncertainty analysis as described section 2.1. Note that if the project team wishes to use Quantative Risk



Assessment (QRA) tools, such as *At Risk*, to calculate contingencies rather than the method described in section 2, then this is encouraged.

Gate 2 approval should be given by the Delegated Authority provided that the Gate 2 estimate plus the contingency does not exceed the upper limit approved by the relevant approving committee at Gate 1.

## 3.2 Defining Project Contingency

The level of contingency depends on the complexity of the project, divided into three categories as shown in Table 3. The project attributes should be agreed as part of the development of the Strategic Business Case.

<p><b>Simple Projects</b></p> <ul style="list-style-type: none"> <li>• Simple design complexity</li> <li>• Limited stakeholder management required</li> <li>• Simple M&amp;E / servicing requirements</li> <li>• Simple FF&amp;E install</li> <li>• Low risks from survey data (e.g. no asbestos, no contaminated land, no protected species etc.)</li> <li>• No / limited site constraints and operational considerations</li> </ul>
<p><b>Medium Complexity Projects</b></p> <ul style="list-style-type: none"> <li>• Standard design</li> <li>• Many stakeholders to engage</li> <li>• Standard M&amp;E / servicing requirements</li> <li>• Simple / partly complex FF&amp;E requirements</li> <li>• Medium risks from survey data (e.g. asbestos, contaminated land, protected species etc.)</li> <li>• Some site constraints and operational considerations</li> </ul>
<p><b>Complex Projects</b></p> <ul style="list-style-type: none"> <li>• Unique, complex design</li> <li>• Works within existing buildings</li> <li>• Complex stakeholder management</li> <li>• Specialist FF&amp;E (i.e. lab apparatus)</li> <li>• Complex M&amp;E / servicing requirements</li> <li>• High risks from survey data (e.g. asbestos, contaminated land, protected species etc.)</li> <li>• Major site constraints and operational considerations</li> </ul>

Table 3 Project Complexity

### 3.3 Management of Contingency

During the design and construction stages the project contingences should be managed by the PM and Project Board in the normal way. This includes applying any standard University procedures for drawdown of the available contingency.

During the design stage the contingency can be used for minor adjustments to the project scope as it develops but should not be used for significant changes to user requirements above the scope approved at Gate 1. During the construction stage the contingency should not be used for scope change / enhancement.

Each project should release spare contingency back to the University's finance team as the levels of price uncertainty decrease. It is recommended that contingency release is made at the following milestones:

- **At Gate 2:** any spare contingency above the detailed cost plan and contingency estimate should be released.
- **At mid-point of construction, say 60% through the construction schedule:** The final out turn cost estimate at the time should be reviewed and compared to the risk register current at that time. If significant contingencies remain and they are not likely to be needed then an appropriate proportion should be released.
- **At practical completion:** Only contingency needed to deal with outstanding items not yet agreed should be retained. All other contingency should be released.

Early release of contingency enables the University to use the money to proceed with other projects that would otherwise be delayed or abandoned.

Contingency release shall be undertaken as follows:

- The project team shall raise a change control notice that simply shows a budget cost reduction.
- The change control notice shall be reviewed and signed off by the relevant authorities required by the type, size and complexity of the project.
- Once the change control authorisation is approved, the finance team will adjust the project budget as for any other authorised budget change.

## Appendix A

### Gated Process

# A1 Stage Gate Process

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University of Leicester  
**Programme Management Office**  
Risk and Contingency User Guide

PM007

Issue 02 | 18 September 2018



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**Ove Arup & Partners Ltd**

The Arup Campus  
Blythe Gate  
Blythe Valley Park  
Solihull B90 8AE  
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Gated Process

### Appendix B

Contingency Process Map

# 1 Introduction

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The standard percentages for contingencies at different stages may be adjusted over time to reflect learning from completed projects. Project Managers should include such feedback in any project close out reviews.

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2	Health and Safety	<b>Safety risk for campus users</b> Potential harm to campus users from construction activities	5	4	3	20			£ -	Treat	Proper site demarcation and fencing. Control management of deliveries. Regular liaisons with contractors safety management			
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Figure 1 Risk Register Extract

The expected monetary value (EMV) is calculated in column J automatically, by multiplying the probability with the expected most likely cost impact. The summation of the EMV figures provides the contingency at Gate 2.

$$EMV (£) = Probability (\%) \times Cost Impact if Risk Occurs (£)$$

For further details please refer to the Risk Management report (ref. PM002).

## 2.2 Risk Management at Gates

### Up to Gate 0

No risk registers are required before Gate 0 as there will be too little definition of the project. However, the PM may include any obviously significant risks in the project charter if he / she considers it appropriate.

### Gate 0 to Gate 1

An initial risk register should be developed to support the outline business case. However, it is expected that the project will still be insufficiently defined to use the costed risk calculation method to define contingency allowances.

### After Gate 1

After Gate 1 the project design will be developed and the risk register should be expanded and maintained to cover all risks and uncertainties.

At Gate 2 the costed risk register shall be the basis for defining the project contingency that should be applied after Gate 2. The cost estimate at Gate 2 should contain no exclusions for anything needed to deliver the required scope.



## 3 Project Contingency

---

### 3.1 Levels of Contingency to be Applied

The range of uncertainty that applies to any individual project will depend on a number of factors such as:

- Is it new build or refurbishment? (refurb projects are generally considered to have more risks associated with them)
- Its position on the spectrum of simple projects with few dependencies through to very complex project with many interacting issues / requirements.
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- How well the users can define their requirements at the time the estimate is prepared or the budget is set.

These different attributes have been allowed for in the proposals for allocating budgets at Gate 1 described below. By Gate 2 these attributes will have been incorporated into the project designs so the contingency calculated by the project team will supersede these allowances.

#### At Gate 0

This is a review at the earliest time to confirm that it is worth spending effort to prepare an initial investigation. The best estimate available (usually an early guess) should be increased by 30-75% to set an upper bound for the possible final cost. The “Estates and Campus Services Project and Programme Governance” paper (by UoL), dated 23 May 2018, recommends 40%.

The added percentage is to be decided by the PM / Estates Office leadership based on the project size and complexity.

It is not intended that the Gate 0 cost should be used in any way as a basis for budget approval; it is simply a figure to be used against the question “at this price does this project make sense?”

#### At Gate 1

The following contingences are applied to the cost estimate developed during the initial investigation stage (RIBA stage 1 and possibly some of RIBA stage 2). They should generally be applied as standard but may need to be modified if particularly significant risks are identified during the initial investigation. The PM in conjunction with the Estates & Campus Services Leadership shall decide what alternative percentage shall be applied to suit the particular project risks.

Approval at Gate 1 will be given by the highest level of authority required by the university's standing rules. The requested budget should be based on the best estimate available plus the contingency percentage taken from the table below.

***Note that the best estimate shall include everything required to deliver the project scope; there should be no exclusions and estimates are gross cost including VAT at the standard prevailing rate unless otherwise advised by the University's VAT specialist advisor.***

If the approving authority decides to set a budget below the requested budget then the scope should be reduced accordingly to ensure that the relevant contingency percentage is maintained with the lower budget.

This budget becomes the "not to exceed price" and requires approval from the original approving body before any actions or decisions are taken that could break the limit.

Gate 1 Approval	Simple Project	Medium Project	Complex Project
<b>New Build Projects</b>			
Extreme range, estimate +	-5% to +20%	-5% to +25%	-10% to +35%
Project Contingency	10%	12.75%	17.25%
<b>Refurbishment Projects</b>			
Extreme range, estimate +	-10%to +25%	-10% to +30%	-15% to +50%
Project Contingency	12%	14.5%	24.5%

Table 2 Gate 1 contingencies (80% certainty)

For projects that comprise of a mix of refurbishment and new build the percentages should be applied proportionally.

The contingencies in the above table have been calculated to provide an overall budget with an 80% certainty of being enough to deliver the full project scope. This is the so called P80 price.

## At Gate 2

At Gate 2 it is expected that final cost estimates will be based on Contractor tenders received and (for two stage contracts) professional QS estimates based on final design information.

At this Gate a detailed cost report should be proved as part of the review documentation. The final contingency applied should be based on a detailed risk and uncertainty analysis as described in section 2.1.

Gate 2 approval should be given by the Delegated Authority provided that the Gate 2 estimate plus the contingency does not exceed the upper limit approved by the relevant approving committee at Gate 1.

## 3.2 Defining Project Contingency

The level of contingency depends on the complexity of the project, divided into three categories as shown in Table 3. The project attributes should be indicated at the Initial Investigation Stage and agreed as part of the development of the Initial Investigation.

<b>Project Attributes</b>	<b>Simple</b>
	<ul style="list-style-type: none"> <li>• Simple design complexity</li> <li>• Limited stakeholder management required</li> <li>• Simple M&amp;E / servicing requirements</li> <li>• Simple FF&amp;E install</li> <li>• Low risks from survey data (e.g. no asbestos, no contaminated land, no protected species etc.)</li> <li>• No / limited site constraints and operational considerations</li> </ul>
	<b>Medium</b>
	<ul style="list-style-type: none"> <li>• Standard design</li> <li>• Many stakeholders to engage</li> <li>• Standard M&amp;E / servicing requirements</li> <li>• Simple / partly complex FF&amp;E requirements</li> <li>• Medium risks from survey data (e.g. asbestos, contaminated land, protected species etc.)</li> <li>• Some site constraints and operational considerations</li> </ul>
	<b>Complex</b>
	<ul style="list-style-type: none"> <li>• Unique, complex design</li> <li>• Works within existing buildings</li> <li>• Complex stakeholder management</li> <li>• Specialist FF&amp;E (i.e. lab apparatus)</li> <li>• Complex M&amp;E / servicing requirements</li> <li>• High risks from survey data (e.g. asbestos, contaminated land, protected species etc.)</li> <li>• Major site constraints and operational considerations</li> </ul>

Table 3 Project Complexity

### 3.3 Management of Contingency

During the design and construction stages the project contingences should be managed by the PM and Project Board in the normal way. This includes applying any standard UoL procedures to drawdown of the available contingency.

During the design stage the contingency can be used for minor adjustments to the project scope as it develops but should not be used for significant changes to user requirements above the scope approved at Gate 1. During the construction stage the contingency should not be used for scope change / enhancement.

Each project should release spare contingency back to the University's finance team as the levels of price uncertainty decrease. It is recommended that contingency release is made at the following milestones:

- At Gate 2: any spare contingency above the detailed cost plan and contingency estimate should be released.
- At mid-point of construction, say 60% through the construction schedule: The final out turn cost estimate at the time should be reviewed and compared to the risk register current at that time. If significant contingencies remain and they are not likely to be needed then an appropriate proportion should be released.
- At practical completion: Only contingency needed to deal with outstanding items not yet agreed should be retained. All other contingency should be released.

Early release of contingency enables the University to use the money to proceed with other projects that would otherwise be delayed or abandoned. Refer to Appendix B for the contingency process diagram.

Contingency release shall be undertaken as follows:

- The project team shall raise a change control notice that simply shows a budget cost reduction.
- The change control notice shall be reviewed and signed off by the relevant authorities required by the type, size and complexity of the project.
- Once the change control authorisation is approved, the finance team will adjust the project budget as for any other authorised budget change. The change control process is outlined within the "Estates and Campus Services Project and Programme Governance" paper (dated 23 May 2018).

## Appendix A

### Gated Process

# A1 Stage Gate Process

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## **Appendix B**

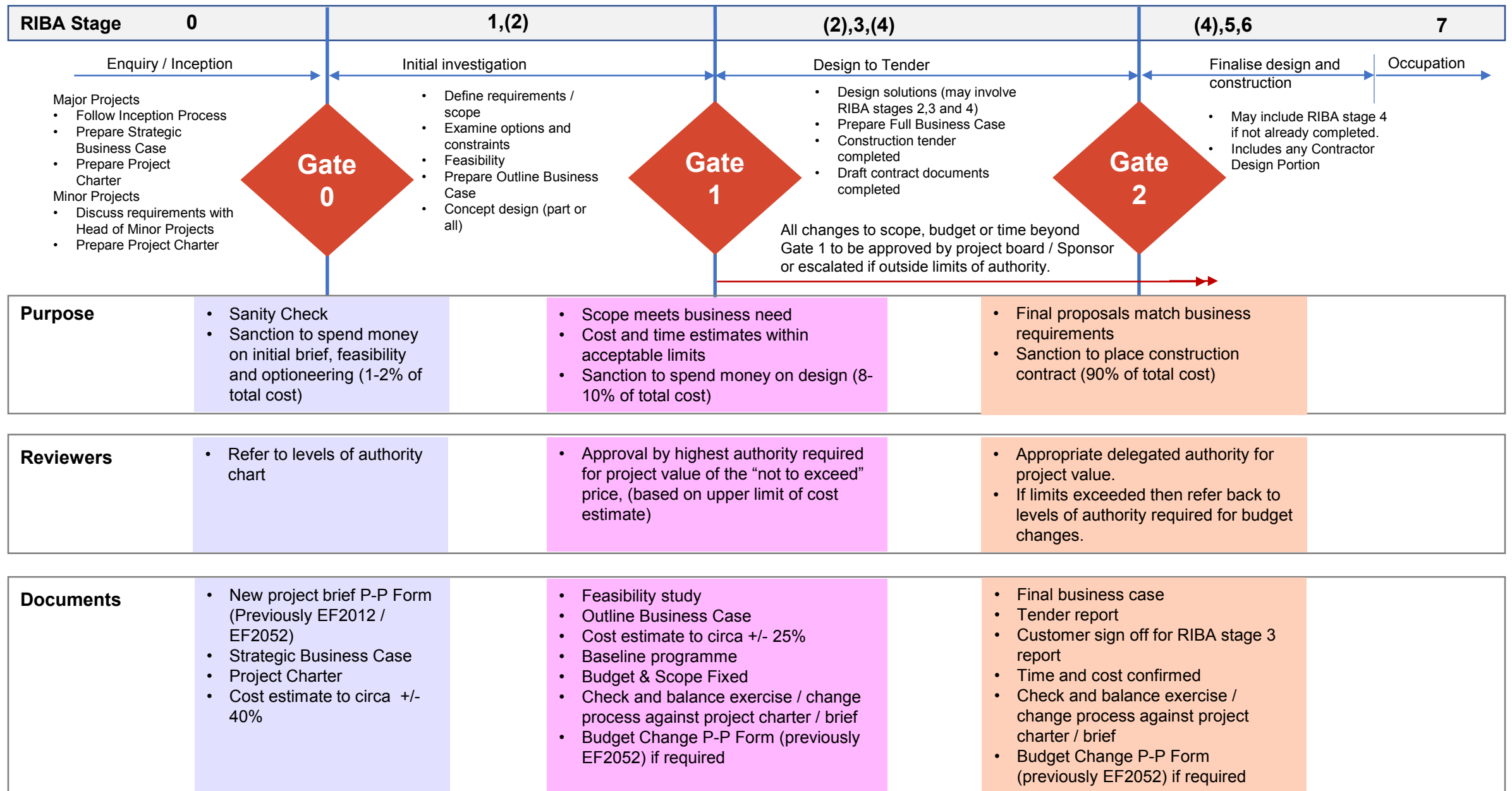
### **Contingency Process Map**

# B1 Contingency Process Map

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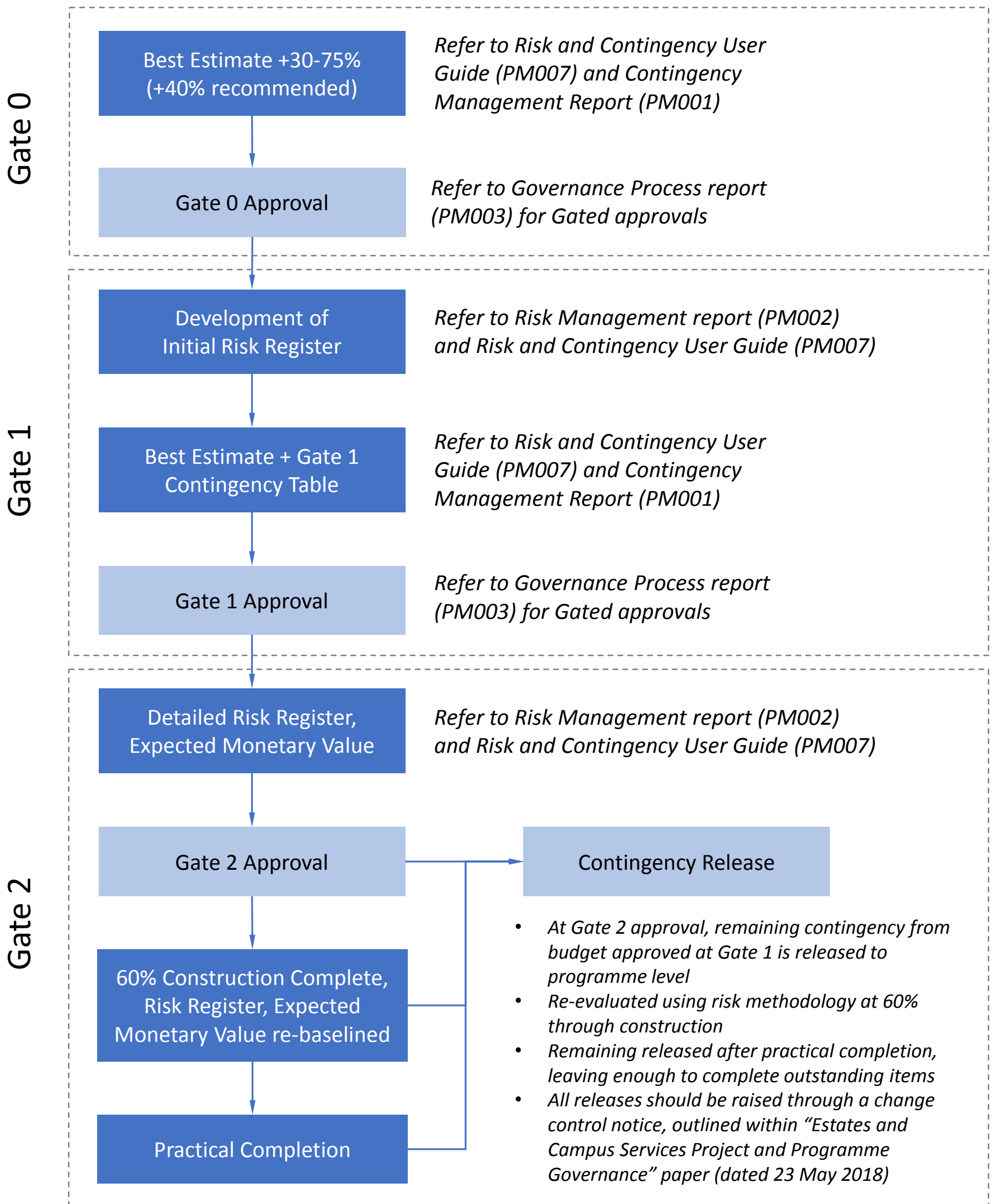


## Stage Gate Process



Notes: Business Case – covers all aspects of the college / school goals, benefits and costs  
Project Charter – covers the building elements needed to support the business case

## Contingency Process Map



## PMO Operation

### 8. Finance Tracker Overview

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The Finance Tracker records key financial figures and milestones for all active projects, updated at the end of the first week every month by Finance and Project Managers / Quantity Surveyors.

Previously, a Financial summary report and an Estates ULT report was generated to update committees on the capital programme. Variations arose in the data presented as they were produced separately and updated at different points within the month. The development of the Finance Tracker negates this issue as all information is provided within a single report.

The PMO Manager must oversee this process to ensure information is correctly populated, which in turn will inform the PMO Dashboard. The Finance Tracker and User Guide is provided within this section.

University of Leicester  
**Programme Management Office**  
Finance Tracker Processes

PM004

Issue 02 | 1 August 2018



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Job number 260652-00

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## Appendices

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Finance Tracker

### Appendix B

Options for Financial Reporting

### Appendix C

Previous Financial Reporting Process

## 1 Introduction

Arup have undertaken a review of the existing financial reporting at the University of Leicester, with the aim to develop a more efficient, consolidated report to be presented to University committees. This allows all financial and milestone information to be collated and held in a single place, overcoming any discrepancies between figures across multiple reports. Furthermore, only one report is required, resulting in a more efficient process.

This paper provides the process of gathering data, ownership and timescales of the reporting cycle.

## 2 Description and Sources of Information

The following items are reported within the Finance Tracker, which is initially updated by Finance and the Project Managers within the first week of the month, coordinated by the PMO Manager (see section 4). The tracker is within Appendix A. The sources of the data are within Table 1.

Item	Source	Description / Definition
Project Code	Finance Department <ul style="list-style-type: none"> <li>SAP</li> </ul>	The unique project code provided when input into SAP
Project Description	Finance Department <ul style="list-style-type: none"> <li>SAP</li> </ul>	Project Title. Should be consistent with the P-P Form (previously EF2012/EF2052 form)
Sponsor	Finance Department <ul style="list-style-type: none"> <li>P-P Form (previously EF2012/EF2052)</li> </ul>	Sponsor should be stated within the P-P Form (previously EF2012/EF2052 form)
Estates Project Lead	Head of Major Project / Head of Minor Works / Director of Asset Management	Project Manager assigned by Heads of ECS. Project Manager to acknowledge.
Project Category	Head of Major Project / Head of Minor Works / Director of Asset Management	Defined by Heads of ECS. Categories include Majors, Minors, Space, Interiors, LTM, Compliance, Business Systems, Property
PM RAG Rating	Project Manager <ul style="list-style-type: none"> <li>Project Dashboard</li> </ul>	Snapshot of the performance of the project in budget, programme, H&S. Red / Amber / Green status. See section 2.1
Total Authorised Budget	Finance Department <ul style="list-style-type: none"> <li>P-P Form (previously EF2052)</li> </ul>	Information provided within the latest P-P Form (previously EF2052 form). Finance department to monitor.
SAP Cost to Date	Finance Department <ul style="list-style-type: none"> <li>Invoices logged in to SAP</li> </ul>	Invoices received and logged by Finance into SAP.

Item	Source	Description / Definition
Certified to Date (gross)	Project Manager / Quantity Surveyor <ul style="list-style-type: none"> <li>Contract administrator's interim certificate</li> </ul>	Costs of work that has been invoiced.
Balance Remaining	Finance Department	Difference between Total Authorised Budget and SAP Cost to Date.
Forecast Out-Turn	Quantity Surveyor / Project Manager	Based on the summation of the forecast cashflow at the time of reporting. Provided by the Quantity Surveyor / Project Manager. Direct input into Tracker.
Gate Passed	Project Manager <ul style="list-style-type: none"> <li>Project Dashboard</li> <li>Project Programme</li> </ul>	Current approved gateway. Gate 0, 1, 2
Project Status	Project Manager <ul style="list-style-type: none"> <li>Project Dashboard</li> <li>Project Programme</li> </ul>	Where the project is in the lifecycle. RIBA 1 – 7.
Planned / Unplanned Capital Plan	Head of Major Project / Head of Minor Works / Director of Asset Management	Reference as to whether the project was initially part of the planned / unplanned capital plan.
Estimate at Gate 0	Finance	What the initial approved budget was at Gate 0 based on the P-P Form (previously EF2012 form).
Funding Source	Head of Major Project / Head of Minor Works / Director of Asset Management	Where the project is funded should be outlined within the P-P Form (previously EF2012/EF2052 form). Either centrally, college, externally funded or a combination.
Estimate at Gate 1	Finance	What the initial approved budget was at Gate 1 based on the P-P Form (previously EF2012 form).
Project Milestones <ul style="list-style-type: none"> <li>Project Started</li> <li>Gate 0/1/2 Approval</li> <li>RIBA Stage 1/2/3/4 Reports</li> <li>Planning Submission /Approval</li> <li>Tender Design Milestones</li> <li>Tender Milestones</li> <li>Signed Contract</li> </ul>	Project Manager <ul style="list-style-type: none"> <li>Project Dashboard</li> <li>Project Programme</li> </ul>	Milestone dates should be provided by the Project Managers, but also recorded within their Project Dashboard and programme.

Item	Source	Description / Definition
<ul style="list-style-type: none"> <li>University Enabling Works</li> <li>Start on Site</li> <li>Practical Completion</li> <li>University Fit Out</li> <li>Occupation Date</li> </ul>		
Project Pre-Tender Estimate	Quantity Surveyor / Project Manager <ul style="list-style-type: none"> <li>Pre Tender Cost Report</li> </ul>	Quantity Surveyor to provide within their pre-tender cost estimate report. Also recorded within the PM Project Dashboard.
Contract Sum (Net)	Quantity Surveyor / Project Manager <ul style="list-style-type: none"> <li>Contract</li> </ul>	Quantity Surveyor to provide within their cost estimate report, when a Guaranteed Maximum Price is provided by the contractor. Also recorded within the PM Project Dashboard.
Change Orders Value <ul style="list-style-type: none"> <li>Agreed</li> <li>Anticipated</li> </ul> Financial Claims <ul style="list-style-type: none"> <li>Agreed</li> <li>Anticipated</li> </ul>	Quantity Surveyor / Project Manager <ul style="list-style-type: none"> <li>Latest Cost Report</li> </ul>	Change orders and Financial Claims should be provided within the latest cost reports by the Quantity Surveyor once on site.  Agreed changes have been instructed, anticipated changes are requested but not yet instructed.  Financial Claims is any additional compensation for the contractor where the University was/may be responsible. Agreed are claims which have been approved, pending are claims submitted by the contractor but not approved.
Certificate of Making Good Defects	Project Manager	Date when Certificate of Making Good Defects is issued.
Final Account Agreed (Date)	Quantity Surveyor / Project Manager <ul style="list-style-type: none"> <li>Final Cost Report</li> </ul>	Date of the Final Account once the project has completed.
Forecast Cashflow	Quantity Surveyor / Project Manager	A forecast monthly cashflow must be provided for each project based on approved invoices. This should include all expenditure including non-construction costs, including professional fees, equipment, migration costs etc. This will be on a separate tab to the main Finance Tracker.

Table 1: Source and Description / Definition of information in the Finance Tracker



## 2.1 PM RAG Ratings Definition

The Red / Amber / Green (RAG) status reported by PMs within the Finance Tracker (and Project Dashboards) should be defined as follows.

### R Items in RED

- The requirements are either not in place or are in place, but the item poses an immediate risk to the successful completion of the project.
- Finance = <10% over budget estimate.
- Programme = delay that impacts/defers occupation of the asset, forcing 3rd party impact/input.
- H&S = Significant risk to project team and/or occupants.

### A Items in AMBER

- The requirements are not in place and still require completing or are in place but there is risk to the project surrounding the item.
- Finance = >5% over budget estimate.
- Programme = delay that has the potential to delay task/activity however NOT operation and use of the asset.
- H&S = issue that has been recognised but is a manageable risk.

### G Items in GREEN

- The requirements are in place and currently there is no risk to the project.
- Finance = within budget and contingency threshold.
- Programme = on programme to deliver asset by prescribed deadline.
- H&S = No Issues.

## 3 Financial Forecast

The Finance Tracker must record financial forecasts for all projects within the “Forecast” tab, on a monthly certified invoices basis and on an accruals and invoice basis only at the end of the financial year (recorded in the “Year End Accruals” column). A paper was developed outlining the options of forecasting / tracking finances in Appendix B (i.e. cashflow, invoice or committed/accruals basis).

### 3.1 Process

Actions are undertaken by the following members when updating forecast costs.

#### 3.1.1 Setting a Baseline Forecast

This is only undertaken once at the start of the financial year, starting every August. Once the baseline forecast is set, it will remain unchanged for the entire year and actuals recorded against it.

1. **PMO Manager:** Coordinate with finance for new projects to be included (insert rows for new project) within the year. This should be ordered in “Total Authorised Budget” value. The “Project Category” should also be defined to allow finance summaries to be collated / reported at Programme level.
2. **Project Manager:** Forecast Approved Invoices (Figure 1) must be input for all their projects, broken down monthly within the year and future years if applicable (i.e. project expected to continue beyond the current year).
3. **PMO Manager:** Collate the baseline of forecast projects by category, in the table "Baseline Forecast (Approved Invoices)" at the bottom of the spreadsheet (Figure 2, Baseline Forecast table). This should be fixed at the start of the financial year in August, by pasting figures as values in the table.

Project Code	Project Description	Financial Year 2018/19 - Forecast / Actual (Approved Invoices)														Year 18/19	Forecast Spend TD
		Aug-18	Sep-18	Oct-18	Nov-18	Dec-18	Jan-19	Feb-19	Mar-19	Apr-19	May-19	Jun-19	Jul-19				
	Source <sup>1</sup>	PM	PM	PM	PM	PM	PM	PM	PM	PM	PM	PM	PM	PM			
<b>Projects &gt; £5m</b>																	
ED160004	Attenborough Tower Refurbishment															0	118,135
ED160006	MSB Phase 1 Refurbishment															0	98,934
ED160005	Charles Wilson Building Student Svs	269,055	269,055	269,055	269,055	269,055	269,055	269,055	269,055	269,055	269,055	269,055	269,055	269,055	3,228,655	3,336,505	
EC170006	Multi-Disciplinary Laboratory	236,555	236,555	236,555	236,555	236,555	236,555	236,555	236,555	236,555	236,555	236,555	236,555	236,555	2,838,665	2,917,420	
EC170002	Teaching and Learning Centre	1,439,679	1,439,679	1,439,679	1,439,679	1,439,679	1,439,679	1,439,679	1,439,679	1,439,679	1,439,679	1,439,679	1,439,679	1,439,679	17,276,148	19,004,459	
EC170000	Percy Gee East Wing Development	1,176,657	834,713	809,526	1,280,309	1,912,023	1,560,931	1,060,003	1,024,627	950,281	1,494,297	1,517,979	2,131,426	15,752,772	18,975,414		
EC160000	Space Park	97,000	96,000	96,000	97,000	97,000	93,000	270,000	700,000	975,000	1,200,000	1,400,000	1,525,000	6,646,000	7,461,604		
EC170001	Brookfield House Refurb Business School	2,255,166	1,314,736	1,372,936	1,327,345	1,372,936	1,140,136	1,509,136	1,714,858					10,925	12,018,196	15,644,058	
ED160003	Public Realm Works - Car Park	480,000	480,000	480,000	480,000	480,000	480,000	480,000	480,000	480,000	480,000	480,000	480,000	5,760,000	6,010,000		
New2	Radiology Labs and Additional Prep Room														0	0	
New4	Priority Capital Projects (including Research Institutes)														0	0	
Not Estates1	IT Infrastructure (Equipment)	166,667	166,667	166,666	166,667	166,667	166,666	166,667	166,667	166,666	166,667	166,666	166,667	2,000,000	4,000,000		

Figure 1: Extract of Table to input Forecast Approved Invoices per project

Financial Year 2017 - 2018 - Summary (Approved Invoices) and Future Forecast												
	Aug-17	Sep-17	Oct-17	Nov-17	Dec-17	Jan-18	Feb-18	Mar-18	Apr-18	May-18	Jun-18	Jul-18
Capital	-	3,338,412	2,146,874	857,960	2,102,957	1,406,196	1,435,896	363,198	1,194,575	1,579,541	3,106,208	8,881,553
LTMM	-	21,433	34,526	52,374	53,093	143,004	324,550	83,495	92,394	97,489	217,321	501,698
Campus Services 17-18	-	98,734	237,295	101,635	34,999	60,541	182,778	48,355	111,071	- 20,610	83,276	124,494
Minor Works	-	29,563	80	9,197	49,925	40,149	14,004	5,517	19,285	66,046	-	-
Ext Funded Cash flow 17-18	167,093	- 107,096	68,770	29,572	14,690	21,215	3,865	14,142	- 181,005	134,520	-	186,670
Total Monthly	167,093	3,381,047	2,487,544	1,050,739	2,255,664	1,671,106	1,961,093	514,707	1,236,319	1,856,985	3,406,805	9,694,415
Cumulative	167092.64	3,548,139	6,035,683	7,086,422	9,342,086	11,013,192	12,974,285	13,488,992	14,725,311	16,582,297	19,989,102	29,683,517
Financial Year 2017 - 2018 - Baseline Forecast (Approved Invoices); (Fixed in Aug 2017, DO NOT CHANGE)												
	Aug-17	Sep-17	Oct-17	Nov-17	Dec-17	Jan-18	Feb-18	Mar-18	Apr-18	May-18	Jun-18	Jul-18
Capital			1,921,710	2,602,576	2,788,093	2,679,401	1,724,691	2,461,912	2,359,562	2,890,389	3,041,208	8,815,553
LTMM			394,700	313,488	5,488	55,488	10,488	22,488	122,151	42,988	453,488	139,374
Campus Services 17-18			9,100	10,536	39,700	39,000	50,000	20,500	75,000	15,000	10,000	10,000
Minor Works			16,000	8,950	34,500	12,800	8,000		20,000	120,000	150,000	80,000
Ext Funded Cash flow 17-18		1,349,788						21,235				21,235
Total Baseline		1,349,788	2,341,510	2,935,550	2,867,781	2,786,689	1,793,179	2,526,135	2,576,713	3,068,377	3,654,696	9,066,162
Cumulative	0	1,349,788	3,691,298	6,626,848	9,494,629	12,281,318	14,074,497	16,600,632	19,177,345	22,245,722	25,900,418	34,966,580

Figure 2: (top to bottom) Summary Finance and Baseline Forecast Table

### 3.1.2 Monthly Reporting

The following process is undertaken within in the first week of the month.

- PMO Manager:** Coordinate with finance for new projects to be included (insert rows for new project) within the spreadsheet (Figure 3). This should be ordered in “Total Authorised Budget” value. The “Project Category” should also be defined to allow finance summaries to be collated / reported at Programme level.
- Project Manager:** Forecast Invoices Approved must be recorded for the previous month. Cell highlighted to show month the which has been reported against overwriting the forecast figure (Figure 3).
- Project Manager:** The forecast approved invoices for future months (within the financial year, Figure 3) and future financial years (Figure 2) are updated. Where there are variances in forecast out-turn costs against the budget, commentary must be provided on the “Master Tracker” tab as to reasons for the change. Note, the Baseline Forecast Table (Figure 2) is fixed and should not be updated unless at the start of the financial year in August.
- PMO Manager:** The forecast cashflows are summarised by project category (Figure 2, Summary Finance table) and incorporated within the Programme Dashboard.

Project Code	Project Description	Financial Year 2017/18 - Forecast / Actual (Approved Invoices)													Year 17/18	Forecast Spend TD	
		Aug-17	Sep-17	Oct-17	Nov-17	Dec-17	Jan-18	Feb-18	Mar-18	Apr-18	May-18	Jun-18	Jul-18				
		PM	PM	PM	PM	PM	PM	PM	PM	PM	PM	PM	PM				
<b>Projects &gt; £5m</b>																	
ED160004	Attenborough Tower Refurbishment		0	0	0	0	0	0	19,214	-8,794	16,400					28,819	118,135
ED160006	MSB Phase 1 Refurbishment		0	0	0	0	0	0	16,282	-7,329	15,686					24,640	98,934
ED160005	Charles Wilson Building Student Svs		0	0	0	0	0	0	14,817	-6,596	14,329					22,550	107,850
EC170006	Multi-Disciplinary Laboratory		0	0	0	0	0	0	11,726	-5,863	12,972					18,835	78,755
EC170002	Teaching and Learning Centre		0	61,488	0	129,708	161,220	88,296	89,902	-20,478	69,598	133,855	374,712	1,088,101		1,728,311	
EC170000	Percy Gee East Wing Development		37,299	118,919	7,494	37,272	75,987	146,228	228,864	144,903	233,048	527,639	829,694	2,388,366		3,222,642	
EC160000	Space Park		2,400	2,892	1	2,902	-481,538	112,904	81,227	1,200	52,598	75,000	75,000	-75,814		815,604	
EC170001	Brookfield House Refurb Business School		74,966	298,698	228,006	209,964	105,143	102,780	222,168	56,665	232,862	627,375	786,728	2,945,354		3,625,862	
ED160003	Public Realm Works - Car Park		0	0	0	0	0	0	11,007	-864	5,823	153,948	79,885	250,000		250,000	
New2	Radiology Labs and Additional Prep Room															0	0
New4	Priority Capital Projects (including Research Institutes)													0	0	0	0
Not Estates1	IT Infrastructure (Equipment)													2,000,000	2,000,000	2,000,000	

Figure 3: Extract of Table to input Actual Approved Invoices per project, highlighted.

## 4 Reporting Cycle

The finance tracker will be completed by the end of the second week of every month. The reporting calendar is outlined in Figure 4. If the month starts in the middle of the week, shift process to suit, allocating the same number of days as outlined within the calendar. Note, for reference the previous Financial Reporting Process is within Appendix A. The actions undertaken within the reporting cycle are detailed in the following section.

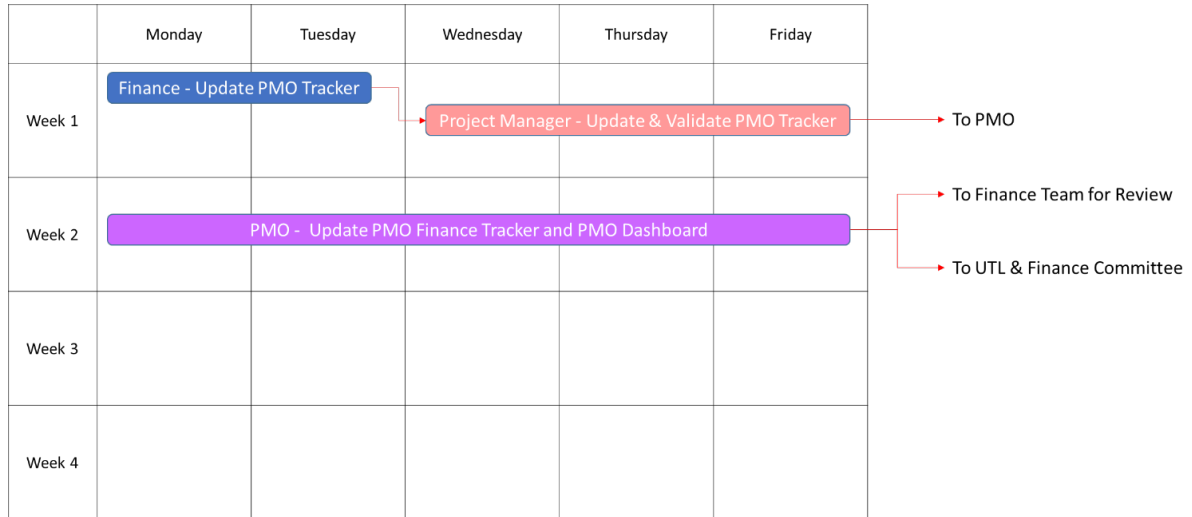


Figure 4: PMO Monthly Process

## 4.1 Week 1 – First Week

Owner	Activity
<b>Finance</b>	<p><b>Update PMO Finance Tracker with following information</b></p> <ul style="list-style-type: none"> <li>• Add New Projects - As identified within the P-P Form (previously EF2012/EF2052 form), assigning a project code. It is the Project Manager’s responsibility that the completed form reaches Finance.</li> <li>• Total Authorised Project Budget - As identified on the PM Dashboard and P-P Form (previously EF2012/EF2052 form) (Gross inc VAT). It is the Project Manager’s responsibility that the completed form reaches Finance. If the project is new, the “Budget at Gate 0” should be populated.</li> <li>• SAP Cost to date (Gross inc VAT).</li> <li>• Updates are provided to the PMO Manager through a 1:1 catch up meeting, outlining changes made in the middle of the first week.</li> </ul>
<b>Project Managers</b>	<p><b>Update the PMO Finance Tracker with the following information</b></p> <ul style="list-style-type: none"> <li>• Confirm projects assigned to their name, or the current assigned Project Manager inform their respective Estates Department Head (i.e. Major, Minor, Maintenance) for it to be reallocated.</li> <li>• Update the Certified Invoices to Date of Report (Gross inc VAT).</li> <li>• Forecast out turn cost (Gross inc VAT).</li> <li>• RAG Status (as outlined in section 2.1).</li> <li>• Milestone and financial information (as outlined in section 2).</li> <li>• Forecast and actual cashflow (based on certified invoices inc VAT) within the “Forecast” tab in the finance tracker. Note, the month of July should be reported on both an invoice and an accruals basis (details are outlined in section 3).</li> <li>• Updates are provided to the PMO Manager through a 1:1 catch up meeting, outlining changes made at the end of the first week.</li> </ul>
<b>PMO Manager</b>	<p><b>Coordinate the PMO Finance Tracker Process</b></p> <ul style="list-style-type: none"> <li>• Any updates provided to the Finance Tracker (from Finance and Project Managers) should be done through the PMO Manager. This ensures the master copy is protected and there is confidence of the data reported. This can be done in multiple ways to suit the individual PMO Manager; such as sending the Finance Tracker template to the Project Manager with filtered projects. Updates can be discussed within the 1:1 catch up meetings a few days later.</li> </ul>

## 4.2 PMO Manager –Week 2 – Second Week

Owner	Activity
<b>PMO Manager</b>	<p><b>Review PMO Finance Tracker / Project Dashboards and update PMO Dashboard</b></p> <ul style="list-style-type: none"> <li>• Identify and track missing data from PMs and Finance within the Finance Tracker, including the forecast financials within the 1:1 catch up meetings.</li> <li>• Review Project Dashboards and liaise with PMs to compile for an overall programme summary, identifying key decisions, issues, programme/project risks, milestones to populate the PMO Dashboard. Please see the PMO User Guide (PM006) for further details.</li> </ul>

## 5 Continuous Improvement

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This process should be reviewed initially every quarter to identify any opportunities / issues to improve the way information is captured / reported and data which could be removed (not adding value) / presented once running.

## Appendix A

### Finance Tracker





## Appendix B

### Options for Financial Reporting

## B1 *Extract: Options for Financial Reporting (Dated 9 May 2018)*

Reporting Basis	Description	What PM Does	What Finance Does	Non Construction Budgets	Considerations
<b>Actual Cash In / Out</b>	<p>Expenditure up to the reporting date is based on cash transactions that have actually occurred by that date.</p> <p>All other expenditure is included in the forecasts for future periods.</p>	<p>Receive cash (SAP) information from Finance. Understand what costs have not yet been paid. Prepare forecasts for future months.</p> <p>See note 1, 2</p>	<p>Populate the finance tracker with current cash expenditure from SAP.</p> <p>Receive future forecasts from PM.</p> <p>See note 2</p>	<p>The PM needs to understand these costs and allow for them in the future expenditure forecasts.</p> <p>This data will need to be provided to external PMs either by Finance or the internal PM</p>	<p>External PMs do not have access to SAP to interrogate what has or has not yet been paid.</p> <p>See note 2</p>
<b>Approved Invoices</b>	<p>Expenditure up to the reporting date includes actual cash transactions plus any invoices that have been certified but not yet paid by finance.</p> <p>Forecasts for future expenditure must exclude the unpaid but certified invoices.</p>	<p>Ignores cash data and prepares forecasts of future expenditure based on invoices certified.</p> <p>PM will need to obtain data about invoices certified by user departments.</p>	<p>Make necessary allowances / adjustments for invoices that have been certified but not yet paid out.</p> <p>Finance will have received the certified invoices for payment so it will have all the data required.</p>	<p>Same as for cash reporting with appropriate adjustments for reporting method.</p>	<p>Same as for Cash Reporting plus:</p> <p>There will be differing data sets so potential for reporting errors to creep in.</p>
<b>Committed Costs</b>	<p>Same basis as for Approved invoices but additional allowances for work done or paid for by suppliers where they have not yet raised an invoice.</p> <p>Forecasts for future costs need to be adjusted to take account of the accruals allowed for.</p>	<p>As for Approved Invoices Reporting plus:</p> <p>Prepare an estimate of costs incurred up to the reporting date but which have not yet been invoiced by the suppliers. This estimate needs to include for costs incurred by user departments.</p>	<p>Receive information from PMs about costs incurred but not yet covered by invoices and include these costs in reports for the current month.</p>	<p>Same as for cash reporting with appropriate adjustments for reporting method.</p>	<p>Same as Approved Invoices Reporting.</p>

Note 24<sup>th</sup> May 2018: Estates & Campus Services and Finance decision to track both “Actual Cash In / Out” and “Approved Invoices” monthly. Forecast finances will be tracked on “Approved Invoices”.

## Notes

1. In order to prepare expenditure forecasts the PM needs to properly understand what costs have been incurred but are not yet allowed for in SAP. This includes both construction related costs and user department related costs. Ideally the PM should look at SAP records and know what costs have not yet been paid.
2. A record of which invoices have been certified for payment but not yet paid / recorded in SAP needs to be kept in order to accurately prepare forecast future expenditures. This record could be kept by Finance or the PM. However the PM will not necessarily be aware of invoices for specialist equipment procured and certified by the user departments and external PMs have no access to SAP. Therefore it would be better for Finance to be responsible for keeping this.
3. All these options have the same potential for accuracy (or inaccuracy) of final out-turn cost forecast at any month. What differs is the amount recorded as “spent” and the amounts for forecast future expenditure. The final project forecast cost should be the same whichever option is chosen.

## Appendix C

### Previous Financial Reporting Process



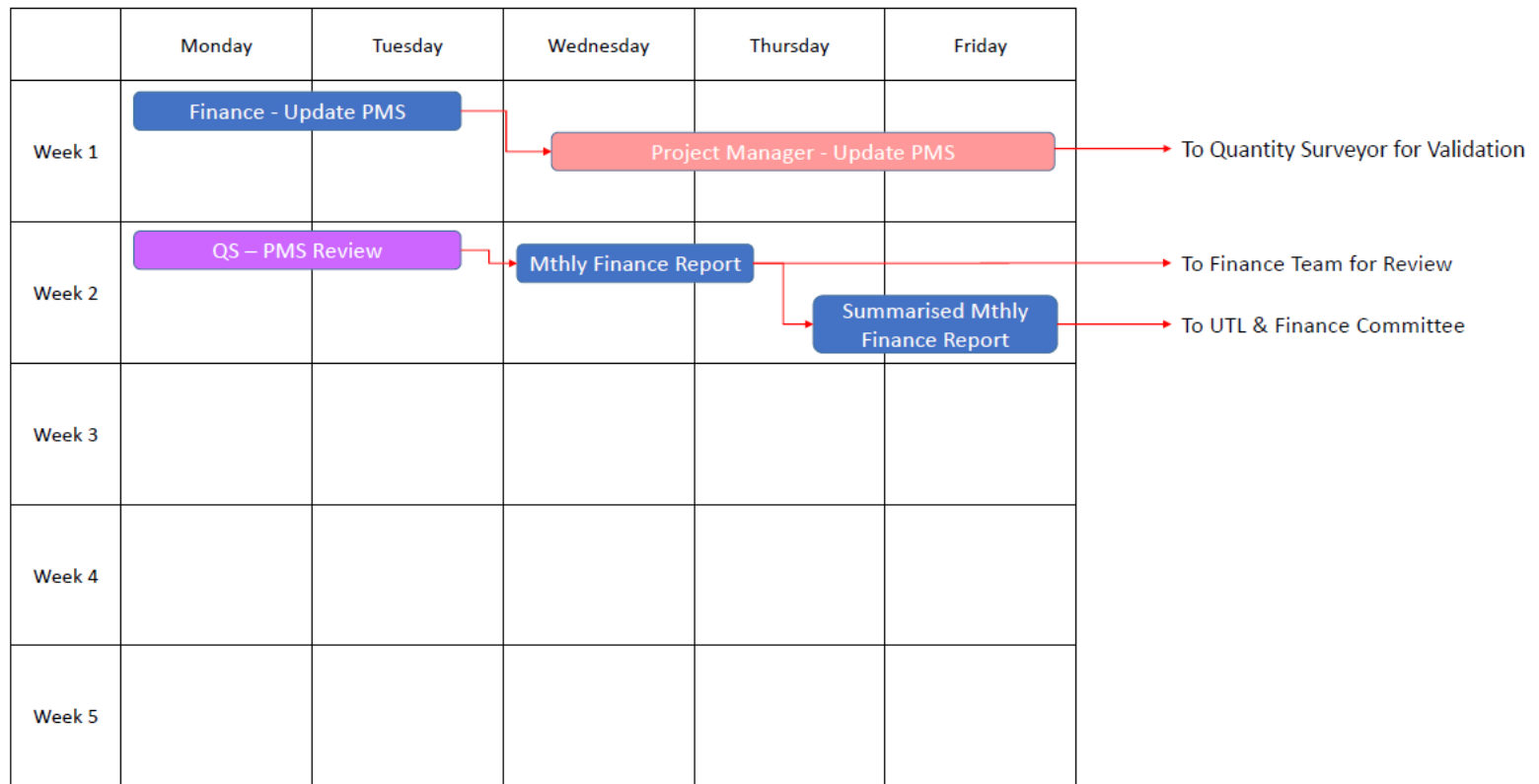
Prepared by Arup

University of Leicester PMO  
Financial Reporting Calendar

Job No. 280852-00  
Author SY  
Date: 13-June-18  
Revision: 00

Financial Reporting – Existing Monthly Process

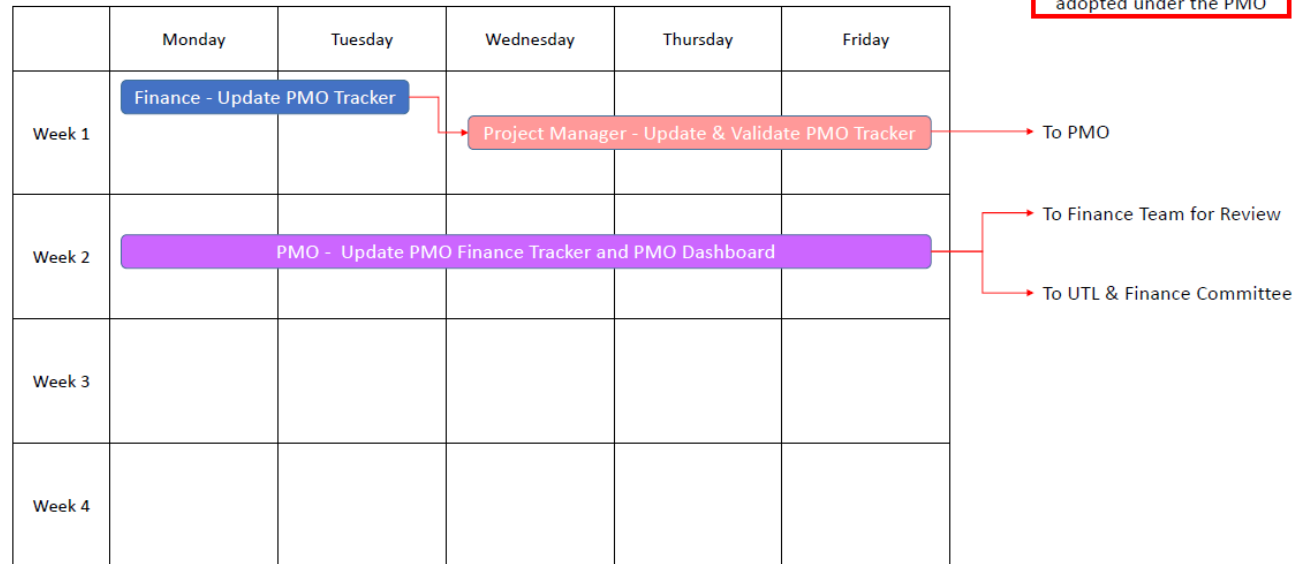
This process is not used under the PMO



Note: This process diagram is based on discussions and observations made during the group interviews (22<sup>nd</sup> / 26<sup>th</sup> March 2018) and separate conversations with members of the Estates Project and Finance teams.

Financial Reporting – Proposed PMO Monthly Process

This process has been adopted under the PMO



**Week 1 – First Week**

**Finance – Update PMO tracker with following information**

- Total Authorised Project Budget - As identified on the PM Dashboard and EF2052 form (Gross inc VAT)
- SAP Cost to date - (Gross inc VAT)
- New projects, assigning a project code

**Project Manager – Update the PMO Tracker with the following information**

- Confirm projects assigned to their name
- Certified to Date of Report - (Gross inc VAT)
- Forecast cashflow (based on certified invoices inc VAT)
- RAG Status
- Milestone and financial information
- Comments

**Week 2 – Second Week**

**PMO – Update PMO Finance Tracker and Dashboard**

- Identify and track missing data from PMs and Finance
- Review commentary, and liaise with PMs identifying key issues, decisions, risks
- Finalise summary report for Finance Committee / UTL
- Incorporate financial and milestone information
- Review Project Dashboards and compile for an overall programme summary, including key decisions, issues and campus disruptions
- Collate risks from Project Risk Registers
- Collate H&S data from contractor reports







Table with columns: Project Code, Project Description, Sponsor, Budget, Status, Financials, Progress, and Comments. Includes sections for 'Projects - C5B' and 'Completed Projects in Defects Liability Period'.

University of Leicester Cashflow Forecast

Prepared by Anup

Table with columns: Project Code, Project Description, Estate Project Lead, Project Category, Financial Grouping, Total Budget, SAP Costs, Confirmed to Date Grants, Balance Remaining, Forecast Out-Turn, Spend to 2017/17, and monthly/quarterly/annual spend forecasts from Aug-17 to Dec-19. Includes sub-sections for Projects E10n, E11n, E12n, E13n, E14n, E15n, E16n, E17n, E18n, E19n, E20n, E21n, E22n, E23n, E24n, E25n, E26n, E27n, E28n, E29n, E30n, E31n, E32n, E33n, E34n, E35n, E36n, E37n, E38n, E39n, E40n, E41n, E42n, E43n, E44n, E45n, E46n, E47n, E48n, E49n, E50n, E51n, E52n, E53n, E54n, E55n, E56n, E57n, E58n, E59n, E60n, E61n, E62n, E63n, E64n, E65n, E66n, E67n, E68n, E69n, E70n, E71n, E72n, E73n, E74n, E75n, E76n, E77n, E78n, E79n, E80n, E81n, E82n, E83n, E84n, E85n, E86n, E87n, E88n, E89n, E90n, E91n, E92n, E93n, E94n, E95n, E96n, E97n, E98n, E99n, E100n.









Capital Programme  
Financial Forecasts 2018

SAP project code	Project title	Category	Planned completion date	Planning period					Outside of planning period					N = C to M	O = A - N				
				A	B	C	D	E	F	G	H	I	J			K	L	M	
				Approved / planned project budget	2017/18 budget	Actual spend to 2016/17	2017/18	2018/19	2019/20	2020/21	2021/22	2022/23	2023/24			2024/25	2025/26	2026/27	Forecast outturn
				Budget £	Budget £	Actual £	Forecast £	Forecast £	Forecast £	Forecast £	Forecast £	Forecast £	Forecast £	Forecast £	Forecast £	Forecast £	Forecast £		
<b>Completed schemes w/ outstanding commitments</b>																			
EA160022	Storage facility CRF	Other campus projects		78,000	-	18,220	52,704	-	-	-	-	-	-	-	-	-	70,924	7,076	
EA170016	Adrian 248 & 249 labs	Other campus projects		70,000	-	4,590	61,359	1,500	-	-	-	-	-	-	-	-	67,449	2,551	
EC100000	E Nixon Court New Block	Other campus projects		15,000,000	212,000	14,803,322	(	212,000	-	-	-	-	-	-	-	-	15,015,322	(15,322)	
EC110001	Centre for Medicine	Other campus projects		41,900,000	665,000	39,252,614	480,247	-	-	-	-	-	-	-	-	-	39,732,861	2,167,139	
EC170004	Media, Comm and Sociology suite	Other campus projects		92,000	-	68,688	1,632	-	-	-	-	-	-	-	-	-	70,320	21,680	
ED120010	E Engineering Labs/Workshop Roof & Walls	Other campus projects		19,500,000	690,000	18,000,000	(	-	-	-	-	-	-	-	-	-	17,999,999	1,500,001	
ED160001	IT projects - attendance monitoring	Other campus projects		364,134	1,581	911,276	(	-	-	-	-	-	-	-	-	-	911,276	(547,142)	
ED160002	IT projects - wireless networks	Other campus projects		510,088	1,174	748,786	-	-	-	-	-	-	-	-	-	-	748,787	(238,699)	
EM150013	FJB Reception & Exec Corridor	Other campus projects		475,000	-	471,060	6,346	-	-	-	-	-	-	-	-	-	477,406	(2,406)	
EM160001	FJB Car Park Alts	Other campus projects		875,000	96,000	779,104	15,954	-	-	-	-	-	-	-	-	-	795,057	79,943	
EM160003	Physics Re-roofing Project	Other campus projects		1,030,874	17,000	1,041,675	(22,330)	-	-	-	-	-	-	-	-	-	1,019,345	11,529	
EM160008	Boiler replacement works at D Brown	Other campus projects		329,061	-	300,677	14,954	-	-	-	-	-	-	-	-	-	315,631	13,430	
EM160012	CRF fish tanks	Other campus projects		350,000	10,000	348,773	15,847	-	-	-	-	-	-	-	-	-	364,620	(14,620)	
EM160014	Bennett Lecture Theatres Refurbishment (3 projects)	Other campus projects		917,000	-	810,844	68,754	-	-	-	-	-	-	-	-	-	879,598	37,402	
EM170001	Adrian LG10/15 Retractable Partitions	Other campus projects		62,432	-	55,727	1,161	-	-	-	-	-	-	-	-	-	56,888	5,544	
EM170005	Boiler replacement for Potting Shed	Other campus projects		45,000	1,020	39,671	(1)	-	-	-	-	-	-	-	-	-	39,670	5,330	
EM170007	Temporary Chillers for Physics Data Ctr	Other campus projects		30,000	-	9,120	17,880	-	-	-	-	-	-	-	-	-	27,000	3,000	
EM170013	Replacement of Physics chillers (£111.5k to be funded from IT capital)	Other campus projects		445,000	6,000	411,421	37,952	-	-	-	-	-	-	-	-	-	449,373	(4,373)	
EM170014	107-111 Princess Road East	Other campus projects		320,269	7,000	301,458	4,819	-	-	-	-	-	-	-	-	-	306,277	13,992	
EM170018	Works in MSB - Physiotherapy	Other campus projects		266,000	80,000	241,609	24,652	-	-	-	-	-	-	-	-	-	266,261	(261)	
<b>Total</b>				<b>82,659,858</b>	<b>1,786,775</b>	<b>78,618,634</b>	<b>781,929</b>	<b>213,500</b>	-	-	-	-	-	-	-	-	<b>79,614,064</b>	<b>3,045,794</b>	
<b>Schemes in progress</b>																			
EA180002	Hastings House Res G-House Cooling Proje	Other campus projects		66,000	-	-	65,395	-	-	-	-	-	-	-	-	-	65,395	605	
EA180004	MSB Cat 3 Facility H&S Works	Other campus projects		234,000	-	-	220,000	-	-	-	-	-	-	-	-	-	220,000	14,000	
EC170005	Centre for Medicine -Interpretive Design	Other campus projects		441,449	442,000	-	108,329	333,120	-	-	-	-	-	-	-	-	441,449	(	
EC170009	David Wilson Library - Learning Room	Other campus projects		400,000	-	7,873	389,194	-	-	-	-	-	-	-	-	-	397,067	2,933	
EC170010	Henry Wellcome Krios G3	Other campus projects		750,000	308,000	-	696,742	53,258	-	-	-	-	-	-	-	-	750,000		
EC180001	Adrian Fire Stopping Project	Other campus projects		28,000	-	-	64,247	-	-	-	-	-	-	-	-	-	64,247	(36,247)	
EM170009	Archaeology Roof	Other campus projects		594,240	90,000	204,336	266,286	10,000	-	-	-	-	-	-	-	-	480,622	113,618	
EM170015	8th, 9th floor CWB	Other campus projects		75,000	17,000	76,687	(7,370)	5,000	-	-	-	-	-	-	-	-	74,317	683	
EM170019	Computer centre chillers	Other campus projects		68,970	-	-	24,241	-	-	-	-	-	-	-	-	-	24,241	44,729	
EM170025	Engineering Social Space	Other campus projects		50,000	-	-	40,369	-	-	-	-	-	-	-	-	-	40,369	9,631	
EM170028	Knighton Hall Drive	Other campus projects		78,000	-	-	70,121	5,400	1,000	-	-	-	-	-	-	-	76,521	1,479	
EM170034	CRF Fish Tank - Fish Holding Equipment	Other campus projects		55,000	-	49,217	2,618	-	-	-	-	-	-	-	-	-	51,835	3,165	
EM170039	Readson House lift	Other campus projects		30,804	-	-	30,804	-	-	-	-	-	-	-	-	-	30,804	-	
EM170043	FJB Square - Furniture	Other campus projects		136,850	-	-	136,426	-	-	-	-	-	-	-	-	-	136,426	424	
EM170044	MSB Cold Rooms 163,164 & 242	Other campus projects		109,000	-	-	111,055	-	-	-	-	-	-	-	-	-	111,055	(2,055)	
ER180000	FJB Cash Office Alterations	Other campus projects		84,000	-	-	74,063	2,000	-	-	-	-	-	-	-	-	76,063	7,938	
EW180012	Fume Cabinet Installation HWB 2/11	Other campus projects		72,730	-	-	72,730	-	-	-	-	-	-	-	-	-	72,730	-	
EW180005	Knighton Hall Bathroom	Other campus projects		38,250	-	-	31,309	-	-	-	-	-	-	-	-	-	31,309	6,941	
ED180003	Security lodge refurbishment	Other campus projects		340,000	-	-	245,000	95,000	-	-	-	-	-	-	-	-	340,000	-	
ED180008	MSB Mayers Lab	Other campus projects		350,000	-	-	150,000	200,000	-	-	-	-	-	-	-	-	350,000	-	
New	Placeholder - refurb for star project	Other campus projects		-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	
<b>Total</b>				<b>4,002,293</b>	<b>857,000</b>	<b>338,113</b>	<b>2,791,558</b>	<b>703,778</b>	<b>1,000</b>	-	-	-	-	-	-	-	-	<b>3,834,450</b>	<b>167,843</b>
<b>Capital maintenance</b>																			
EM170008	Domestic water improvements	Non-residential capital maintenance		2,150,000	1,450,000	618,507	1,503,291	-	-	-	-	-	-	-	-	-	2,121,798	28,202	
EM170035	RKCSB Rationalisation of Water Services (accelerated compliance works)	Non-residential capital maintenance		900,000	-	23,386	68,328	805,661	-	-	-	-	-	-	-	-	897,375	2,625	
EM170037	MSB Chiller (accelerated compliance works)	Non-residential capital maintenance		200,000	-	29,572	(	170,000	-	-	-	-	-	-	-	-	199,572	428	
EM180001	Adrian Building Fire Alarm Replacement	Non-residential capital maintenance		507,500	-	-	242,518	7,000	-	-	-	-	-	-	-	-	249,518	257,982	
EM180011	Attenborough Tower Controller Repl	Non-residential capital maintenance		61,994	-	-	119,994	-	-	-	-	-	-	-	-	-	119,994	(58,000)	
EM180016	Bennett Fume Cabinet LG13	Non-residential capital maintenance		33,960	-	-	53,470	-	-	-	-	-	-	-	-	-	53,470	(19,510)	
EM180008	George Porter Flue Upgrade (accelerated compliance works)	Non-residential capital maintenance		329,760	-	-	51,550	297,000	-	-	-	-	-	-	-	-	348,550	(18,790)	
EM180009	Engineering Flue Upgrade (accelerated compliance works)	Non-residential capital maintenance		213,240	-	-	22,768	201,000	-	-	-	-	-	-	-	-	223,768	(10,528)	
EM180010	21 University Rd Heating Mains Install (accelerated compliance works)	Non-residential capital maintenance		118,800	-	-	131,104	-	14,090	-	-	-	-	-	-	-	145,194	(26,394)	
EM180015	Att. Tower Paternoster Replacement (accelerated compliance works)	Non-residential capital maintenance		830,040	-	-	91,164	760,000	-	-	-	-	-	-	-	-	851,164	(21,124)	
EM180021	RKCSB Steam	Non-residential capital maintenance		50,000	-	-	50,000	-	-	-	-	-	-	-	-	-	50,000	-	
EM180023	Replace Small Goods Lift Computer Centre (accelerated compliance works)	Non-residential capital maintenance		50,880	-	-	50,839	-	-	-	-	-	-	-	-	-	50,839	41	
EM180024	Physics Building Goods Lift Replacement (accelerated compliance works)	Non-residential capital maintenance		127,500	-	-	127,951	-	-	-	-	-	-	-	-	-	127,951	(451)	
EM180026	Repair to Foul Waste Stacks (Adrian)	Non-residential capital maintenance		146,856	-	-	146,856	-	-	-	-	-	-	-	-	-	146,856	-	
EM180002	Adrian HV resilience	Non-residential capital maintenance		1,185,000	-	-	134,000	1,051,000	-	-	-	-	-	-	-	-	1,185,000	-	
EM180029	PRF compliance works	Non-residential capital maintenance		272,880	-	-	26,300	246,580	-	-	-	-	-	-	-	-	272,880	-	
EM180032	Plant room locks (accelerated compliance works)	Non-residential capital maintenance		150,000	-	-	150,000	-	-	-	-	-	-	-	-	-	150,000	-	
EM180033	Roofing works	Non-residential capital maintenance		125,000	-	-	125,000	-	-	-	-	-	-	-	-	-	125,000	-	
EM180035	Replace electrical distribution board (accelerated compliance works)	Non-residential capital maintenance		54,000	-	-	54,000	-	-	-	-	-	-	-	-	-	54,000	-	
EM180039	Lightning protection (accelerated compliance works)	Non-residential capital maintenance		46,000	-	-	46,000	-	-	-	-	-	-	-	-	-	46,000	-	
New	CONDITION Maintenance Non-Residential	Non-residential capital maintenance		18,000,000	-	-	-	2,000,000	2,000,000	2,000,000	2,000,000	2,000,000	2,000,000	2,000,000	2,000,000	2,000,000	18,000,000	-	
New	COMPLIANCE Maintenance Non-Residential	Non-residential capital maintenance		23,530,000	-	-	-	1,530,000	4,500,000	2,500,000	2,500,000	2,500,000	2,500,000	2,500,000	2,500,000	2,500,000	23,530,000	-	
<b>Total</b>				<b>49,083,410</b>	<b>1,450,000</b>	<b>671,465</b>	<b>3,195,130</b>	<b>7,068,241</b>	<b>6,514,090</b>	<b>4,500,000</b>	<b>4,500,000</b>	<b>4,500,000</b>	<b>4,500,000</b>	<b>4,500,000</b>	<b>4,500,000</b>	<b>4,500,000</b>	<b>48,948,926</b>	<b>134,484</b>	
<b>Campus Services</b>																			
EC170011	Mary Gee Refurbishment (project not going ahead)	Mary Gee		12,792,000	3,500,000	268,776	549,853	-	-	-	-	-	-	-	-	-	818,629	11,973,371	
ER180009	Mary Gee - social building (project not going ahead)	Mary Gee		2,															



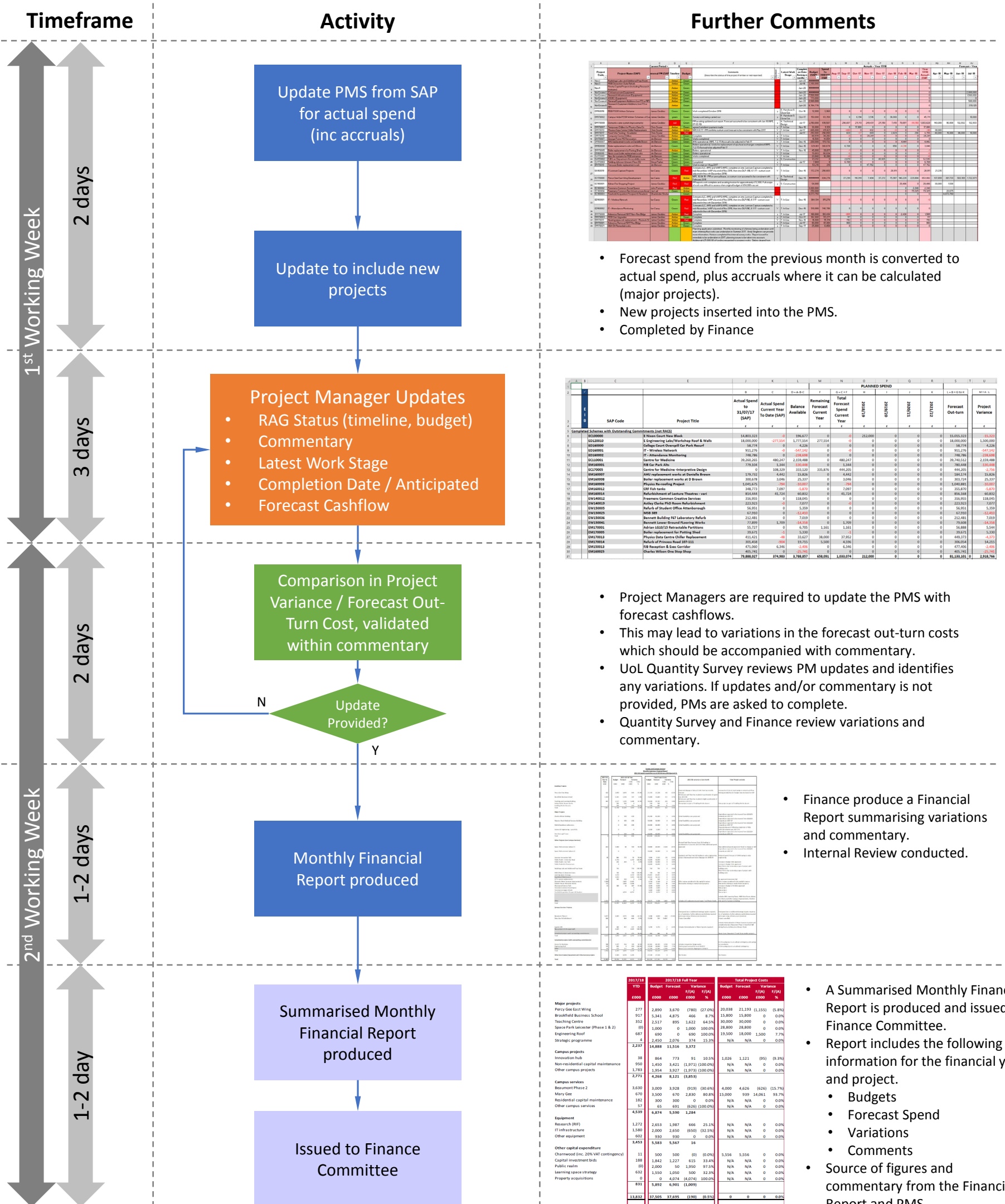


	2017/18	Schedule		2017/18 Full Year		
	YTD	Gate	Status	Budget	Forecast	Vari
	£000			£000	£000	F/(A) £000
<b>Major projects</b>						
Percy Gee East Wing	798	Gate 2	Construction	2,890	2,878	12
Brookfield Business School	1,298	Gate 1	Tender	5,341	2,991	2,350
Teaching Centre	510	Gate 1	Tender	2,517	1,088	1,429
Freemens Common (non-residential)	78	Gate 0	Feasibility	0	99	(99)
Space Park Leicester (Phase 1)	0	Gate 1	Design	1,000	85	915
Engineering Roof	(0)	Gate 2	Handover / In Use	690	(0)	690
Strategic programme	918			2,450	2,268	182
	<b>3,602</b>			<b>14,888</b>	<b>9,409</b>	<b>5,479</b>
<b>Campus projects</b>						
Innovation hub	60	Gate 2	Construction	864	761	103
Learning space strategy	297	N / A	N / A	1,550	631	919
Non-residential capital maintenance	1,443	N / A	N / A	1,450	2,928	(1,478)
Other campus projects	2,851	N / A	N / A	1,954	3,571	(1,617)
	<b>4,651</b>			<b>5,818</b>	<b>7,890</b>	<b>(2,072)</b>
<b>Campus services</b>						
Beaumont Phase 2	3,712	Gate 2	Handover / In Use	3,009	3,875	(866)
Mary Gee	605	N / A	N / A	3,500	605	2,895
Residential capital maintenance	397	N / A	N / A	300	397	(97)
Other campus services	211	N / A	N / A	65	352	(287)
	<b>4,926</b>			<b>6,874</b>	<b>5,229</b>	<b>1,645</b>
<b>Equipment</b>						
Research (RIF)	1,981	N / A	N / A	2,653	2,735	(82)
IT infrastructure	1,787	N / A	N / A	2,000	2,600	(600)
Other equipment	760	N / A	N / A	930	1,028	(98)
	<b>4,528</b>			<b>5,583</b>	<b>6,363</b>	<b>(780)</b>
<b>Other capital expenditure</b>						
Charnwood (inc. 20% VAT contingency)	75	N / A	N / A	500	75	425
Capital investment bids	382	N / A	N / A	1,842	754	1,088
Public realm	49			2,000	166	1,834
Property acquisitions	4,074	N / A	N / A	0	4,074	(4,074)
	<b>4,580</b>			<b>4,342</b>	<b>5,068</b>	<b>(726)</b>
	<b>22,286</b>			<b>37,505</b>	<b>33,960</b>	<b>3,545</b>

Variance F/(A) %	Total Project Costs			
	Budget	Forecast	Variance	
	£000	£000	F/(A) £000	F/(A) %
0.4%	21,193	21,236	(43)	(0.2%)
44.0%	15,800	15,800	0	0.0%
56.8%	30,000	30,000	0	0.0%
100.0%	18,000	18,000	0	0.0%
91.5%	20,400	20,400	0	0.0%
>100.0%	19,500	18,000	1,500	7.7%
7.4%	N/A	N/A	0	0.0%
12.0%	1,026	1,117	(91)	(8.9%)
59.3%	N/A	N/A	0	0.0%
(100.0%)	N/A	N/A	0	0.0%
(82.7%)	N/A	N/A	0	0.0%
(28.8%)	4,000	4,720	(720)	(18.0%)
82.7%	15,000	885	14,115	94.1%
(32.4%)	N/A	N/A	0	0.0%
(100.0%)	N/A	N/A	0	0.0%
(3.1%)	N/A	N/A	0	0.0%
(30.0%)	N/A	N/A	0	0.0%
(10.6%)	N/A	N/A	0	0.0%
85.1%	5,556	5,556	0	0.0%
59.1%	N/A	N/A	0	0.0%
91.7%	N/A	N/A	0	0.0%
100.0%	N/A	N/A	0	0.0%
<b>9.5%</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0.0%</b>

## Programme Management Spreadsheet (PMS) – Monthly Process

Note: This process diagram is based on discussions and observations made during the group interviews (22<sup>nd</sup> / 26<sup>th</sup> March 2018) and separate conversations with members of the Estates Project and Finance teams.



Project Code	Project Name	Start	End	Budget	Actual Spend	Forecast	Out-Turn	Variance
1000000	University of Leicester	2017-01-01	2017-12-31	1000000	1000000	1000000	1000000	0

- Forecast spend from the previous month is converted to actual spend, plus accruals where it can be calculated (major projects).
- New projects inserted into the PMS.
- Completed by Finance

SAP Code	Project Title	Actual Spend 31/07/17 (SAP)	Actual Spend Current Year To Date (SAP)	PLANNED SPEND				Forecast Out-Turn	Project Variance
				2017/18	2018/19	2019/20	2020/21		
1000000	University of Leicester	1000000	1000000	1000000	1000000	1000000	1000000	0	

- Project Managers are required to update the PMS with forecast cashflows.
- This may lead to variations in the forecast out-turn costs which should be accompanied with commentary.
- UoL Quantity Survey reviews PM updates and identifies any variations. If updates and/or commentary is not provided, PMs are asked to complete.
- Quantity Survey and Finance review variations and commentary.

Category	2017/18	2018/19	2019/20	2020/21
Major projects	1000000	1000000	1000000	1000000
Campus projects	500000	500000	500000	500000
Campus services	300000	300000	300000	300000
Other equipment	200000	200000	200000	200000

- Finance produce a Financial Report summarising variations and commentary.
- Internal Review conducted.

Category	2017/18 Full Year				2018/19 Full Year			
	Budget	Forecast	Variance	%	Budget	Forecast	Variance	%
Major projects	1000000	1000000	0	0%	1000000	1000000	0	0%
Campus projects	500000	500000	0	0%	500000	500000	0	0%
Campus services	300000	300000	0	0%	300000	300000	0	0%
Other equipment	200000	200000	0	0%	200000	200000	0	0%

- A Summarised Monthly Finance Report is produced and issued to Finance Committee.
- Report includes the following information for the financial year and project.
  - Budgets
  - Forecast Spend
  - Variations
  - Comments
- Source of figures and commentary from the Financial Report and PMS.

## PMO Operation

### **9. Level 1 Programme Overview**

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The University has produced a Level 1 Programme of major projects as part of the strategic masterplan. This has been included within this section.



