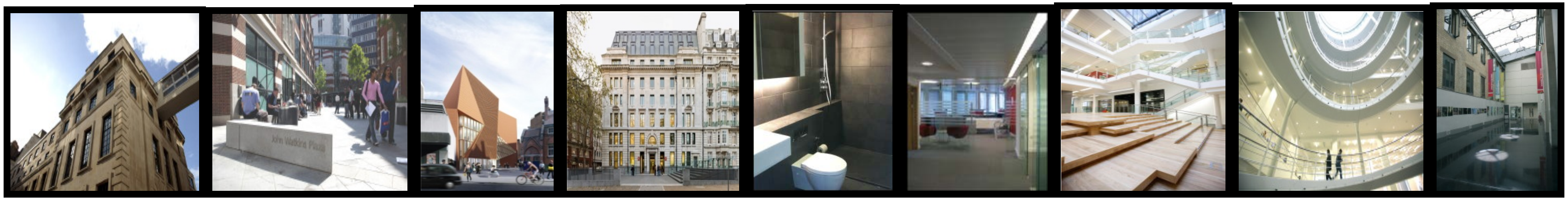
Project Management Handbook 2014



"To Understand the Causes of Things"

LSE Estates Division
Capital Development

AMENDMENT RECORD

This document has been issued and amended as follows: -

Isu.	Rev.	Reason for Issue / revision	Date	Issued to																									
				Project Team												Stakeholders													
				CD / File		Project Board		Project Managers		Quantity Surveyors		CDM coordinator		Design Team		Students' Union		Residences – Accommodation & Sales		Chaplaincy		Facilities & Maintenance		Environ & Sustainability		ITS inc. Telecoms, AV		PCPD: Legal and Compliance Team	
				e	p	e	e	e	p	e	p	e	p	e	p	e	p	e	p	e	p	e	p	e	p	e	p	e	p
1	-	Project handbook																											
	1 4 5 6																												

Amendment Log

Isu.	Rev.	Reason for Issue / revision	Date	Changes Made
1	-	Project Handbook		
	1	PEP details	8/5/12	PEP details added to Stage C to match check sheet.
	4			
	5			
	6			
2		RIBA work stages 1-7	21/04/14	Update for new RIBA work stages

Contents

Introduction

This document is to be used on all projects under the control of the Capital Development Team and is intended to provide a Process Map for the procurement of projects.

These are a series of standard processes and documents which must be utilised and this handbook collates all that information into a single source for ease of reference and a common checklist to ensure key processes and documentation are completed and in place at the relevant stages on a consistent basis.

The Process Map sets out the key stages of a project life span and links standard actions required and standard documentation, as noted, for the various stages. The map runs from the initiation of a project, through the RIBA Work Stages 1 to 7 and Post Project Evaluations.

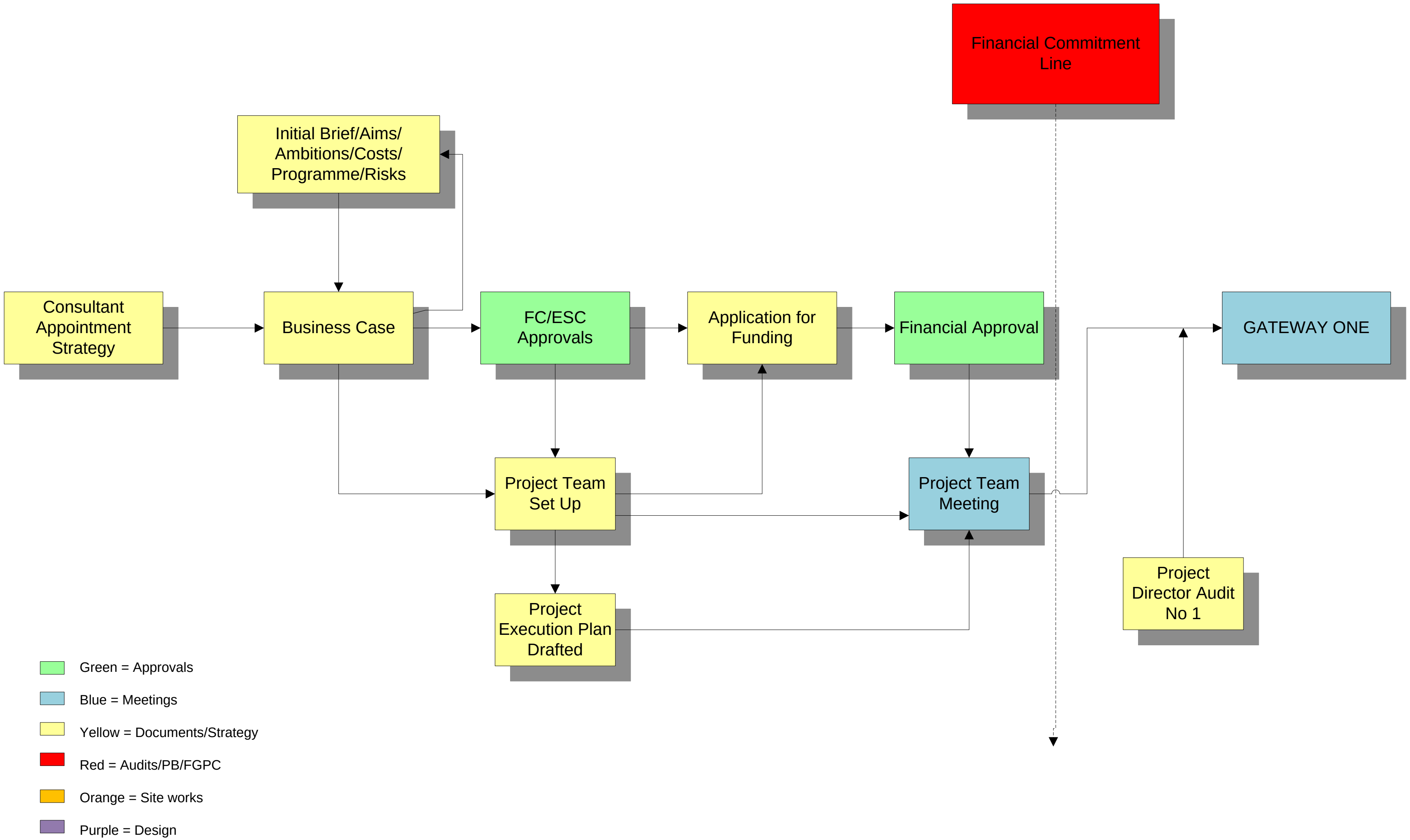
It highlights key actions and documentation required to be taken/produced by internal project/management teams and external consultants.

The documentation covers areas such as procurement requirements (Financial Regulations, OJEU etc.), Health and Safety requirements (internal and external sources, CDM etc.) and liaison with other Estates Sections and the wider School.

The accompanying charts show the generic process route which is to be followed. The charts detail all stages of a project. Any deviations from the process are to be by exception and reported as necessary.

Martyn Fisher
Assistant Director,
Capital Development
May 2014

Stage 1 – Initiation (Pre RIBA Work Stages)



Stage 1 – Initiation (Pre RIBA Work Stages)

A project requires initiation via the School's Senior Management Steering Committees – the Finance Committee (FC)/Estates Strategy Committee (ESC)

Documents

i) Business Case. – Produced by User Department or Estates

• Supporting documentation confirming acceptance of project business case and FC/ESC approval to proceed (relevant minute) together with approved funding /funding stream.

• Confirmation required if a bid for funding is necessary and to which body.

• At this stage a review of the 'aims and ambitions' of the project is required to ensure that estimates are not over-optimistic about cost, time and quality; this review will form the Initial Brief.

• FC/ESC or other minute confirming project is to proceed.

• Initial Brief

ii) Application for Funding

• Standard Form to be submitted for approval to the Director of Finance and Facilities, copy submitted to Finance Director, on approval. No expenditure prior to confirmation of budget code.

• Confirmation required if any external funding bid has been successful and the funding stream has been set up for draw down (e.g. ODAR).

• Capital Development team to assist on preparation of external bids as required.

• Application for Funding and Project Manager's CDM Declaration

iii) New Works Request Form

• This is a standard form to be completed by Client/End User for minor works and where the funding is to be via the Department. Form to be returned to Estates for sign off and distribution to relevant section to carry the works forward.

• New Works Request.

iv) Capital Development Standard Filing

• The Administration Section of Capital Development will manage the setting up of the project filing system in line with the standard hardcopy and electronic format

v) Project Board (PB)

• Establishment of PB under a relevant Chair. PB No.1 to receive and approve the following:

• PB required if £1M or more (steering groups may be used for ad hoc projects where appropriate)

Document Set

i) Standard Agenda

ii) Terms of Reference (Standard Terms or revisions with Chairs approval)

iii) PB Membership

iv) Outline Scope of Project – Initial Brief

v) Approved Budget

vi) Outline Programme

vii) Scope of Capital Development

viii) Risk Register

vi) Project Execution Plan (PEP)

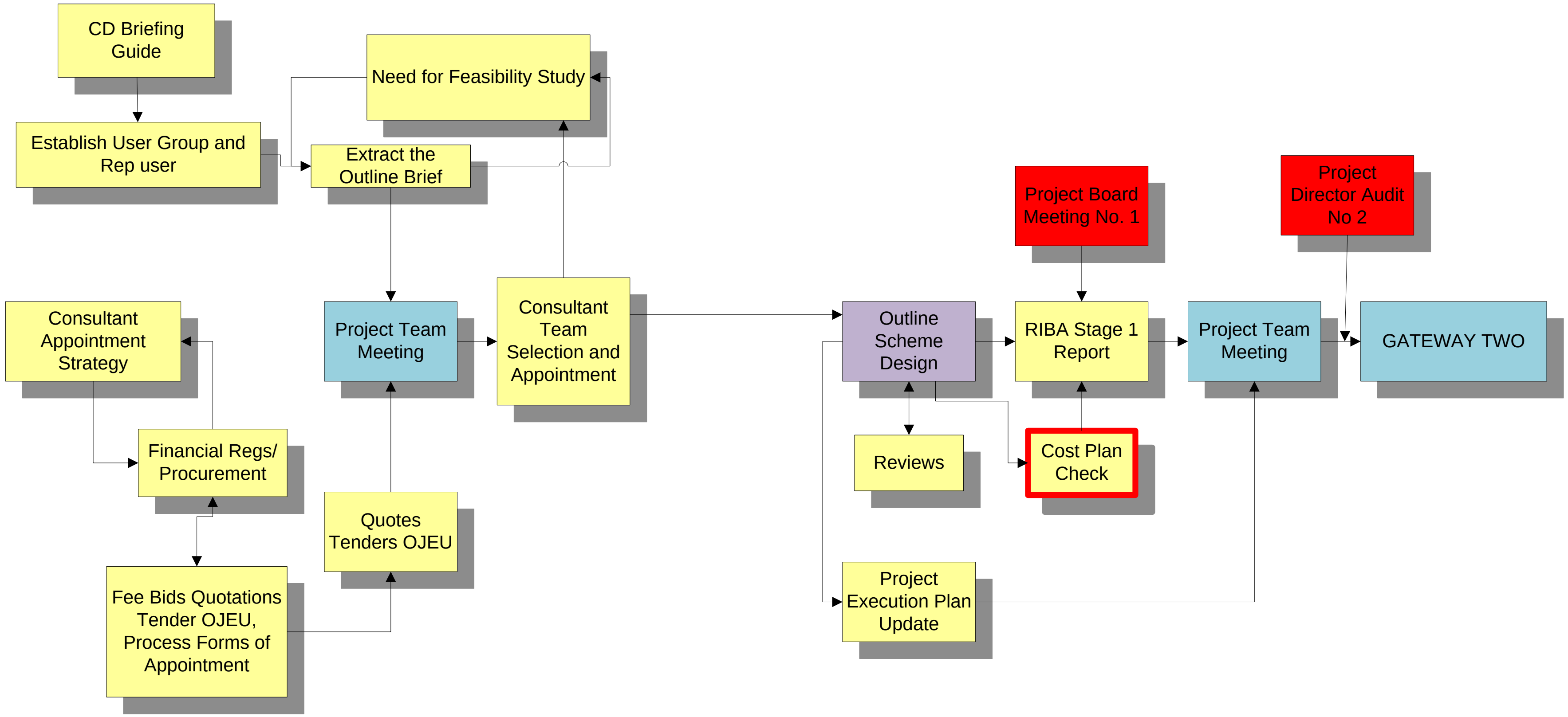
• The PEP is a controlling document for the project and is to be updated throughout its life-cycle. It will contain all relevant scope information, contact details, scope, programme, etc. The standard template is to be used and adapted as required.

vii) Project Director Audit No.1

• Internal audit to ensure all required actions taken and documentation completed

• Minor Works requests

Stage 2 – Outline Scheme
(RIBA Work Stages 1)



Green = Approvals
Blue = Meetings
Yellow = Documents/Strategy
Red = Audits/PB/FGPC
Orange = Site works
Purple = Design

Stage 2 – Outline Scheme (RIBA Work Stage 1)

The completion of Stage One moves a project into the Preparation Phase (or Feasibility) with the appointment of external consultants for major capital works or in-house resource allocation, as ratified by the Project Board.

Documents

i) User Group

• Establishment of User Group Members directly involved with the proposed project. All roles and responsibilities are to be agreed and formalised and liaison to be set up for approval by the PB. A User Group Leader (Rep user) should be identified as the single point of contact.

• User Group List and User Group Leader (Rep user)

ii) Project Briefing Guide

• The User Group members are to be issued with the Project Briefing Guide, which sets out their responsibilities. This document outlines the actions and decisions required from the 'Client' to establish clarity about the process of procuring the project and the commitment required.

iii) Design Team Appointments

• At this stage the strategy for appointing external consultant teams and LSE internal project teams needs to be set up and agreed with the PB. External consultants have to submit fee tenders or quotations dependant on size of the project budget and status of framework agreements.

Document Set

i) Financial Regulations Limits

ii) Financial Regulations check to be made for either action on quotations or tender.

iii) Financial Regulations check to be made for OJEU requirements

iv) OJEU Forms – internal review with Procurement Office

v) Check if relevant framework has been set up for consultant appointment for small projects

vi) Notification to Purchasing confirming procurement route

vii) Exemption to Financial Regulations Form.

(NOTE: Exceptions to the Financial Regulations are strictly controlled and need sanction from the Project Board and the circumstances must be clearly defined. Form to be submitted to Director of Finance and Facilities for sign off.

iv) Forms of Appointment

• The use of Standard Forms of Agreement (RIBA, RICS, ACE etc.), if LSE bespoke forms are not used, are to be reviewed and approved by the PB before their issue.

v) LSE Inception/Notification Meeting

• Consultation meetings are to be held with internal support services to discuss the overall scope of the scheme. The meetings are to be held at regular intervals during the life of the project to ensure LSE internal support groups have an understanding of the project, how it will impact on them and how they will need to support or interact on completion. The following attendees are given as examples:

Maintenance
LSE Fire Consultants
Office Management
Teaching and Learning Services
Security
DDA Advisor
Health and Safety Advisors
Energy Manager / Sustainability Team
Head of Space Management
IMT including Telecomms
Purchasing

• Inception Meeting Standard Agenda

vi) RIBA Stage 1 Report

• The following documentation must be included in the Report which is to be presented and signed off by the PB with approval to proceed to the next stage:

Document – RIBA Stage 1 Report

i) Outline Brief

ii) Feasibility

iii) Design vs Function

iv) Outline Design Proposals

v) Draft Master Programme

vi) Outline Cost Plan – Budget Review

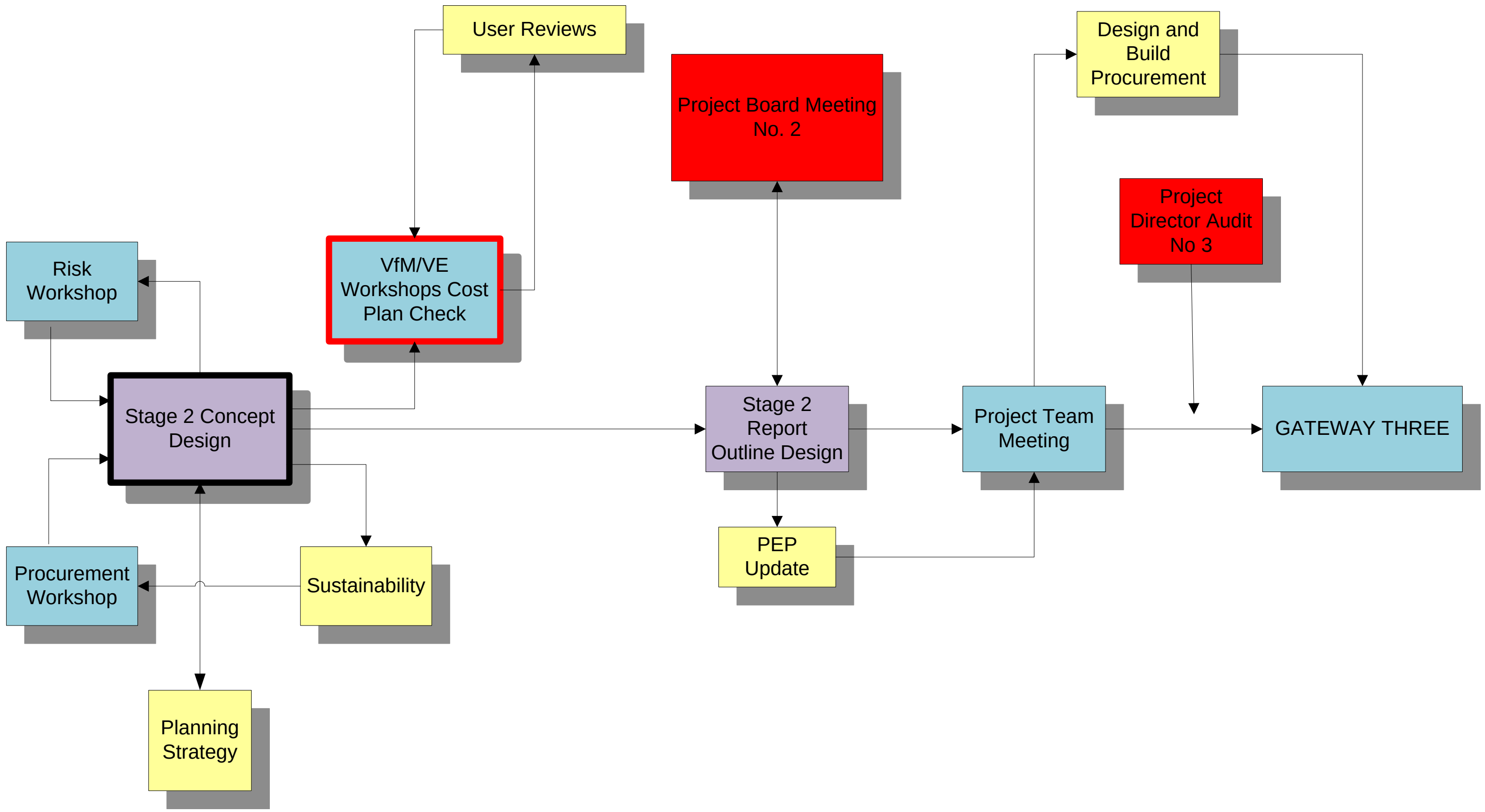
vii) Outline Risk Register

viii) Project Execution Plan update.

vii) Project Director Audit No.2

• Internal audit to ensure all required actions taken and documentation completed

Stage 3 – Concept Proposals
(RIBA Work Stage 2)



Green = Approvals

Blue = Meetings

Yellow = Documents/Strategy

Red = Audits/PB/FGPC

Orange = Site works

Purple = Design

LSE Estates Division
Capital Development

Prepared by: Martyn Fisher

Date: June 2014

Stage 3 – Concept Proposals (RIBA Work Stage 2)

Completion of Stage 2 releases the scheme to proceed to Concept Proposal Stage which crystallises the scope of the project in terms of design, cost, quality and programme. Consideration of the following is needed at this stage:

- Brief
- Design vs Function Review
- Design Reviews
- Cost Plan
- Value for Money and Value Engineering (VfM/VE)
- Programme
- Risk Register
- Procurement Review
- Sustainability
- Planning Strategy

Documents

i) Concept Brief

- The document will set out the detailed scope of the requirements to meet the users/client needs. The brief will be based on information from the users/client in terms of functional requirements, initial spatial arrangements and overall design quality.

- Co-ordinated Brief

ii) RIBA Work Stage 2 Workshops

Document Set

i)	Design Team Meetings – Agenda/Minutes
ii)	Risk Workshop
iii)	Procurement Workshop
iv)	Sustainability Workshop
v)	VFM/VE Workshops
vi)	Planning Strategy and Application
vii)	PEP Update

iii) LSE Internal Stakeholder Meeting – No.2

- A review meeting/meetings are to be held with internal bodies to discuss the overall scope of the scheme, the following attendees are given as examples:

Maintenance
LSE Fire Consultants
Office Management
Teaching and Learning Services
Security
DDA Advisor
Health and Safety Advisors
Energy Manager / Sustainability Team
Head of Space Management
IMT including Telecomms
Purchasing

- Internal Stakeholder Meeting Standard Agenda

iv) RIBA Work Stage 2 Report

- The following documentation must be included in the Report which is to be presented and signed off by the PB with approval to proceed to the next stage:

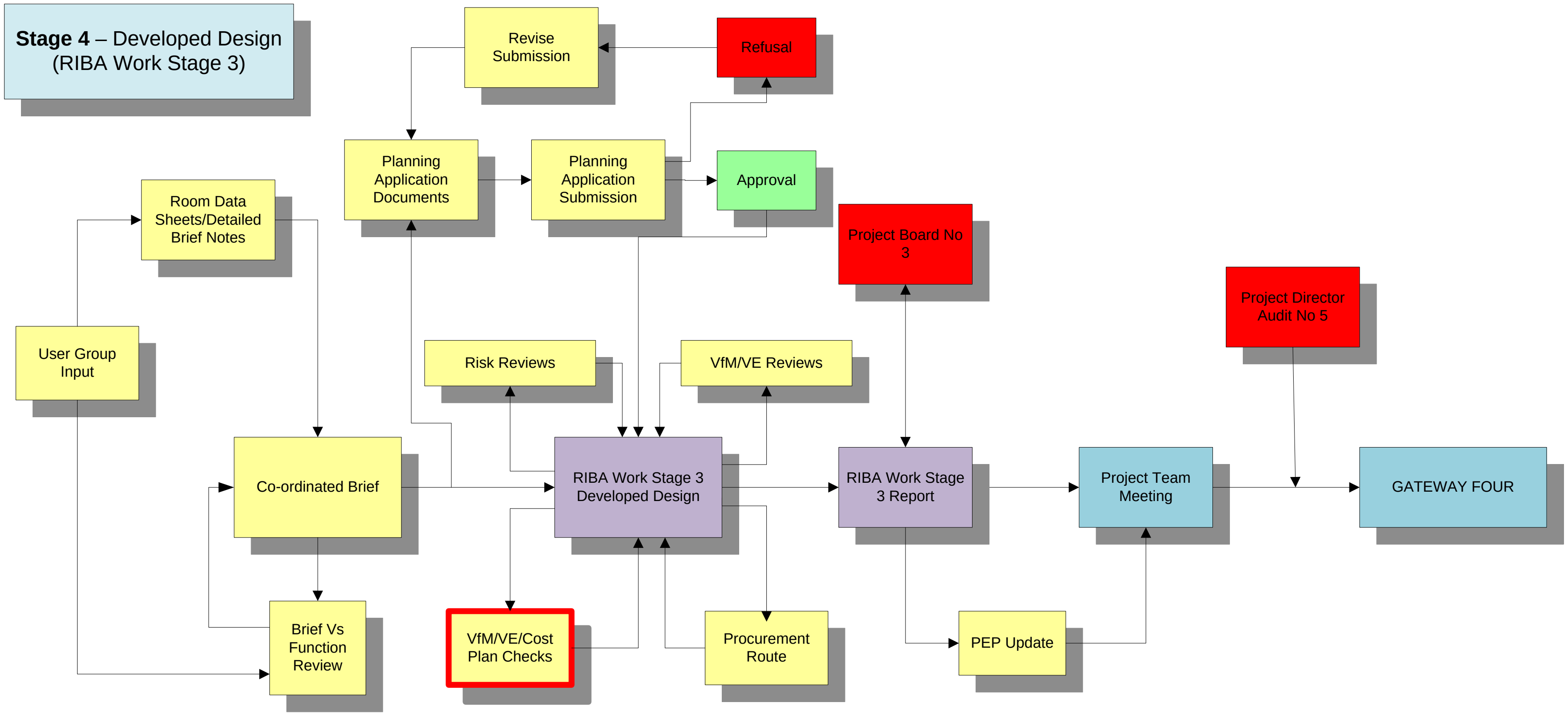
Document RIBA Work Stage 2 Report

i)	Concept Brief
ii)	Design vs Function
iii)	Design Proposals
iv)	Programme
v)	Cost Plan
vi)	Outline Risk Register
vii)	Project Execution Plan update.
viii)	Planning Strategy
ix)	Planning Application Documents (if applicable)

vi) Project Director Audit No.3

- Internal audit to ensure all required actions taken and documentation completed

- **All Design Team Appointments to be formalised and executed at this point.**



Green = Approvals

Blue = Meetings

Yellow = Documents/Strategy

Red = Audits/PB/FGPC

Orange = Site works

Purple = Design

Stage 4 – Developed Design (RIBA Work Stage 3)

The project has now reached a point where the elements of the scheme need to be fully defined to Developed Design Stage and signed off by all parties. All parties need to be aware of the impact of changes after the completion of this stage of the project which may mean abortive work and incur additional fees and impact on the agreed programme.

Documents

I) Detailed Developed Brief

- The RIBA Work Stage 3 Concept Design Brief will inform the process of Detailed Developed Design.
- The Concept Design Brief is enhanced with additional detailed information including detailed room data sheets and detailed user requirements.
- The performance and life expectancy of elements of the design are to be included at this stage, health and safety, maintenance, facilities management, repair and replacement, also a clear statement on sustainability is required.
- The final document now becomes the Consolidated Developed Design Brief and is signed off by the PB.
- The brief will be informed by the room data sheets which will be signed off by the users/client group.

Document Set

i) Consolidated Brief

ii) Room Data sheets

II) LSE Internal Stakeholder Meeting – No.3

- A review meeting to be held with internal bodies to discuss the overall scope of the scheme, the following attendees are given as examples:

Maintenance
LSE Fire Consultants
Office Management
Teaching and Learning Services
Security
DDA Advisor
Health and Safety Advisors
Energy Manager / Sustainability Team
Head of Space Management
IMT including Telecomms

- Standard Agenda

III) RIBA Work Stage 3 Report

- The following documentation must be included in the Report which is to be presented and signed off by the PB with approval to proceed to the next stage:

Document Work Stage 3 Report

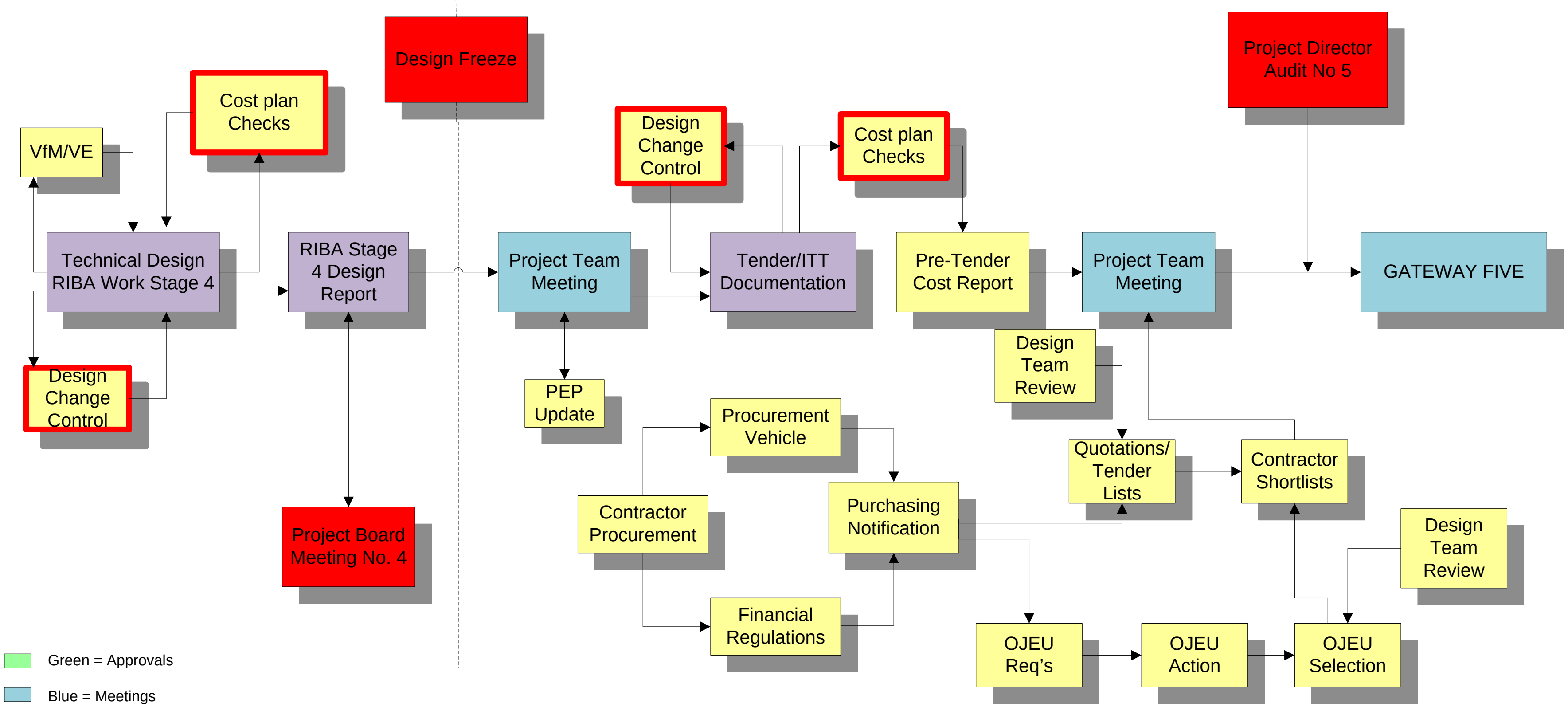
i) Developed Brief
ii) Design vs Function
iii) Scheme Design Proposals
iv) Room Data Sheets
v) Detailed Programme
vi) Detailed Cost Plan
vii) VfM/VE
viii) Detailed Risk Register
ix) Project Execution Plan update.
x) Planning
xi) Procurement
xii) Strategies for:
- Cleaning
- Maintenance
- Security
- Access (DDA)
- IMT
- Sustainability including energy, carbon savings and waste management

xiii) H&S statement

iv) Project Director Audit No.4

- Internal audit to ensure all required actions taken and documentation completed

Stage 5 – Technical Design to Production Information (RIBA Work Stage 4)



Green = Approvals

Blue = Meetings

Yellow = Documents/Strategy

Red = Audits/PB/FGPC

Orange = Site works

Purple = Design

Stage 5 – Technical Design to Production Information (RIBA Work Stage 4)

The project has reached the stage where technical design commences and the procurement route needs to be agreed and put in place. A design freeze point must be clearly identified and the implications set out for the Client body regarding scope changes after this point.

A Design Change Control system is to be adopted to track any change either from the Design Team or User/Client.

Documents

i) Technical Design – RIBA Work Stage 4

• The Design Team will need to collaborate closely and agreements made on responsibilities for producing what information – architect, other consultants, contractors or other specialist firms etc.

• All changes to the design and specifications need to be carefully monitored and controlled, a Design Change Control Form is required to track and agree changes.

ii) LSE Internal Stakeholder Meeting – No.4

• A review to be held with internal bodies to discuss the overall scope of the scheme, the following attendees are given as examples:

Maintenance
LSE Fire Consultant
Office Management
Teaching and Learning Services
Security
DDA Advisor

Health and Safety Advisors
Energy Manager / Sustainability Team
Head of Space Management
IMT including Telecomms
Purchasing

• Standard Agenda

iii) Stage 4 Report

• Detailed design vs functional requirements
• Specifications (proscriptive and performance)
• Detailed design drawings, schedules etc
• Document Control
• Design Change Control Form
• Co-ordination across disciplines
• Employer's Requirements (RIBA Work Stage)

• Detailed Risk Register
• Detailed Programme
• Elemental Cost Plan
• Detailed VfM/VE
• Internal Stakeholder Meetings (minutes)
• Procurement

• PEP update

iv) Design Freeze

• On completion of the technical design all parties are to be formally notified that the project has reached the design freeze stage and all parties are to be made aware of the impact of any changes beyond this stage.

• Design Freeze Sign Off (PB/User/Design Team)

v) Procurement

• The procurement route will have been agreed at RIBA Work Stage 3 and the stages for proceeding to tender are now enacted. Various checks will be required and the Purchasing Office will be notified and assist in the process through the e-procurement and, where desirable, establishing criteria and scoring responses.
• Contractor shortlists are to be tabled at the PB for agreement
• Conditions of the Form of Contract to be reviewed and agreed together with the preliminaries.

Document Set

i) Financial Regulations Limits
ii) Quotation forms
iii) Tender Documentation
iv) OJEU Requirements
v) OJEU Notices
vi) Purchasing Notification
vii) OJEU Selection Process (agreed and evaluation)
viii) Pre-Tender Interviews
ix) Selected Tenderer List
x) Form of Contract

vi) Stage 4 – Tender / ITT Information

• The Design Team deal with all aspects of producing co-ordinated information, drawings, schedules, specifications and the like.

• Ensure that the team are fully aware of their responsibilities and have a detailed co-ordinated programme of works for this stage with key milestones for co-ordination reviews and cost checks.

• Requirements for work schedules should have been agreed prior to this stage.

• The information at this stage will form the basis of the Building Regulations submission, to either an Approved Inspector or Local Authority.

vii) Pre-Tender Action

• Paralleling the Design Team actions the Capital Development Team will set up the requirements for requisite tender procedures, including OJEU requirements if necessary. Financial regulations checks are required at this stage and projects are to have the relevant quotations/tender review in place.
• Exceptions to the Financial Regulations can be applied for but the circumstances are strictly controlled and must be agreed with the PB/Director of Finance and Facilities/Director of Estates/Director of Capital Development as required.

• The Purchasing is to be notified of the actions being taken and that OJEU/Tender Action/Quotations are being sought on the project.

• Checks are to be made on potential contactors to ensure they are suitable for inclusion on tender lists:

• Pre-tender reviews are to be held with the Design Team during this phase.

• References • D+B Financial Checks

• Construction Line / LUPC • Previous LSE Projects

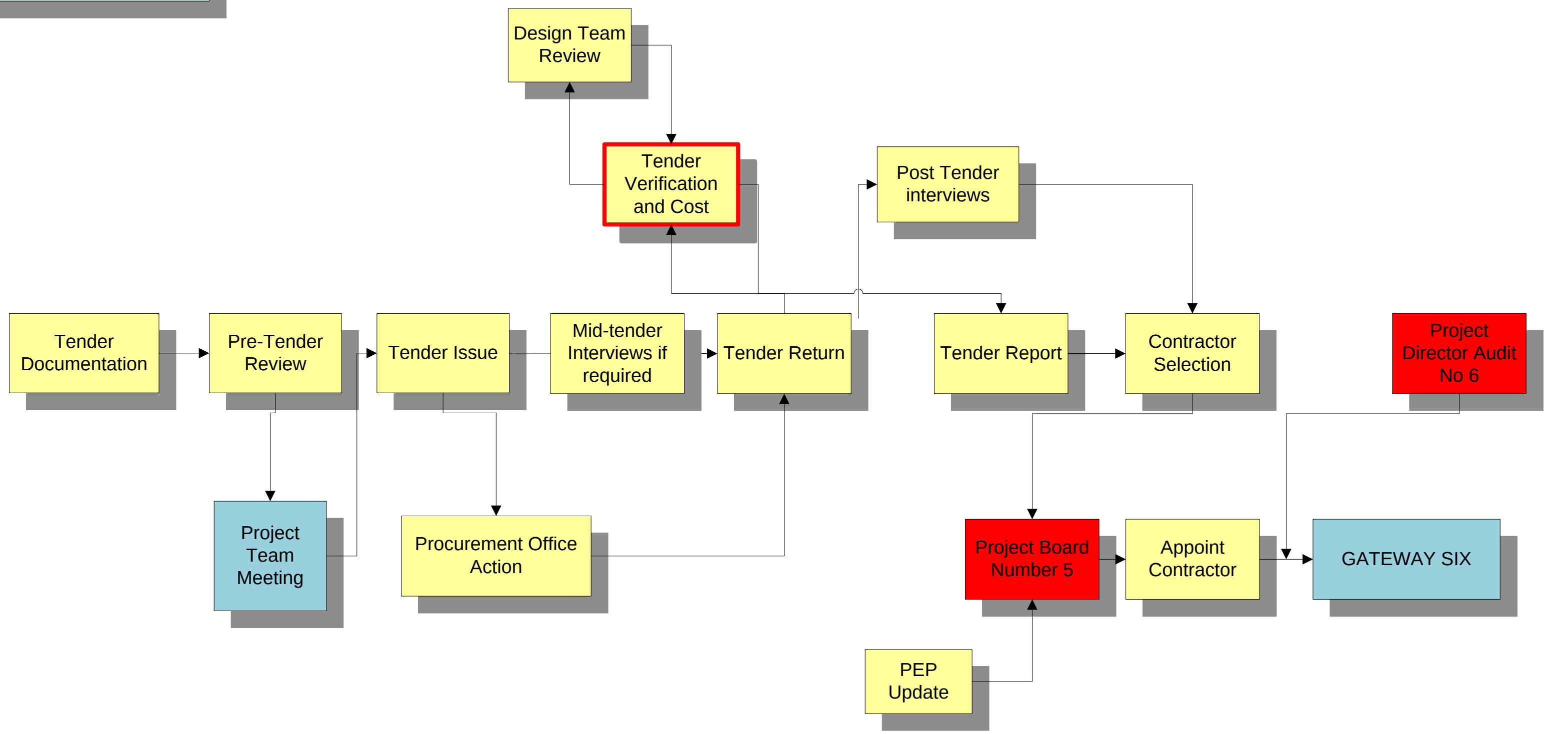
• The Quantity Surveyor if used must produce a Pre-Tender Cost Report before moving on to the Tender Action Stage.

viii) Project Director Audit No.5

• Internal audit to ensure all required actions taken and documentation completed

LSE Estates Division Capital Development

Stage 6 – Tender Action
(RIBA Work Stage 5)



Green = Approvals

Blue = Meetings

Yellow = Documents/Strategy

Red = Audits/PB/FGPC

Orange = Site works

Purple = Design

Stage 6 – Tender Action (RIBA Work Stage 5)

On completion of the Tender Documentation it will be collated and checked prior to issue to the selected tender list. It is important that the information and instructions to the tenderers are clear.

Documents

i) Tender Documentation

• LSE standard tender forms are to be used on all projects being issued for tender and accessed via the e-procurement system

• All tenders are to be given a unique reference number issued by Purchasing

• Notification is to be given to the Purchasing that a tender is to be issued, who is on the tender list and what the issue and return dates are.

• The tenderers are to be notified of impending tender issues

• Identify if mid-tender interviews are required

• Schedule of site visits to be maintained

• All tenders are to be returned via the Purchasing e-procurement system

No hard copies of tenders are to be issued/returned.

• LSE Standard Forms of Tender – Set

i) ITT Sections 1+2

ii) Form of Tender

ii) Tender Breakdown

iii) Response to Tender Questionnaire

iv) Preliminaries including form of contract to be used

v) Standard Set of Appendices

• Instructions for use of Purchasing e-procurement register

ii) Tender Returns

• Purchasing will log all returns and pass them to the Project Manager for opening/evaluation including transfer to external consultants.

• Post-tender interviews are to be held if required

• The tender return information is then reviewed and checked accordingly for completeness etc., and a Tender Report is then produced together with a recommendation and reported to the PB.

• Where tenders are over the project budget cost saving options are to be undertaken and reported to the PB.

• Upon approval to appoint a contractor Purchasing to be notified of successful contractor. All unsuccessful contractors to be notified in writing by Purchasing.
Note: it is best practice to have a 10 day 'standstill period'

• Purchase Order

iii) Contract Documentation

• Contract Documentation to be prepared for execution

• Contract Documentation checklist

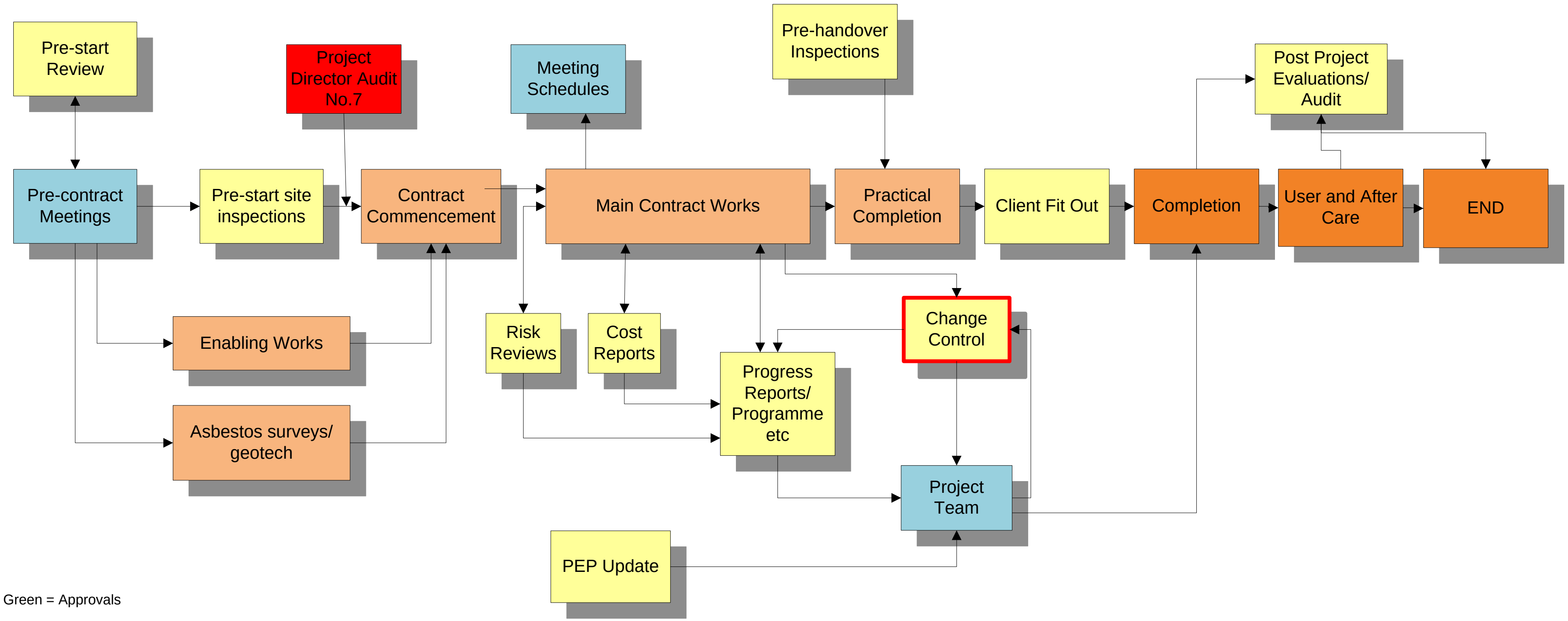
• Insurance documents to be checked

• Request for contract to be executed by Company Secretary and Pro-Director

iv) Project Director Audit No.6

• Project audit to be undertaken prior to completion of this stage of procurement

Stage 7 – Construction
(RIBA Work Stage 6+7)



Green = Approvals

Blue = Meetings

Yellow = Documents/Strategy

Red = Audits/PB/FGPC

Orange = Site works

Purple = Design

Stage 7 – Construction (RIBA Work Stages 6 + 7)

Prior to the commencement of works on site there are still a series of actions that are required to ensure the project is set up correctly and that the School is ready for the works to commence. This applies more rigorously to works in occupied buildings.

Documents

i) Project Planning

• A Pre-Start Review is to be undertaken with key LSE Staff including the Internal Stakeholder Meeting attendees, occupants of buildings where the works is taking place.

• A Pre-Contract Meeting will be held with the contractor and his site team together with key LSE Staff who will have an interface with the proposed works.

• A Pre-Start Site Inspection is required to verify site conditions etc prior to handover to the contractor.

• Notification is to be given to LSE Finance regarding insurance and cash flow prior to works commencing.

• All site investigations are now to be completed including any Asbestos survey works and any final geotechnical investigations or demolitions or enabling works.

• Pre-Start Checklist
• Pre-Contract Meeting Agenda
• User/Building Occupant Notification
• Final Fire Alarm Protocol Sign Off
• Maintenance/Cleaning Dept. Notification
• Insurance Notification
• PEP Update
• F10 has been completed and submitted
• Party Wall Notices completed if required
• Health and Safety Plans in place

ii) Project Director Audit No.7

• Final audit prior to commencement of contract works

iii) Operations on Site

• Reporting lines and reporting schedules are required to be set up so effective monitoring of the project is in place

• Prior to Practical Completion pre-handover inspections to be made with LSE staff who will interface with the project on completion, e.g. FM, IMT, Security, other support.

• Site Meetings
• Design Team Reports
• Programme updates
• Risk Register updates
• Cost Reports
• Change Control
• Clerk of Works Reports (if appropriate)
• Inspections (Design Team)
• Inspections (LSE)
• Selection of samples
• VAT Exemption Certificate Schedule
• Interim Programme and Valuation Certificates
• Pre-handover inspections
• Contractor's responsibilities during the Defects Period

iv) Practical Completion

• The Design Team is to liaise with the contractor on the requirements for the formal handover and granting of Practical Completion. This will include inspections of the works, handover of all testing and commissioning certification and the Operational and Maintenance Manuals.

• A formal handover meeting to be arranged with all parties in attendance and all Client parties are aware of their responsibilities, including FM, IMT, Security, other support

• Notification is to be given to LSE's insurers

• Agreement to be made on reporting of defects during the Defects Liability Period
• O+Ms are in place and Facilities Management / Maintenance Operatives have been briefed accordingly
• As built drawings have been issued for record
• Health and Safety File is completed
• All keys have been issued
• All security requirements are in place and operational
• All firefighting equipment is in place
• All IMT requirements and data points are referenced/live
• Energy/Carbon information to Sustainability Team
• SWMP information to Sustainability Team
• Final Account Process to be established and programme agreed
• Agreed O+M format (electronic and hardcopy)
• Insurance Notification Form
• Schedule of all spares
• Schedule of all keys/swipe and access cards
• Projects Completion Checklist

iv) Post Occupation Completion Aftercare Actions

• Post Project Evaluations are to be undertaken on all projects to review all aspects of the scheme.

• Arrangements for independent Project Audits to be put in place where certification is required for release of any funding retentions by external bodies

• Procedures to be agreed for monitoring and reporting on defects during Defects Liability Period

• Capital Projects Administration to audit filing for completeness

• Capital Projects Administration to record and archive Contract Documents and all project filing