PLACE Portfolio
Capital Delivery Service

Service Management System

ISO 9001: 2015 Registered

Part A Service Manual

10 April 2018
Version 6_00

Sheffield
City Council

Document Control

This is a controlled document. This document is uncontrolled when printed.

Document Approvals

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Checked by: Jo Calcut Date: 4 April 2018
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Revision	Date	Nature of Revision	Author
2_01	4 May 16	General updates	HL
3_00	6 May 2016	Approved by SMc	HL
3_01	July 16	Control of docs – Tender Docs and LOA review and approval requirements revised Internal Audit procedure revised	HL
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5_00	3 Feb 2017	List of controlled document reviewers / approvers amended, Internal Audit procedure emended	HL
5_01	June 2017	Updating Audit procedures, updated staff structure, External Requirements, Health and Well Being Charter, Service Risk Management	HL
6_00	April 2018	Context of the organisation Policies Service organisational chart Internal Audits Customer Focus Staff competency training and awareness	HL

Contents

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Preface

Service Management System Documentation Overview

Capital Delivery Service's Service Management System (SMS) is covered by the following documentation:

Part A. Service Manual

This document details the quality policy, service structure and service wide procedures and is applicable to all staff within the service.

Part B. Project Delivery Manual

This document describes the procedure and controls applied to all activities concerned with the development and delivery of projects to ensure that all projects are delivered to a consistently high standard.

Part C. Guidance Notes

Guidance notes form a Body of Knowledge for reference and to disseminate best practice.

Part D. Templates

These are used to control and record actions in relation to the project procedures.

1 Context of the Organisation

1.1 Service Profile

The Capital Delivery Service (CDS) delivers capital projects within the Authority and offers a wide range of skills, expertise and experience in the following areas:

- architecture
- services engineering
- civil and structural engineering
- quantity surveying
- project management
- work assurance and project safety

The purpose of the service is to ensure that corporate projects, primarily construction and development projects, are scoped, developed, procured, delivered and managed as efficiently, economically, safely, sustainably and successfully as possible whilst delivering the required outputs to the agreed quality, and ensuring that the requisite corporate processes are followed.

CDS is a fully traded service and is financed through the fees charged for services provided.

1.2 Service Mission Statement

''To ensure that all projects succeed and are delivered:

- *safely*
- *on time*
- *as cost effectively as possible*
- *to a high quality*
- *with high customer satisfaction*
- *following a consistent and robust delivery process*

Through continuous improvement of the effectiveness and efficiency of the service, the service seeks to be a centre of excellence for the delivery of capital projects"

1.3   External Issues

- the investment priorities of clients and their available funds to spend on capital projects
- the funding available for capital projects from external funding bodies
- legislation/regulation changes affecting design and construction
- failure to keep track of improvements in ICT due to funding restrictions and ICT service provision

1.4   Internal Issues

- An aging workforce. This results in:
  − the need to recruit new staff with the desired qualifications and experience to avoid a cliff edge in workforce numbers
  − the need to develop skills and knowledge of new and existing staff
  − the need to plan succession in anticipation of staff retiring
- Ensure resources are used efficiently. As a consequence there is a need to:
  − closely monitor income and overheads
  − minimise overheads to maintain overall competitiveness
- The inherent dangers of construction site working. As a consequence there is a need to:
  − maintain a strong focus on Health and Safety awareness and competence
- The need to minimise the risk of fraud

1.5   Interested Parties

Interested parties include:

- clients – commissioning and funding
- end users – users of final product
- delivery partners – supply chain
- regulatory bodies – assurance
- members of the public – tax payers and end users
- councillors – delivering priorities
- executive management team – accountable for delivering for the people of Sheffield
- place leadership team – accountable to executive management team

These parties add value to the CDS or are impacted by the activities within CDS.

Identifying and meeting their needs is important to implementing an efficient and effective service management system.

1.6   Service Values

The Service values and culture are those that are in place for the Place directorate and the behaviours are those adopted by the Council for all staff.

Our Values

- Expect the best
- Trust to deliver
- Value our people

Our Culture

- Outcome directed
- Performance driven
- Commercially aware

Our Behaviours

- Communicate
- Collaborate
- Innovate

2   Policies

2.1   Corporate Health & Safety Policy

http://intranet/health-safety-wellbeing

2.2   CDS Wellbeing Charter

Capital Delivery Service (CDS) is fully committed to the Health Safety and Wellbeing (HSW) objectives outlined in Sheffield City Council's Corporate HSW Policy 2016 -2018. These objectives are:

● providing and maintaining a safe and healthy environment for all
● ensuring individual acceptance of health, safety and wellbeing as an integral part of all work activities
● ensuring staff and others are provided with the necessary information instruction and training in order to competently carry out their health, safety and wellbeing responsibilities
● engaging staff and others in health, safety and wellbeing matters to ensure understanding and encourage commitment
● fulfilling, as a minimum, its statutory and common law duties of care
● applying sensible risk management practices to health and safety matters
● aiming to be in the upper quartile both nationally and regionally for fewer accidents and incidents within the work place

CDS is committed through its Service Management System to ensure and enhance staff awareness of the available resources within the council to support manage and promote all aspects of positive health and wellbeing.

2.3   **Quality Policy**

The Capital Delivery Service's aim is to ensure that a consistently high quality service is provided across all areas of the service. To ensure that this is achieved, the Capital Delivery Service has implemented a Service Management System to meet the requirements of BS EN ISO 9001:2015.

Emphasis is placed on effective management to ensure that all projects are delivered in accordance with the Service Mission 'to be a centre of excellence for the delivery of capital projects'.

The Service seeks to:

- embrace the principle of best value in the provision of highly professional and cost effective services
- be innovative and flexible to respond to the constantly changing requirements of a best performing council
- encourage employee participation in the continuous improvement of working practices and the quality and effectiveness of services provided
- ensure that employees are competent to carry out their work and offer suitable training

CDS is committed to:

- continuous improvement
- compliance with applicable legal and other requirements
- ensuring that best practice working procedures are established and monitor their use
- giving appropriate training to all new employees on induction
- providing sufficient information, instruction, training and supervision to enable employees to deliver all projects to a consistently high standard
- carrying out internal audits on an ongoing basis and identifying and implementing areas of improvements
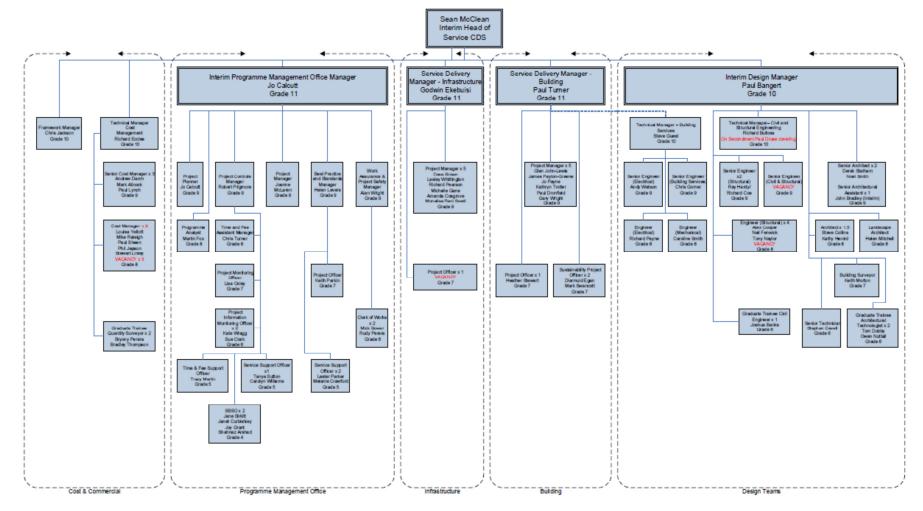
Quality targets and objectives are set out in the Service Plan and monitored by the Service Management Team.

3   Scope of the Service Management System

The Service Management System is applicable to all areas of the service including:

- programme and project management
- quantity surveying, cost and contract management
- construction procurement
- architectural, landscape and interior design
- structural engineering and structural surveying
- mechanical, heating and electrical engineering
- clerk of works
- financial management through Integra
- programme and project financial management
- service support
- time and revenue management

4 Service Organisation Chart

Sean McClean
Interim Head of
Service CDS

Cost & Commercial

Framework Manager
Chris Jackson
Grade 10

Technical Manager
Cost
Management
Richard Eccles
Grade 10

Senior Cost Manager x 3
Andrew Darch
Mark Allcock
Paul Lynch
Grade 9

Cost Manager x 8
Louisa Yellott
Mike Raleigh
Paul Sheen
Phil Jepson
Stewart Linley
VACANCY x 3
Grade 8

Graduate Trainee
Quantity Surveyor x 2
Bryony Perera
Bradley Thompson

Programme Management Office

Interim Programme Management Office Manager
Jo Calcutt
Grade 11

Project
Planner
Jo Calcutt
Grade 9

Project Controls
Manager
Robert Prigmore
Grade 9

Project
Manager
Joanne
McLaren
Grade 9

Best Practice
and Standards
Manager
Helen Levers
Grade 9

Work
Assurance &
Project Safety
Manager
Alan Wright
Grade 9

Programme
Analyst
Martin Fox
Grade 8

Time and Fee
Assistant Manager
Chris Turner
Grade 8

Project Monitoring
Officer
Lisa Oxley
Grade 7

Project Officer
Keith Parkin
Grade 7

Project
Information
Monitoring Officer
x 2
Kate Wragg
Sue Clark
Grade 6

Clerk of Works
x 2
Mick Bower
Rudy Perera
Grade 6

Time & Fee Support
Officer
Tracy Martin
Grade 5

Service Support Officer
x1
Tanya Sutton
Carolyn Williams
Grade 5

Service Support
Officer x 2
Lester Parker
Melanie Crawford
Grade 5

SBSO x 2
Jane Birkitt
Janet Curbishley
Joy Grant
Shahnaz Arshed
Grade 4

Infrastructure

Service Delivery
Manager - Infrastructure
Godwin Ekebuisi
Grade 11

Project Manager x 5
Dave Brown
Lesley Whittington
Richard Pearson
Michelle Gane
Amanda Cosgrove
Monalisa Rani Swati
Grade 9

Project Officer x 1
VACANCY
Grade 7

Building

Service Delivery Manager -
Building
Paul Turner
Grade 11

Project Manager x 5
Glen John-Lewis
James Peyton-Greene
Jo Payne
Kathryn Trotter
Paul Dronfield
Gary Wright
Grade 9

Project Officer x 1
Heather Stewart
Grade 7

Sustainability Project
Officer x 2
Diarmuid Egan
Mark Swarbrick
Grade 7

Design Teams

Interim Design Manager
Paul Bangert
Grade 10

Technical Manager – Building
Services
Steve Guest
Grade 10

Technical Manager – Civil and
Structural Engineering
Richard Bulloss
On Secondment Paul Druce covering
Grade 10

Senior Architect x 2
Derek Statham
Noel Smith

Senior Architectural
Assistant x 1
John Bradley (Interim)
Grade 9

Senior Engineer
(Electrical)
Andy Watson
Grade 9

Senior Engineer
(Building Services)
Chris Gomer
Grade 9

Senior Engineer
x2
(Structural)
Ray Hardy/
Richard Coe
Grade 9

Senior Engineer
(Civil & Structural)
VACANCY
Grade 9

Engineer
(Electrical)
Richard Payne
Grade 8

Engineer
(Mechanical)
Caroline Smith
Grade 8

Engineer (Structural) x 4
Alex Cooper
Neil Fenwick
Tony Naylor
VACANCY
Grade 8

Architect x 1.5
Steve Collins
Kathy Herold
Grade 8

Landscape
Architect
Helen Mitchel
Grade 8

Building Surveyor
Keith Morton
Grade 7

Graduate Trainee Civil
Engineer x 1
Joshua Banks
Grade 6

Senior Technician
Stephen Cavell
Grade 6

Graduate Trainee
Architectural
Technologist x 2
Tom Dobby
Owen Nuttall
Grade 6

5 Leadership

5.1 Management Commitment

Management commitment to the development, implementation and improvement of the Service Management System is demonstrable through the continual communication of quality requirements, establishing and support of policies and objectives, the full participation in management reviews, and the provision of appropriate resources.

5.2 Head of Capital Delivery Service

The Head of Service is accountable for the Service Management System and its effective implementation, upkeep and review and is ultimately accountable for quality of service delivery and ensuring that all employees are aware of the Quality Policy and Health & Safety Charter.

5.3 Service Management Team

The Service Management Team has specific responsibility for ensuring that the necessary organisation and resources are in place to implement this system and that it is effectively embedded across their respective areas of the service.

Managers are responsible for planning and managing resources and ensuring that the resources used are appropriate for the needs of the service provided.

5.4 Best Practice & Standards Manager

The Best Practice & Standards Manager is responsible for the operation and day to day management of the Service Management System.

5.5 Employees

All employees are required to be aware of and comply with the provisions of the Service Management System and in implementing the procedures included within it. All staff in supervisory positions are responsible for ensuring that their staff are instructed in, understand, and comply with these requirements.

All employees are responsible for the health, safety and welfare of themselves, colleagues and others and are responsible for reporting and raising concerns which could result in harm or have the potential to cause harm to any person.

All employees are responsible for keeping timesheets, timecards and Outlook calendars up to date.

6   Organisation and Application

6.1   Service Planning

The Service Plan is produced annually by the Head of Service. This is the tool which sets out the development objectives and targets for the Service to help it to continually improve.

The plan includes specific development actions, together with owners, timescales and resources for delivering them.

Actions are implemented through Service Management Meetings and Staff Annual Reviews and Monthly 1:1 Meetings.

6.2   Communication and Consultation

6.2.1   Communication and Consultation

Information will be communicated and consultation sought with employees by the Service Management Team in the following ways:

- training and awareness sessions
- service briefings
- team meetings
- 1-1's
- PDR's
- Staff surveys

6.2.2   Records

All records relating to Health & Safety incidents are kept centrally by Human Resources.

All records relating to Quality are kept by the Best Practice & Standards Manager.

6.3   Service Management Team

The Service Management Team is led by the Head of Service and is comprised of:

- Programme Management Office Manager
- Service Delivery Manager – Buildings
- Service Delivery manager – Infrastructure
- Technical Manager - Design
- Technical Manager - Cost

6.3.1   Resilience Management

The Resilience Team facilitate the Place Resilience Board and work with Services to support and develop their resilience plans including risk management, fraud management, business continuity, audit governance, emergency planning and information management.

6.3.2   Risk Management

The Service Risk Management Plan is formally reviewed and updated by the Service Management Team on a quarterly basis.

6.3.3   Fraud Risk Management

The Fraud Risk Management Plan is formally reviewed and updated by the Service Management Team on a quarterly basis.

6.3.4   Business Continuity

The Business Continuity Plan is formally reviewed and updated by the Service Management Team on a quarterly basis.

6.4   Performance Management

The following processes and standards are used to manage the performance of the service.

6.4.1   Performance Monitoring

Performance is measured through metrics as detailed in the Service Plan. These are reviewed quarterly by the extended Service Management Team.

6.4.2   Project and Programme Financial Monitoring

A monthly report showing project financial performance against forecast for year to date and against forecast outturn is prepared by the Project Controls Manager and reviewed by Service Management Team.

6.4.3   Resource Planning and Management

A register of current and future workload across all disciplines is prepared by the Programme Management Office Manager and reviewed by the Service Management Team every two months and monthly at the Delivery and Resource meeting by technical leads.

6.4.4   Business Revenue Planning and Management

The annual budget setting process is based on the service establishment costs, estimated expenditure, estimated income and Council targets in agreement with Head of Service.

Information is communicated to the Service Management Team through monthly monitoring and reporting of the actual revenue position against budget. Monthly forecasting of the Capital Delivery Service trading position is recorded in QTIER in line with Council requirements.

6.4.5   Lessons Learned

Lessons Learned are captured at the end of the Project Delivery Preparation and Closure phases.

The Lessons Learned Reports are issued to the whole service by the Programme Management Office.

6.4.6   Internal Audits

Internal audits are performed periodically to verify the use and effectiveness of the system. Internal audits are carried out in accordance with procedure 10.

6.4.7   Supplier Performance

6.4.7.1   Delivery Partner

- Monthly informal review
- Task order review on completion of commission looking at;

    - Quality, Capability and Availability of staff
    - Timeliness of initial proposals
    - Timeliness of deliverables
    - Cost of services provided
    - Quality of services provided

7   Management Review

7.1   Review Meetings

Formal management reviews of the Service Management System are held annually. The purpose of the review is to monitor the effectiveness of the system and to identify any adaptations or developments that are required.

The meetings are arranged and chaired by the Best Practice & Standards Manager and are attended by the extended Service Management Team.

7.2   Review Inputs

The meetings will include a review of the following:

- follow-up actions from previous management reviews
- changing circumstances, including development in legal and other requirements and internal and external issues
- the adequacy of the system in relation to current scopes of work, technologies, resources and working practices
- the findings of internal audits and lessons learned and the continued effectiveness of any corrective actions
- status of incident investigations, improvement and corrective actions and the OH&S performance of the organisation
- results from metrics and customers and staff feedback
- issues concerning external providers

7.3   Review Outputs

- improvement to the effectiveness of the overall Service Management System
- improvement of the business / operations
- continuous improvement in service delivery
- improvements to customer service
- raising of appropriate corrective / preventative actions

7.4   Recording the Review

Management review meetings will be recorded and made available for communication and consultation.

8 Analysis of Data and Opportunities for Improvement

8.1 Data Collection

There are numerous opportunities for identifying areas for improvement:

- internal and external audits
- service balanced scorecard (KPI's)
- staff and customer satisfaction feedback
- lessons learned

8.2 Analysis of Data

Monitoring activities feed into the Annual Management Reviews where any issues arising are discussed.

8.3 Opportunities for Improvement

Where potential issues or hazards are identified; improvements, such as implementing, modifying or introducing new procedures or controls, will be proposed.

The Service Management Team will approve any actions to be implemented. Actions are recorded and monitored by the Best Practice & Standards Manager.

Where actions involve long term programming, these will be considered by the Service Management Team when setting service objectives or targets.

8.4 Closure

Once the Best Practice & Standards Manager is satisfied that the action has been successfully implemented, the issue is closed.

9 Control of Non-Conformance and Corrective Actions

9.1 Identification of Non-Conformance

All staff are responsible for reporting any instances of non-conformance that they have identified.

Non-conformances are also identified through:

- internal and external audits
- technical reviews
- near miss and accident records
- customer complaints

9.2 Reporting of Non-Conformance

The identifier of the non-conformance reports the issue to the Best Practice & Standards Manager.

9.3 Review of Non-Conformance

The Best Practice & Standards Manager undertakes a review of the non-conformance to establish the cause and the necessary measures or improvements to prevent recurrence of the issue.

Where either a complex issue, a number of issues, or a repeat issue have arisen, people with the knowledge and skills to identify the cause of the issue, its impact and what needs to be done to prevent recurrence will be consulted.

9.4 Corrective Action

The Best Practice & Standards Manager ensures that a plan is in place to implement the corrective action.

Corrective actions are shared with Service Management Team for information.

9.5 Closure

Once the Best Practice & Standards Manager is satisfied that the action has been successfully implemented, the issue is closed.

10   Internal Audits

There are 4 types of internal audits:

- service audits
- SMS health checks
- technical reviews
- project audits (by exception)

10.1   Service Audits

Service wide procedures (Part A) are selected for audit on the basis of their level of risk, prior history of issues or management concerns. All Part A procedures will be audited at least once within a three year period.

10.2   SMS Health Checks

Projects will be reviewed for compliance with the SMS at the following points in the project lifecycle:

- before gateway 2a
- before tender documents are released
- before start on site
- midway through construction
- at practical completion
- at end of defects

The Service Management Team may ask the Best Practice & Standards Manager to organise health checks of individual projects, or activities for any other purpose at any time.

10.3   Technical Reviews

Projects will be reviewed at the following points within the project lifecycle as standard however these are scalable dependant on complexity of the project as agreed by Service Delivery Manager:

- midway through the planning phase
- before gateway 2a
- before the town planning submission / or before the building control submission / or mid-way through the delivery preparation phase
- before tender documents are released
- before the contract is awarded
- midway through the construction phase
- at practical completion
- at end of defects

10.4   Project Audits

Projects will be selected for a full audit against Part B & D by exception. Projects will be selected on the basis of their level of risk, prior history of issues or management concerns.

10.5   Non-Compliances

Non-compliances are agreed by the auditor and auditee. In the event of a disagreement, the auditor refers the issue to the Best Practice & Standards Manager or Service Delivery Manager (where the Best Practice & Standards Manager is the auditor).

10.6   Audit Report and Corrective Actions

The auditor compiles the Audit Report and issues it to the Best Practice & Standards Manager who issues the report to the auditee and the relevant Service Delivery Manager.

The Service Delivery Manager ensures that action is taken and any necessary support or training is provided.

10.7   Follow up

The Best Practice & Standards Manager considers all Service Management System implications arising from the report, including instances where the corrective action is not working. Future audits will be targeted at those areas which are not performing.

11   Customer Focus

11.1   Customer Feedback

Customer feedback is requested at the following points:

- from the Client at handover
- from the End User at the end of the defects period
- from the Client annually for MTC contracts

THIS PROCEDURE IS UNDER DEVELOPMENT

11.2   Customer Complaints

All complaints and negative feedback received by the Service, irrespective of their source or content, are issued to the Head of Service for information and processed through the corporate iCasework system.

Further Information: http://intranet/resources/customer-feedback-and-complaints/recording/icasework

The Head of Service will discuss the feedback with the relevant staff members and identify appropriate remedial actions.

The cause of the issue will be investigated and necessary measures or improvements identified to prevent recurrence of the issue. Actions will be recorded and monitored by the Programme Management Office to ensure they are closed out in a timely manner.

12   Control of Documents and Records

12.1   Electronic Filing

All projects have a single, shared electronic project folder identified by the time master reference number with a standard filing architecture. The project folder is established for all projects as soon as a commission has been received.

All project information is to be stored electronically. Where information is received in hard copy, it will be scanned and stored in the electronic file with the hard copy being destroyed once the electronic copy is filed. This is applicable to all information with the exception of contract documents.

The project folder will remain open until the Final Account is complete after which it will be archived.

- **Guidance Note:** Filing Architecture

12.2   Controlled Documents

Controlled documents are those that are subject to a quality assurance process to ensure content integrity prior to issue. The author of each document is responsible for its control.

The following table details those documents that are controlled and the review and approval requirements.

Templates of all controlled documents can be found within Part D of the Service Management System.

12.2.1   Controlled Documents Approval Matrix

Document	Author	Review By	Approval By
Tender Documents:			
• Drawings	Designer	Peer or Relevant Design Technical Manager	Relevant Design Technical Manager
• Specifications	Designer	Peer or Relevant Design Technical Manager	Relevant Design Technical Manager
• Schedules	Designer	Peer or Relevant Design Technical Manager	Relevant Design Technical Manager
• Calculations	Designer	Peer or Relevant Design Technical Manager	Relevant Design Technical Manager
• Prelims	Cost Manager	CC Technical Manager	Project Manager
• Tender Document (package)	Cost Manager	Project Manager	Service Delivery Manager
Contract Documents	Cost Manager & Project Monitoring Officer	CC Technical Manager	CC Technical Manager
Order of Cost Estimate / Cost Plan	Cost Manager	Peer or CC Technical Manager	CC Technical Manager
End / Mid Phase Project Report	Project Manager	Peer or Service Delivery Manager	Service Delivery Manager
PQQ Evaluation Report	Cost Manager	Peer or CC Technical Manager	CC Technical Manager
Project Progress Report	Project Manager	Service Delivery Manager	Service Delivery Manager
Design Briefs	Project Manager	Relevant Design Technical Manager	Service Delivery Manager
Commissioning Brief and Fee Proposal	Relevant Technical Manager or Service Delivery Manager	Programme Management Office Manager	Head of Service
Project Management Plan (blue tab)	Project Manager	Peer or Service Delivery Manager	Service Delivery Manager
All technical reports / design reports / surveys for external issue	Relevant Designer	Peer or Relevant Design Technical Manager	Relevant Design Technical Manager
PQQ / Suitability Assessment	Cost Manager	CC Technical Manager	Service Delivery Manager
Cost Valuations / Final Account	Cost Manager	CC Technical Manager	Head of Service
CDM Management Plan (blue tab)	Project Manager	Relevant Design Technical Manager	WAPS Manager
CDM Health and Safety File	Principal Contractor and Lead Designer	Relevant Design Technical Manager (Principal Designer)	WAPS Manager
CDM Pre-Construction Information	Project Manager & Lead Designer	Relevant Design Technical Manager (Principal Designer)	WAPS Manager
Handover Management Plan (blue tab)	Project Manager	Peer or Service Delivery Manager	Service Delivery Manager

All controlled documents will:

- be numbered according to the defined version control system
- be reviewed and approved before issue
- have revisions that are controlled and are subject to the reviewing and approval process prior to re-issue
- have the revision and issue boxes completed prior to the document being released for formal issue

12.2.2 Drawings, Schedules, Specifications and Calculations

12.2.2.1 Format

The latest template will be used for the creation of all drawings, schedules, calculations and specifications.

12.2.2.2 Review of Drawings, Schedules, Calculations and Specifications

Drawings, schedules, calculations and specifications are reviewed at two levels:

a) Checking by the author that the content is correct, co-ordinates with relevant drawings from other disciplines and conforms to the brief.
b) Checking by the reviewer that the technical content is appropriate, that the correct template has been used and the revision box filled in, that a set of drawings and / or schedules and / or calculations is complete.

12.2.2.3 Approval of Drawings, Schedules, Calculations and Specifications

All drawings, specifications, calculations and schedules are to be certified as reviewed by the author (level a) and by the reviewer (level b) before they are submitted for approval.

The approver will ensure that:

- all drawings, specifications, calculations and schedules have been fully checked and co-ordinated
- additional checks are undertaken as required to satisfy themselves that the product is free from errors
- that the product conforms to the requirement of the brief and are suitable for their required purpose

12.2.2.4   Issue of Drawings and Schedules

Drawings and schedules, are issued with an issue sheet. It records the number of drawing / document and its amendment mark, the number of copies and to whom issued.

12.2.2.5   Naming and Version Control of Drawings, Schedules, Specifications and Calculations

Drawings, schedules, specifications and calculations are named and referenced in line with the CPI guidance booklet and BS1192 Construction Drawing Practice.

- **Guidance Note:** Naming of Drawings and Version Control

12.2.3   Reports and Documents

12.2.3.1   Format

The latest template will be used for the creation of reports.

12.2.3.2   Review of Reports

Documents are reviewed on two levels:

a)   Checking by the author that the content is correct and conforms to the brief.
b)   Checking by the reviewer that the content is appropriate, that the correct template has been used and the revision box filled in.

12.2.3.3   Approval of Reports

All reports are to be certified as reviewed by the author (level a) and by the reviewer (level b) before they are issued for approval.

The approver will ensure that:

- additional checks are undertaken as required to satisfy themselves that the product is free from errors
- that the product conforms to the requirement of the brief and are suitable for their required purpose

12.2.3.4   Naming

All reports will be named according the standard method.

- **Guidance Note:** Naming of Documents and Version Control

12.2.4 Version Control

All controlled documents follow the standard version control method.

- **Guidance Note:** Naming of Documents and Version Control
- **Template:** Controlled Document Front Sheet

12.3 Control of the Service Management System

The Best Practice & Standards Manager maintains electronic files containing a master version of the Manual, a history of amendments, and records of issue.

12.4 Technical Documents

Employees are responsible for ensuring that any technical document they use is the latest version. Capital Delivery Service subscribes to the IHS Construction Information Service electronic library for current standards and supplier information and general technical guidance.

- **Further Information:** https://www.ihsti.com/logon/logon.aspx

User name: Carbrook
Password: S92DB

12.5 External Documents

Upon receipt of an external document, the recipient is responsible for naming, circulating and filing it in line with the control of documents procedure.

12.6 Archive

Upon completion of the final account the project filing is archived.

THIS PROCEDURE IS UNDER REVIEW

The Council's Records Management Service (RMS) is used for any archiving carried out by the Capital Delivery Service (CDS).

- **Further information:** http://intranet/structure/communities/whoswho/libraries-archives-information/the-records-management-service-rms/rms-storage
- **Guidance Note:** Records Management Service

12.7   Council Policies on Handling Information

Everyone handles Council information as part of their work. It is everyone's responsibility to ensure that they handle Council information correctly.

The link below provides advice and guidance on how to do this.

- **Further information:** http://intranet/ict/handling-council-info

13 Commissioning and Fee Setting

13.1 Request for Service

Clients can contact CDS by email or verbally to raise an initial request for services. The PMO are notified and add the new request to new commissions tracker and advise the relevant Service Delivery Manager to develop the Commissioning Brief and Fee Proposal.

The Commissioning Brief and Fee Proposal is a controlled document.

- **Guidance Note:** Commissioning and Fee Setting
- **Template:** Commissioning Brief & Fee Proposal

13.2 Start-up & Planning Phase Fees (Gateways 0 – 2b)

Fees up to Gateway 2b will be based on time charged rates.

13.3 Delivery to Closure Phases Fees (Gateways 2b – 4)

These fees will be based on the standard resource based fee setting matrix where the scope and delivery process are clear; or will be based on time-charged rates where the scope is not clear.

13.4 Fee Proposals

The client reviews the commissioning brief and fee proposal and confirms acceptance. The PMO update the new commission's tracker to reflect the status of the fee proposal and Time Master is updated with the fee profile. The project is then added to the master programme.

14   Management of Latent Defects

14.1   Reporting Issues

Post completion issues will be reported to the Programme Management Office (PMO) who will review the issue and allocate an appropriate person to investigate.

14.2   Agreement of Action

Following the review, the findings will be discussed with the Head of Service and the action to be taken agreed.

The findings and proposed action (including where no action is proposed) will be recorded and reported to the initiator of the enquiry.

14.3   Closure

If a latent defect is identified, the PMO will monitor it until satisfactorily closed out.

The final resolution will be recorded.

- **Guidance Note:** Latent Defects

15   Staff Competency, Training and Awareness

15.1   New Employees

Induction, probation and training of new staff will be in accordance with the current Sheffield City Council Recruitment and Selection Code of Practice.

- **Further information:** http://intranet/managers/managing-people-in-the-council/recruitment-new-starters/recruitment-and-selection-policy

  http://intranet/managers/managing-people-in-the-council/recruitment-new-starters/stage-11---induction

All new employees have the Service Management System explained to them and are required to make themselves familiar with the procedures.

Training Records are updated to confirm that training on the Service Management System has been carried out.

15.2   Training and Awareness

The corporate procedure is followed for carrying out Personal Development Reviews (PDR). All staff will have an annual PDR with results recorded on the Councils Development Hub. All competency requirements are set out in job descriptions and these are reviewed through the PDR process.

The Service produce an annual Training and Development Plan with all training needs to be delivered during the year identified. This assists employees in developing their own training needs.

The above seeks to ensure that adequate investment is made in staff to ensure as far as practicable that a process of continual improvement is maintained and there is an awareness and understanding of innovative technique developments and latest standards in the industry.

15.3   New Developments and Legislation

Service Delivery Managers and Technical Managers maintain a continuous review of the training needs of staff, particularly in relation to new legislation or developments affecting the industry. Any specific training requirements arising from such changes are discussed by the Service Management Team and literature or training courses organised as appropriate.

15.4   Continued Professional Development

CDS offers a comprehensive programme of lunchtime CPD.

15.5   Records of Training

Copies of Council run training records and certificates are kept within each employee's PDR on the Development Hub.

15.6   Records of Professional Accreditations and Memberships

Copies of professional accreditations and memberships are kept centrally within CDS and reviewed annually.

16   Legal and Other Requirements

16.1   Legal

The City Council's Constitution includes procedural rules, contract standing orders and financial regulations

- **Further information:** Constitution

Delegations are contained in the Constitution and the Leader's Scheme. The Constitution and Leader's Scheme are kept under review.

- **Further information:** Leader's Scheme of Delegation

The City Council has adopted a code of Corporate Governance.

- **Further information:** Corporate guidance

The Council has a Legal Service who are available to give advice to managers on legal issues and who are responsible for cascading details of relevant legislation to services.

- **Further information:** Legal and Governance

16.2   Evaluation of Compliance

An Annual Governance Statement is prepared in line with corporate procedures.

- **Further information:** http://intranet/structure/resources/legal-governance/annual-governance-statement

16.3   Purchasing

The purchasing of all goods and services is carried out in line with Council Standing Orders.

- **Further information:**   http://intranet/procurement/how-to-buy

16.3.1   Delivery Partner

The Capital Delivery Service and Turner & Townsend have entered into a contract. This includes call off arrangements for project and programme management, technical support services and other services as may be identified by the client.

The Contract is managed on a call off basis and a task order system is in place to manage the services. This is managed by the Head of Service and reviewed monthly with the supplier.

16.4   Gifts and Hospitality

All Council employees must complete a Declaration Form each time they receive or provide a gift or hospitality above a value of £10.

- **Further information:** http://intranet/employment/behaviour-and-relationships-at-work/gifts-and-hospitality

16.5   Declaration of Interest

All Council employees must complete an annual Declaration of Interest Form.

- **Further information:** http://intranet/employment/behaviour-and-relationships-at-work/declaration-of-interest

16.6   Absence and Leave

Absence and leave is managed in line with Council procedures.

- **Further information**: http://intranet/employment/absence-leave

16.7   Insurance

The Capital Delivery Service is covered by Council insurance. Professional Indemnity (PI) insurance is also taken out and reviewed annually.

- **Further information:** http://intranet/managers/insurance

16.8 Office Building Management

16.8.1 Work Environment

Capital Delivery Service occupies a building that is owned and maintained by Sheffield City Council. Supporting services are also provided by Sheffield City Council.

- **Further information:**
  http://intranet/structure/resources/facilitiesmanagement

16.8.2 Display Screen Equipment (DSE)

All members of staff complete the Computer Workstation Safety module. This identifies the risks of using computer equipment and how to set up and use your workstation safely.

- **Further information:** http://intranet/health-safety-wellbeing/e-learning

It is Line Manager's responsibility to check that all members of staff have undertaken the computer workstation safety e-learning module. Where the member of staff experience pains, aches or other discomfort, the Manager should undertake a more detailed computer workstation risk assessment with the member of staff.

The DSE regulations give the user the right to an appropriate eyesight test with a qualified optometrist paid for by the employer.

- **Further information:** DSE guidance

16.8.3 Equipment

The WAPSM maintains an equipment register to ensure:

- equipment is reviewed in accordance with the schedule and either calibrated, checked or disposed of as required
- checks and calibration is undertaken in accordance with the requirements on the schedule
- only authorised personnel use the equipment
- any training needs are identified

17 Health and Safety

17.1 Health & Safety Policy

The Corporate Healthy at Work Strategy has been developed to improve the health and wellbeing of SCC employees and to prevent work associated ill health.

- **Further information:** Management and Governance of Health and Safety
- Corporate Health at Work Strategy

17.2 Individual Risk Assessments

Where staff are required to make site visits or carry out surveys, they will carry out an individual risk assessment specific to the task which will be reviewed and approved by their Line Manager. The risk assessment is to include safe methods of work as required.

17.3 Personnel Protective Equipment (PPE)

PPE is issued to staff based on need. A register is kept by WASPM reviewed annually.

Employees are responsible for the care and maintenance of PPE. Damaged or worn PPE will be replaced.

A pool of jackets, hi-vis vests and helmets is kept within the service and issued to staff as required.

17.4 Accident, Incident and Near Miss Reporting

All near misses, both in the office or on site are formally recorded and shared in line with corporate guidance.

- **Further information:** Accident Reporting and Investigation

It is the responsibility of all staff to report accidents and incidents including near misses to their Line Manager and WAPSM as soon as possible to enable action to be taken where appropriate.

The Head of Service is to be advised of any accidents, incidents or near misses and these are discussed at Service Management Team to identify the need for corrective or preventative action and identify opportunities for continual improvement.

17.5   Health and Safety Training

All staff who visit construction sites have a CSCS card.

There is an ongoing programme of raising awareness, training and development of all staff.

- **Further information:** Health and Safety Information Instruction and Training

17.6   Emergency Preparedness

17.6.1   Fire and Evacuation Procedure

Fire wardens and marshals are appointed as necessary and receive training so that they are aware of their role and responsibilities.

It is the responsibility of all staff in event of evacuation to make sure they and their colleagues have safely left the building.

All staff, including seconded and partner staff, will receive an induction from a senior manager and a register kept to confirm.

- **Further information**: Fire Guidance

17.6.2   Bomb Procedures

Staff are made aware of the bomb procedures in the building and how to respond in an emergency.

- **Further information:** Bomb Procedures

17.7   First Aid

First Aiders are appointed as necessary and receive training so that they are aware of their role and responsibility.

First Aiders are responsible for ensuring the office first aid boxes are replenished and contents are within date. First Aiders are allocated and trained in line with HSE requirements.

- **Further information:** First Aid Guidance

17.8   Lone Working

Risk assessments are carried out for lone working as per corporate guidance.

- **Further information:** Lone Working Guidance

20   Glossary

The following definitions are provided to assure a uniform understanding of selected terms as they are used by Capital Delivery Service for the purposes of the operation of the Service Management System

Audit	Is the comparison of the practices and systems with the defined method, procedures and instructions
Calibration	The comparing of two instruments, measuring devices or standards, one of which is of known accuracy traceable to nationally recognised standards. It is done to detect, correlate, report, or eliminate by adjustment any variation in accuracy of the instrument or measuring device of unknown accuracy.
Client	Means the organisation which provides the finances and order requirements
Corrective Actions	Are the measures taken to rectify adverse conditions to quality
End User	The term end user is used for the recipient of the product or service
Non-Conformance	Is a deficiency in characteristic, documentation or procedure, which renders the quality of an item, or service unacceptable or indeterminate
Preventative Actions	Are the measures taken to prevent issues with the Service Management System
Procedure	A document that states the purpose and scope of an activity and specified responsibilities, methods, locations and sequence for all steps to be performed
Quality	Is the totality of features and characteristics of a product or service that bear on its ability to satisfy a given need
Specification	Is a document that prescribes in detail the requirements with which the product or service has to comply

PLACE Portfolio
Capital Delivery Service

Service Management System

ISO 9001 Accredited

Part B Project Delivery Manual

Version 6_00

Sheffield
City Council

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Contents

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Preface

Service Management System Documentation Overview

Capital Delivery Service's Service Management System (SMS) is covered by the following documentation:

Part A. Service Manual

This document details the quality policy, service structure and service wide procedures and is applicable to all staff within the service.

Part B. Project Delivery Manual

This document describes the procedure and controls applied to all activities concerned with the development and delivery of projects to ensure that all projects are delivered to a consistently high standard.

Part C. Guidance Notes

Guidance notes form a Body of Knowledge for reference and to disseminate best practice.

Part D. Templates

These are used to control and record actions in relation to the project procedures.

1 Project Governance and Gateway Approvals

1.1 Gateway Reviews and Approvals

All capital projects are governed by a Programme Group and by the Capital Programme Group. Each project will also have a Project Steering Group made up of relevant members of the Project Team and Portfolio. The Project Steering Group will make key decisions throughout the life of the project.

Projects are subject to review and challenge at key stages by the Project Steering Group and are approved at gateways by the Programme Group and Capital Programme Group.

A project cannot proceed to the next phase until the relevant gateway approval has been granted.

- **Further information**: Gateway Process Handbook; Gateway Approval Process

1.2 Project Lifecycles

All projects are managed through standard lifecycle phases:

- start-up
- planning
- delivery preparation
- delivery
- closure

The table below illustrates how the lifecycle phases align with the corporate reviews and gateways and the key outcome of each phase.

1.3   Project Lifecycles and Gateway Approvals

Lifecycle Phase	Gateway Points	Key Outcome
Start-up	Gateway 0 – Programme Group	Revenue funding is committed to developing the Initial Business Case
	Gateway 1a – Programme Group	Project Sponsor and Initial Business Case approved
	Gateway 1b – Capital Programme Group	Project enters the Ceapital Pprogramme
Planning	Gateway 2a - Programme Group	Outline Business Case and Project Management Plan approved
	Gateway 2b – Capital Programme Group	Procurement strategy and CAF approved. Project granted approval to move into the delivery preparation phase
Delivery Prep	Gateway 3a – Programme Group	Final Business Case, including selected tenderer, approved
	Gateway 3b – Programme Management Office	Contract Award approval granted
Closure	Gateway 4 – Programme Group	Benefits Realisation Project is complete and can be closed

1.4   Corporate Governance Roles and Responsibilities

1.4.1   Programme Group (Gateways 0, 1a, 2a, 3a and 4)

In the context of the Gateway process, as the promoters of capital expenditure, the Programme Groups are responsible for:

• commissioning capital projects / programmes to address an identified business need against corporate objectives and progressing these to Gateway 1 to enter the Capital Programme
• approving Business Cases, including confirmation that the project is value for money in addressing the identified business need against corporate objectives
• identifying appropriate funding opportunities
• producing justification for proposed spending of Council money, in line with corporate priorities
• ensuring overall delivery of the project benefits in line with the agreed time and cost parameters
• providing a Project Sponsor and the relevant End User inputs into project development and delivery

1.4.2   Capital Programme Group (Gateway 1b, 2b and 3b)

Capital Programme Group (CPG) acts as the Council's corporate conscience for all capital projects. This primarily requires CPG to:

• manage overall funding of the capital programme and corporate resource pool
• perform an assurance role for Executive Management Team (EMT) and Cabinet. This involves reviewing and approving requests for changes to project scope including time, cost and benefits in line with the revised Business Case, and reviewing the submission of project cost, funding or scope, and requested variations prior to approval by the EMT or Cabinet
• manage the use of capital receipts and grants based on the recommendations of Asset Management Group (AMG)
• determine whether reviews at CPG meetings of specific projects with the relevant project manager, are required due to issues arising on financial aspects of projects
• approve changes to the capital processes to maintain the integrity of capital governance (gateways process)
• ensure capital expenditure has been approved in line with the Council's corporate objectives and any funding constraints
• confirm that the AMG has been consulted and has approved the use of council property assets as proposed. (CPG shall confirm if this is a requirement for each project at Gateway 1)
• review and recommend approval of procurement strategies and contact awards in line with the Council's standing orders

- confirm approval to release to the supply chain tender / procurement documents that are delegated to the Director of Commercial Services or Nominee
- identify (through the Capital Performance Monitoring reports provided by Project Managers / PMO) key risks and issues and initiate appropriate interventions to protect the Council's position

1.4.3   Programme Management Office (PMO)

The PMO will administer the process flow of projects to CPG for approval and organise the specified technical reviews.

The PMO are also responsible for recording and disseminating the decisions made by CPG.

The PMO administer / own the monthly capital performance reporting process and produce dashboard reports for use at outcome boards, CPG, project sponsors and other interested parties across the Council.

2   Project Roles and Responsibilities

The following list describes the key roles and responsibilities involved with the delivery of capital projects.

2.1   Project Sponsor

The relevant Programme Group nominates a Project Sponsor to represent them in the process.

The Project Sponsor is ultimately responsible for the project and the delivery of the benefits. It is their job to ensure that the Business Case continues to be valid and approved during the life of the project, and that the project has sufficient resources to deliver the benefits. The Project Sponsor must be committed to hands-on involvement.

Specific Responsibilities

- to resolve issues escalated by the Project Manager
- to communicate the project's goals to the whole organisation acting as a stakeholder champion
- to take ownership for the continuing validity and approved status of the Business Case
- to make key project decisions and ensure adequate resources are in place for successful delivery of the project
- to establish the Project Steering Group
- to engage senior stakeholders and key strategic risks including politicians
- to have the final say on changes that may significantly impact on the project
- to accepts the project deliverables after checking and ensuring that they meet the acceptance criteria
- to own the benefit plan
- to be accountable for embedding the change and realising the overall benefits of the project

It is therefore vital that the Project Sponsor is involved at all phases of the project, provides operational inputs and approves the agreed solution at all phases.

2.2 Service Delivery Manager

The Service Delivery Manager has overall responsibility for the effective delivery of all projects within the programme area, ensuring that they are delivered to the required standards of time, cost, quality and safety and in accordance with the best practice project delivery approaches.

The Service Delivery Manager works to maintain an in-depth knowledge of customers and their requirements to ensure outcome focused, value for money project delivery.

Specific Responsibilities

- to work with clients/project-sponsors to develop forward programmes of work
- to foster and maintain effective working relationships with project sponsors/clients through proactive communications and relationship management
- to support project management staff (PMs, POs, Technical Staff) for effective delivery of projects on time, on budget and to quality delivery, matching the Centre of Excellence label of CDS
- to pull together requisite resources from across service disciplines and delivery partners, to work collaboratively to deliver high quality, innovative projects
- to work with other Service Delivery Managers and the CDS PMO to manage project delivery including developing and implementing best practice in reporting, monitoring and reviewing mechanisms
- to be responsible for resource planning and management in the programme (service delivery) team including the development of capability and capacity.
- to be responsible for benchmarking against other organisations including other Local Authorities and the Private Sector to seek out best practice methods in the use of delivery, performance, management and reporting for project management.
- to be responsible for the preparingation and sending to the client, a Commission Brief and Fee Proposal and to take responsibility for the overall control of internal and external fee expenditure.
- to convene and chairs a kick-off meeting involving the project team once the client accepts the fee proposal, to clearly define and secure agreement by all, to the following key elements of delivering the project:
  - scope of the project
  - roles and responsibilities of all involved
  - funding and budget constraints
  - key Milestones
  - general project details including known project risks/ issues and H&S matters

2.3   Project Manager

The Project Manager has the authority to run the project on a day to day basis on behalf of the Project Sponsor.

The Project Manager's responsibility is to ensure that the project produces the required outputs, to the required standard of quality and within the specified constraints of time and cost.

The Project Manager is also responsible for the project producing a result that is capable of achieving the benefits defined in the Business Case.

Specific Responsibilities

• to define the deliverables in consultation with the Lead Designer and Cost Manager necessary to achieve project outputs,
• to manage the production of the required deliverables,
• to direct and motivate the Project Team,
• to implement and monitor the stakeholder management plan
• to plan and monitor the project,
• to prepare the Business Case, (IBC, OBC and FBC) (when undertaken elsewhere, contribute material for its the production)
• to be responsible for financial monitoring and reporting, maintaining a summary record of budget and expenditure across the whole project, undertaking full cost management and monitoring,
• to prepare the Project Management Plan in conjunction with the Lead Designer and Cost Manager,
• to manage risks, including the development of contingency plans,
• to take responsibility for overall progress and for initiating corrective action where necessary,
• to manage change,
• to prepare Progress Reports and End of Phase Reports,
• to work with the Project Sponsor to assure the overall direction and integrity of the project,
• to ensure compliance with relevant legislation and standing orders,
• to identify and obtain any support and advice required for the management, planning and control of the project,
• to be responsible for the overall control of internal and external fee expenditure,
• to commission and manage specialist consultants, surveys and investigations,
• to carry out the role of Contract Administrator as defined within the contract,
• to undertakes CDM Client duties if commissioned by client.
• to lead from SCC Ggateway 1 onwards
• to lead on the SCC gateway approval process pPost Gateway 1
• to support the client in obtaining external funding approvals

2.4 Lead Designer

The Lead Designer's responsibility is to ensure delivery of design deliverables to the required standard of quality and within the specified constraints of time and cost. The Lead Designer reports to and takes direction from the Project Manager.

Specific Responsibilities

- to prepare programmes for the Design Team's work and agree these with the Project Manager,
- to manage and co-ordinate the duties and deliverables of the Design Team,
- to direct, motivate, plan and monitor the Design Team's work,
- to take responsibility for the progress of the Design Team's work and use of team resources and initiate corrective action where necessary,
- to advise the Project Manager of any deviations from programme and recommend corrective action,
- to issue to the Project Manager deliverables that have been completed,
- to evaluate issues that arise within the Design Team's work and recommend action to the Project Manager,
- to arrange and lead Design Team meetings and contribute to progress and End-of-Phase Reports as agreed with the Project Manager,
- to plan quality controls of the Design Team's work,
- to identify and advise the Project Manager of any risks associated with a deliverable,
- to manage specific risks as directed by the Project Manager,
- to ensure compliance of the design with all relevant legislation and standing orders and the project brief/requirements.
- to ensure that the Document & Drawing Issued Sheet is established at the start of the project and updated throughout the project.

2.5   Principal Designer

The Pprincipal Ddesigner, appointed in writing by the client, can be an individual or an organisation with the technical knowledge of the construction industry relevant to the project and with the requisite skills, knowledge and experience to understand, manage and co-ordinate the pre-construction phase, including any design work carried out after the construction begins.

The responsibility of the Principal Designer is to plan, manage and monitor the pre-construction phase and co-ordinate matters relating to health and safety during the pre-construction phase to ensure that, so far as is reasonably practicable, the project is carried out without risk to health or safety.

Specific Responsibilities

- to ensure, so far as is reasonably possible (sfarp) that the project is carried out without risk to health or safety.
- to assist the client in the preparation and provision of pre-construction information
- to be responsible for the identification, elimination or control of foreseeable risks to health and safety of anyone:
  - carrying out or liable to be affected by the construction
  - maintaining or cleaning a structure
  - or using a structure designed as a workplace.
- to ensure that all designers comply with their duties
- to ensure prompt provision of pre-construction information within its control, to all designers and contractors appointed (or being considered for appointment) by the client to the project.
- to ensure that all persons working in relation to the pre-construction phase co-operate with the client, the Pprincipal Ddesigner and each other.
- to liaise with the Pprincipal Ccontractor for the duration of the project
- to prepare the Health and Safety File during the pre-construction phase appropriate to the characteristics of the project.

2.6   Cost Manager

The Cost Manager's responsibility is to provide cost management and quantity surveying in support of the Project Manager and Lead Designer. The Cost Manager reports to and takes direction from the Project Manager.

Specific Responsibilities

- To provide cost advice to Project Manager, Lead Designer & Clients
- To produce Cost Estimates & Cost Plans during design development stages
- To provide procurement advice & commercial documents
- To contribute to risk management processes
- To produce & issue tender documentation, manage the tender process, complete tender evaluation & contract award forms
- To produce & issue contract documentation for execution
- To make recommendations for cost saving / undertake value engineering
- To carry out valuations of work completed & process interim payments
- To measure, value & agree costs of changes (variations / compensation events)
- To provide contractual advice to Contract Administrator
- To negotiate & agree contractual claims / final accounts & collate for audit & archive
- To escalate risks & issues as appropriate
- To contribute to and&/-or produce reports as required
- To ensure adherence to commercial processes

2.7   Design Team

The role of the Design Team is to produce design information to the agreed programme and required standard.

Specific Responsibilities

- To develop design to meet the client brief
- To prepare project information that includes production drawings, schedules and specifications, coordinated across all design disciplines
- To ensure design compliance with relevant legislation, standards and project brief/requirements
- To ensure quality controls are planned and performed correctly
- To contribute to and produce reports as required
- To identify, manage and escalate risks and issues as appropriate
- To make recommendations for cost saving / value engineering where required.

2.8   Project Officer

The Project Officer has responsibility to provide support with all aspects of project delivery management including information, schedules, risks, issues, opportunities, budgets, contracts and direct costs to ensure that projects are delivered to high standards of quality and on time and budget.

The Project Officer's role includes the management and delivery of discrete projects under supervision as part of an identified programme.

Specific Responsibilities

- to support Project Managers with the overall financial management of projects
- to support Project Managers with the production of monthly progress reports for projects
- to provide support to Project and Service Delivery Managers with stakeholder management and project communications, including attending meetings and liaising with stakeholders and partners
- to support the Project Manager with the production, communication, management and update of project information through all project stages including but not exclusively; programme, reports, risk plans, change and cost measures, monthly reporting, and forecasting.
- to provide support with the preparation and administration of contracts.
- to support the Project Handover process at all stages, including during the preparation of Handover Plan and the handover itself; attending handover meetings if required.
- to takes full responsibility for the defects liability phase (generally 12 months), ensuring that making good inspections take place.
- to ensure that the maintenance regime and all necessary information including guarantees is are in place
- to undertakes latent defects investigations, negotiations of remedies and actions
- to assist in determining liability for payment for costs incurred for necessary investigations for latent defects

2.9 Clerk of Works

The Clerk of Works is responsible for quality assurance of onsite works. They ensure works are carried out to the design and specification as detailed in the contract. They produce regular reports regarding site standards and progress and escalate issues to the Project Manager when necessary.

Specific Responsibilities

- to undertake site inspections to ensure contractor compliance
- to complete reports in relation to site inspections
- to advise contractors' agents concerning unsatisfactory work
- to records details of all approved variations from agreed work
- to carryies out condition surveys of existing properties – photographic and written.
- to attend handover and defects inspections
- to maintain records of excavations, foundations, drainage work and other work which will be hidden by subsequent construction.
- to provides reports verbal and written, as requested and required, to ensure that the Project Manager, Works Assurance Manager and relevant members of the design team are kept informed of the site progress/contractual problems/general feedback.

2.10 Programme Management Office (PMO)

Specific Responsibilities

- to oOwn the Gateway Process
- to dDevelop & maintain the corporate master programme
- to mMonitor & report on project / programme delivery
- to oOwn the monthly project reporting process
- to pProduce tailored reports for programme groups, CPG etc
- to cCollate and share lessons learned & best practicse
- to aAssess deliverability of projects & make recommendations
- to eEstablish risk & change management processes
- to sSupport & advise on project & programme planning
- to rReview & feedback on documentation to drive quality improvements

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3 Construction (Design and Management) Regulations 2015

These regulations apply to all applicable projects as specified by the regulations.

3.1 Client Duties

The Client function is one of the most important duty holders on a construction project due to the influence they hold. Due to variations in type, size and complexity of work streams, the delegation of Client functionality must be assessed right at the start of a project.

A decision making process must be undertaken and who will act as the CDM Client agreed between the Project Manager and the Service Delivery Manager. This will be influenced by the following factors:

- the type, size and complexity of the project,
- whether the named individual(s) possesses an appropriate level of training, knowledge and expertise,
- who has the main influence or the controlling mind on the project,
- who will make key decisions,
- who will be providing funding.

Regulations 4 and 5 set out the client's duty to make suitable arrangements for managing a project and maintaining and reviewing them for its duration so that it is carried out in a way that manages the health and safety risks involved. For projects involving more than one contractor, these regulations require the client to appoint a principal designer and principal contractor and make sure they carry out their duties.

A summary of key duties for the Client are as follows:

- clients make suitable arrangements for managing a project. This includes making sure:
    - other duty holders are appointed;
    - sufficient time and resources are allocated;
- making sure:
    - relevant information is prepared and provided to other duty holders;
    - the principal designer and principal contractor carry out their duties;
    - welfare facilities are provided.

A key element of the mobilisation process for each phase of the Project Manager will be required to develop a CDM Management Plan (CDM MP). This must confirm the outcome from the decision making process and identify who will act as the CDM Client.

- **Guidance Note:** CDM 2015 Client Guidance

3.1.2   Principal Designer Duties

CDM 2015 states that the Principal Designer must be a designer. A designer is defined as an organisation or individual, who in pursuance of their role prepares or modifies a design for a construction project. This may also include any person or organisation who arranges for and/or instructs someone else to develop a design.

As there are numerous variables that will define who or which organisation is best placed to be a Principal Designer on a respective project, a decision making process between the Project Manager and the Service Delivery Manager must be undertaken to determine which organisation is best placed and will be assigned the role of Principal Designer.

Who will act as the Principal Designer will be influenced by the following :

- type, size and complexity of the project,
- does the named individual(s) or organisation possess an appropriate level of training, knowledge and expertise?
- who will lead the Design process?
- who will influence and make key decisions regarding design?
- who will satisfy the core level Health and Safety knowledge to support the design?
- is the scheme traditional design or a design and build?
- the capacity to perform the role required by regulations 9 and 10. These set out the duties placed on designers and include the duty to eliminate, reduce or control foreseeable health and safety risks through the design process such as those that may arise during construction work or in maintaining and using the building once it is built.

A summary of key duties for the Principal Designer are as follows:

- plan, manage, monitor and coordinate health and safety in the pre-construction phase of a project. This includes:
    - identifying, eliminating or controlling foreseeable risks;
    - ensuring designers carry out their duties;
- prepare and provide relevant information to other duty holders;
- liaise with the principal contractor to help in the planning, management, monitoring and coordination of the construction phase.

A key element of the mobilisation process is for the Project Manager to develop a CDM Management Plan (CDM MP). This must confirm the outcome from the decision making process and identify who will act as the Principal Designer.

The Principal Designer role may be outsourced but any appointment is subject to the CDS procurement requirements. Further information is

provided in:

- **Guidance Note:** CDM 2015 Designers Guidance; CDM 2015 Principal Designer Duties

3.1.3   Principal Contractors Duties

All contractors appointed by CDS must have previously provided evidence of their respective competence through the Yorconsult framework.

When deciding upon the organisation that will act as Principal Contractor, using the shortlisted contractors who have been through the Yorconsult procurement process, the Project Manager and the Service Delivery Manager must consider the following factors:

- type, size and complexity of the project,
- does the named individual(s) or organisation possess an appropriate level of training, knowledge and expertise?
- has the Principal Contractor met all the requirements of specified in the preferred suppliers list?
- can the organisation achieve the safety standards set out in the CDS Contractor Working Guidelines?

When operating on site the Principal Contractor must undertake all works in accordance with the CDS Contractor Working Guidelines. It is essential that the Principal Contractor ensures that all employees are competent with appropriate experience and training. Minimum standards are as follows:
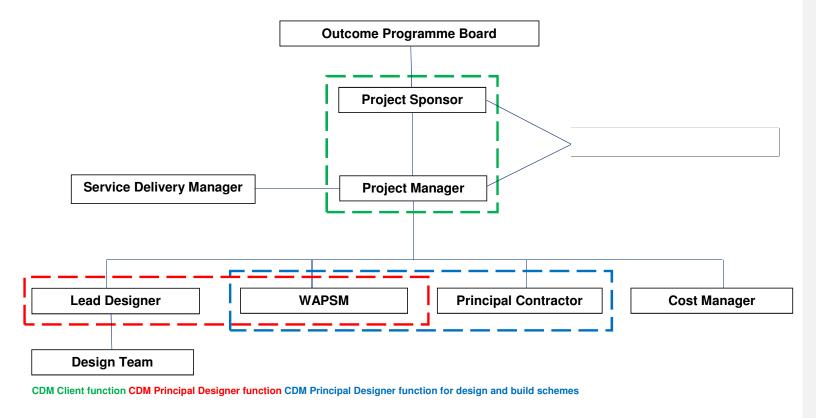
- Site Manager/Foreman - Site Managers Safety Training Scheme (CITB) SMSTS or equivalent
- All operatives – Trade skills cards such as CSCS
- CCDO – Demolition operatives
- CISRS – Scaffolders
- PAL and CPCS – Plant operators
- IPAF – MEWP operators
- PASMA – Erecting or dismantling tower scaffolds

NB: The subcontracting of services can only be with the written authorisation provided by CDS. If approval is given, all contractors are responsible for checking the competence of those appointed by them.

A key element of the mobilisation process for each phase of the project is for the Project Manager to develop a CDM Management Plan (CDM MP). This must confirm the outcome from the decision making process and clearly identify who will act as the Principal Contractor.

4   Project Team Structure

The diagram below illustrates a typical project team structure. Individual projects will vary and the project organisation structure will be clarified on a project by project basis.

```
                    ┌──────────────────────────────┐
                    │  Outcome Programme Board      │
                    └──────────────────────────────┘
                                   │
                    ┌──────────────────────────────┐
                    │      Project Sponsor          │
                    └──────────────────────────────┘

┌─────────────────────────┐    ┌──────────────────┐
│ Service Delivery Manager │────│  Project Manager │
└─────────────────────────┘    └──────────────────┘

┌───────────────┐  ┌──────────┐  ┌─────────────────────┐  ┌──────────────┐
│ Lead Designer │  │  WAPSM   │  │ Principal Contractor │  │ Cost Manager │
└───────────────┘  └──────────┘  └─────────────────────┘  └──────────────┘

┌──────────────┐
│ Design Team  │
└──────────────┘
```

CDM Client function **CDM Principal Designer function** **CDM Principal Designer function for design and build schemes**
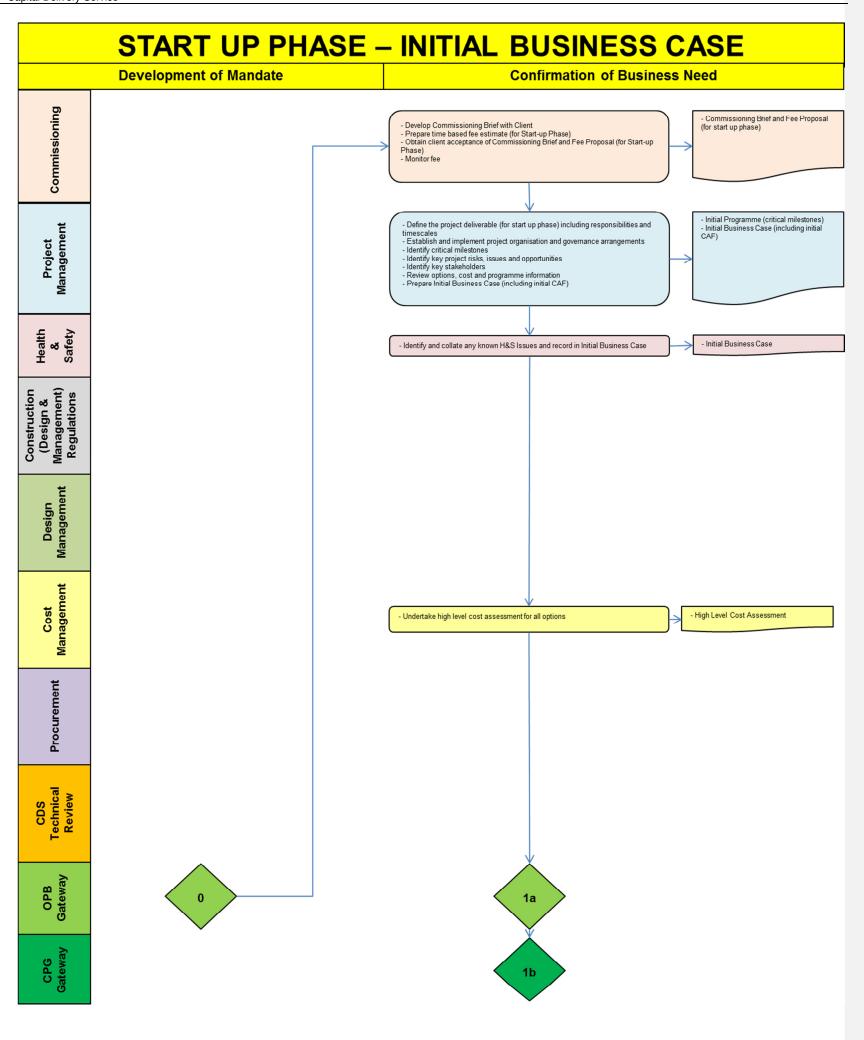
5   Project Procedures

5.1   Project Delivery Process Map

The following process maps provide an overview of the key tasks and deliverables required throughout each of the project phases and gateway approvals.

START UP PHASE – INITIAL BUSINESS CASE

Development of Mandate	Confirmation of Business Need

Commissioning

- Develop Commissioning Brief with Client
- Prepare time based fee estimate (for Start-up Phase)
- Obtain client acceptance of Commissioning Brief and Fee Proposal (for Start-up Phase)
- Monitor fee

- Commissioning Brief and Fee Proposal (for start up phase)

Project Management

- Define the project deliverable (for start up phase) including responsibilities and timescales
- Establish and implement project organisation and governance arrangements
- Identify critical milestones
- Identify key project risks, issues and opportunities
- Identify key stakeholders
- Review options, cost and programme information
- Prepare Initial Business Case (including initial CAF)

- Initial Programme (critical milestones)
- Initial Business Case (including initial CAF)

Health & Safety

- Identify and collate any known H&S Issues and record in Initial Business Case

- Initial Business Case

Construction (Design & Management) Regulations

Design Management

Cost Management

- Undertake high level cost assessment for all options

- High Level Cost Assessment

Procurement

CDS Technical Review

OPB Gateway

0

CPG Gateway

1a

1b

PLANNING PHASE – OUTLINE BUSINESS CASE

Preparation and Brief	Concept Design

Commissioning

Preparation and Brief:
- Develop Commissioning Brief with Client (for Planning Phase)
- Prepare Commissioning Brief and Fee Proposal
- Obtain acceptance of Commissioning Brief and Fee Proposal (for Planning Phase)
- Monitor fee

Output: Commissioning Brief and Fee Proposal (for Planning Phase)

Concept Design:
- Continue to monitor fee
- Develop Commissioning Brief and fee Proposal or Delivery Preparation & Delivery Phases
- Obtain client acceptance of Commissioning Brief and Fee Proposal (for Delivery Preparation / Delivery Phases)

Output: Commissioning Brief and Fee Proposal (for Delivery Preparation & Delivery Phases)

Project Management

Preparation and Brief:
- Hold project kick off meeting
- Establish and implement project organisation and governance arrangements including meeting and reporting requirements
- Define the project and technical deliverables including responsibilities and timescales
- Arrange and hold a project risk identification workshop and establish risk management strategy
- Review critical milestones and draft an initial project programme
- Establish monthly progress reporting
- Establish the project budget and expenditure monitoring sheet
- Review options, cost and programme information and prepare Mid Phase Project Report
- Establish the Project Management Plan

Output:
- Outline Project Management Plan
- Programme
- Progress Reports
- Budget and Expenditure Monitoring Sheet
- Mid Phase Project Report

Concept Design:
- Prepare or obtain the Outline Design Brief
- Develop, monitor and control the Project Management Plan
- Develop, monitor and control the Project Programme
- Develop, monitor and control the Budget and Expenditure Monitoring Sheet
- Prepare monthly Progress Reports
- Procure surveys as required
- Review design, cost and programme information and prepare End of Phase Report
- Register project on TF Web 'Permission to Work'
- Update CAF for inclusion in the Outline Business Case
- Prepare or obtain Outline Business Case

Output:
- Outline Design Brief
- Project Management Plan
- Programme-
- Budget and Expenditure Monitoring Sheet
- Progress Reports
- End of Phase Report
- Outline Business Case (including updated CAF)

Health & Safety

Preparation and Brief:
- Review and create project H&S Hazard Register and communicate to all team members
- Undertake individual H&S risk assessment as required

Output:
- Project H&S Register (In CDM and H&S Management Plan)
- Individual H&S Risk Assessment

Concept Design:
- Review and update project H&S Hazard Register and communicate to all team members
- Undertake individual H&S risk assessment as required

Output:
- Project H&S Register (In CDM Management Plan)
- Individual H&S Risk Assessment

Construction (Design & Management) Regulations

Preparation and Brief:
- Clarify allocation of CDM duties and record in CDM and H&S Management Plan
- Collate and review existing site & building information (for all potential options)

Output:
- CDM and H&S Management Plan
- Existing Site and Building Information

Concept Design:
- Review allocation of CDM duties and revise CDM and H&S Management Plan if required
- Ensure all CDM duties are being fulfilled
- Collate existing site & building information
- Establish Hazard Elimination and Management Record
- Collate Pre-construction information
- Submit initial notification to HSE using F10 (where required)
- Establish and draft Health & Safety File

Output:
- Existing Site and Building Information
- CDM Management Plan
- Pre-construction Information
- Initial F10
- Draft Health & Safety File

Design Management

Preparation and Brief:
- Establish Design Team meetings
- Establish the technical deliverables schedule for inclusion in the Project Management Plan
- Review the existing site and building information (for all options)
- Monitor the production of technical deliverables (RIBA 1) and highlight any associated risks or issues to the Project Manager
- Prepare Options Appraisal for inclusion in the Mid Phase Project Report

Output:
- Technical Deliverables Schedule (in Project Management Plan)
- Options Appraisal Report

Concept Design:
- Monitor production of technical deliverables and highlight any associated risks or issues to the Project Manager (RIBA 2)
- Review and analyse existing site & building information and identify gaps
- Develop Town Planning strategy
- Prepare and submit pre-planning application (if required)
- Prepare design information for inclusion in the End of Phase Survey

Output:
- Technical Deliverables Schedule (in Project Management Plan)
- Design Information (RIBA 2)
- Pre-planning Application

Cost Management

Preparation and Brief:
- Prepare Order of Cost Estimate for all options
- Present Order of Cost Estimate to the Project Team

Output: Order of Cost Estimate

Concept Design:
- Prepare Cost Plan 1
- Present Cost Plan 1 to the Project Team and amend as required

Output: Cost Plan 1

Procurement

Preparation and Brief:
- Carry out an initial appraisal of procurement options ensuring that risks, timescales, funding requirements, quality requirements and project constraints are considered

Concept Design:
- Carry out detailed appraisal of procurement options and select preferred procurement route
- Prepare Procurement Strategy Form for inclusion in the Outline Business Case
- Prepare Procurement Programme and issue to relevant stakeholders

Output:
- Procurement Strategy
- Procurement Programme (included in Project management Plan)

CDS Technical Review

Preparation & Brief

Concept Design

OPB Gateway

2a

CPG Gateway

2b

DELIVERY PREPARATION PHASE – FINAL BUSINESS CASE

Developed and Technical Design	Preparation of Tender Docs	Tender Evaluation and CA

Commissioning

- Monitor fee

→ - Commissioning Brief and Fee Proposal

Project Management

- Develop, monitor and control the Project Management Plan
- Develop, monitor and control the Project Programme
- Develop, monitor and control the Budget and Expenditure
- Obtain or prepare the Final Design Brief
- Procure additional surveys
- Prepare monthly Progress Reports- Review design, cost and programme information and prepare End of Phase Report

- Project Management Plan
- Final Design Brief
- Programme
- Progress Reports
- Budget and Expenditure Monitoring Sheet
- End of Phase Report

- Oversee the procurement process
- Oversee the preparation of the tender documents
- Establish the Handover Management Plan for inclusion in the Tender Documents

- Project Management Plan
- Handover Management Plan

- Oversee the tender process
- If lowest tender is above the current funding limit seek guidance from Project Sponsor
- Update CAF for inclusion in the Final Business Case
- Prepare or obtain Final Business Case

- Final Business Case (including updated CAF)

Health & Safety

- Review and update project H&S Hazard Register
- Undertake individual H&S risk assessment as required

- Project H&S Register (In CDM and H&S Management Plan)
- Individual H&S Risk Assessment

Construction (Design & Management) Regulations

- Review CDM and H&S Management Plan
- Ensure all CDM duties are being fulfilled
- Review and update Hazard Elimination and Management Record
- Ongoing collation of PCI
- Ongoing development of the H&S File

- CDM and H&S Management Plan
- Pre-construction Information
- Draft Health & Safety File

Design Management

- Establish Design Team meetings
- Monitor production of technical deliverables (RIBA 3 / 4) and highlight any associated risks or issues to the Project Manager
- Prepare and submit planning application
- Manage the discharge of Planning Conditions
- Prepare and submit the Building Control Application
- Manage the discharge of Building Control Conditions
- Analyse survey information

- Technical Deliverables Schedule (in Project Management Plan)
- Technical Information (RIBA 3/4)
- Planning Application
- Planning Conditions Tracker (in Project Management Plan)
- Building Control Application
- Building Control Conditions Tracker (in Project Management Plan

Cost Management

- Prepare Cost Plan 2 and present to Project Team
- Prepare Cost Plan 3 (pre tender estimate) and present to Project Team
- Monitor Cost Plan and provide ongoing cost advice to the Project Manager and Lead Designer

- Cost Plan 2
- Cost Plan 3 (pre tender estimate)

Procurement

- Publish tender opportunity or liaise with the relevant Framework Manager as appropriate for the procurement strategy
- Prepare Pre Qualification Questionnaire (PQQ) or Suitability Assessment as appropriate for the procurement strategy
- Prepare the Tender Documentation

- PQQ
- Suitability Assessment
- Tender Documentation

- Issue PQQ / Suitability Assessment / Tender Documentation (as appropriate to the procurement strategy) and respond to queries
- Evaluate & select shortlist of tenderers and prepare PQQ Evaluation Report (where required)
- Invite shortlist tenderers to submit tender for the work (where required)
- Evaluate tenders in line with evaluation criteria
- Prepare Contact Award Form for inclusion in the FBC

- Tender Returns (incoming)
- PQQ / Suitability Assessment Evaluation Report
- Contract Award Form (for inclusion in the Final Business Case

Technical Review

Developed Design / Technical Design

Tender Documents

Contract Award

OPB Gateway

3a

CPG Gateway

3a

DELIVERY PHASE

Construction	Handover

Commissioning

- Monitor fee expenditure

> - Commissioning Brief and Fee Proposal

Project Management

- Develop, monitor and control the Project Management Plan
- Develop, monitor and control the Budget and Expenditure Monitoring Sheet
- Establish and monitor the Works Assurance Plan
- Arrange and chair the Pre-Contract Meeting
- Receive the construction programme from the Main Contractor
- Establish the Contract Administration Log
- Prepare the Monthly Progress Reports
- Develop , monitor and control the Handover Management Plan

> - Construction Programme (incoming)
> - Monthly Progress Reports
> - Project Management Plan
> - Works Assurance Reports
> - Contract Administration

- Establish register of outstanding works as noted at Practical Completion
- Complete required actions in the Handover Management Plan
- Issue Practical Completion Certificate
- Handover building and put into service
- Issue interim Handover Management Plan to Client

> - Handover Management Plan
> - Buildings Manual including Test and Commissioning Certificates (incoming)

Health & Safety

- Review and update the project H&S Hazard Register
- Undertake individual H&S risk assessments as required
- Adhere to the main contractors safety arrangements

> - Project H&S Hazard Register (In Project Management Plan)
> - Individual H&S Risk Assessment

Construction (Design & Management) Regulations

- Revise and update the F10 notification post appointment of the Principal Contractor (where required)
- Review allocation of CDM duties and revise if required
- Ensure all CDM duties are being fulfilled
- Ensure Principal Contractor has a Construction Phase Plan in place prior to commencement on site
- Complete Hazard Elimination and Management Register and develop residual risk register for inclusion in the Health & Safety File
- Develop Health & Safety File

> - F10
> - CDM and H&S Management Plan
> - Construction Phase Plan (incoming)
> - Draft Health & Safety File

- Finalise Health & Safety File and issue to Client

> - Final Health & Safety File

Design Management

- Review Contractor produced drawings and calculations as required
- Manage the discharge of Planning Conditions
- Manage the discharge of Building Control Conditions
- Monitor production of technical deliverables and highlight any associated risks or issues to the Project Manager (RIDA 5 / 6)

> - Planning Conditions Tracker (in Project Management Plan)
> - Building Control Conditions Tracker (in Project Management Plan)

Cost Management

- Prepare monthly Contract Valuations and Cost Reports

> - Contract Valuations
> - Cost Reports

Procurement

- Prepare and issue Letter of Acceptance
- Prepare and issue Contract Documents

> - Letter of Acceptance
> - Contract Documents

Technical Review

Mid Construction / Handover

OPB Gateway

CPG Gateway

Defect Liability and Final Account

Commissioning	
Project Management	- Ensure that all outstanding works that were recorded at handover are closed out - Manage the defects liability period and ensure that any new issues are recorded and monitored - Manage project expenditure - Arrange final defects inspection - Issue Making Good Defects Certificate - Ensure all sections of the Handover Management Plan are completed - Issue completed Handover Management Plan to Client - Prepare Project Closure Report - Update CAF and close Business Unit
	- Defects and Outstanding Works Register (in Handover Management Plan) - Defects Liability Tracker (in Handover Management Plan) - Expenditure Monitoring Sheet - Making Good Defects Certificate - Handover Management Plan - Project Closure Report - Final CAF
Health & Safety	
Construction (Design & Management) Regulations	
Design Management	- Investigate design issues / defects as required
	- Design information
Cost Management	- Agree final valuation with Contractor and prepare Final Account - Carry out internal audit on Final Account - Prepare final certificate based on Final Account
	- Final Account
Procurement	
Technical Review	
OPB Gateway	**End of Defects**
CPG Gateway	4

6   Project Development Procedures (Gateways 1a – 3b)

The following procedures apply to all projects from the point at which Capital Delivery Service receives the commission. The deliverables are scalable and should be appropriate to the requirements of the commissions as well as the size and complexity of the project.

6.1   Project Planning and Definition

6.1.1   Project Commissioning

The Service Delivery Manager will ensure that a commissioning brief and fee proposal is prepared for all new projects before work commences. Up to £500 can be invested at risk into developing the commissioning brief and fee proposal.

- **Further Details:** SMS Part A – Section 13
- **Template:** Commissioning Brief and Fee Proposal

6.1.2   Project Kick Off

When a commissioning brief and fee proposal has been agreed, the Service Delivery Manager will confirm the project scope, roles and responsibilities, programme requirements and budget constraints to the Project Manager and Project Team at a kick off meeting. The meeting will be minuted.

- **Guidance Note:** Kick Off Meeting
- **Template:** Project Team Meeting Agenda and Minutes (excel – includes Kick Off Meeting); Kick off Meeting Agenda (word);

6.1.3   Permission to Work

The Project Manager will register the project on the Permission to Work section of the Technology Forge website. This is to ensure that any existing compliance records are updated and any associated costs are factored into the project budget.

6.1.4 Project Programme

During the start-up phase the Project Manager will carry out a critical milestone assessment to ensure that all critical dates have been identified and the risks associated with them are understood.

During the planning phase the Project Manager will develop the project programme. This will reflect critical project milestones, key deliverables, internal reviews and gateway approvals. The Project Manager owns the Programme and monitors it throughout the life of the project.

- **Guidance Note:** Programme Preparation
- **Template:** Project Programme

6.1.5 Design Brief[1]

6.1.5.1 Outline Design Brief

In the planning phase, the Project Manager will obtain or prepare the Outline Design Brief. The Outline Design Brief provides a summary of the key design requirements including scope, objectives and programme.

The Outline Design Brief is a controlled document.

- **Guidance Note:** Design Brief
- **Template:** Outline Design Brief

6.1.5.2 Final Design Brief

At the beginning of the delivery preparation phase, the Project Manager will obtain or prepare the Final Design Brief. The Final Design Brief confirms the detailed design requirements, including accommodation requirements, data sheets, specification, sustainability requirements and quality requirements.

The Final Design Brief is a controlled document.

- **Template:** Final Design Brief

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[1] The Design Brief is provided by the Client unless it is specified in the Commissioning Brief and Fee Proposal that this service is to be provided by CDS.

6.1.6   Business Case[2]

The Business Case is developed through three distinct project phases as follows:

- During the start-up phase the Client will prepare the Initial Business Case. The Initial Business Case is submitted to Gateways 1a and 1b for approval.
- During the planning phase the Project Manager will obtain or prepare the Outline Business Case. The Outline Business Case is submitted to Gateways 2a and 2b for approval.
- During the delivery preparation phase the Project Manager will obtain or prepare the Final Business Case. The Final Business Case is submitted to Gateways 3a and 3b for approval.

The Business Case is owned by the Project Sponsor and is a controlled document.

- **Template:**   http://intranet/structure/place/whos-who/capital-delivery-service/capital-approvals

6.2   Project Monitoring and Control

6.2.1   Project Management Plan

The Project Management Plan is a live document owned by the Project Manager. It is established during the planning phase by the Project Manager and is developed, monitored and updated throughout the life of the project.

The Project Management Plan describes how, when and by whom the project's deliverables, timescales, costs, quality and resources will be managed and governed and should be appropriate to the scale and complexity of the project.

It is issued to the Client within two weeks of the kick off meeting, and each time it is subsequently revised and as an appendix to all Phase Reports.

The Project Management Plan is a controlled document.

- **Template:** Project Management Plan

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[2] The Business Case is provided by the Client unless it is specified in the Commissioning Brief and Fee Proposal that this service is to be provided by CDS.

6.2.2   Construction (Design and Management) Regulations 2015

The Project Team will carry out their statutory duties as prescribed within the Construction (Design and Management) Regulations 2015.

The allocation of CDM duties is confirmed by the Works Assurance and Project Safety Manager (WAPSM) in consultation with the Project Team during the Planning Phase and set out in the CDM Management Plan. The CDM Management Plan is a live document owned by the Project Manager but will be inputted and referred to by the whole Project Team.

The CDM Management Plan is a controlled document.

*   **Guidance Note:** CDM 2015 Client Guidance; CDM 2015 Designers Guidance; CDM 2015 Principal Designers Guidance
*   **Template:** CDM and H&S Management Plan

6.2.3   Health and Safety

The Project and Design Teams will prepare an Out of Office Hazard Register at the start of the project for inclusion within the CDM Management Plan. The Project Manager will monitor and update it throughout the life of the project. The purpose of this is to record any hazards facing the team whilst carrying out their work and to inform any Individual H&S Hazard Assessments.

Where staff make site visits or carry out surveys, they are responsible for carrying out an Individual Hazard Assessments in line with Council and regulatory requirements. These will be reviewed by their Line Manager prior to any visits being undertaken.

*   **Template:** CDM and H&S Management Plan   Individual Hazard Assessment

6.2.4   Project Organisation and Governance

The Project Manager will ensure that the meeting schedule and governance arrangements are clearly defined, communicated and included in the Project Management Plan.

- **Template:** Project Management Plan

6.2.4.1   Project Steering Group

The frequency and membership of Project Steering Group will vary depending on the complexity of the project.

It is the Project Manager's and Project Sponsor's responsibility to determine the Steering Group Meeting requirements for their project. Meetings are expected to include the Project Sponsor (chair), Project Manager and relevant members of the Portfolio and Project Team. All meetings will be minuted.

- **Template:** Minutes (blank - word); Minutes (blank - excel)

6.2.4.2   Project Team Meetings

The frequency and membership of the Project Team will vary depending on the complexity of the project. Less complex projects may have combined Project and Design Team meetings. It is the Project Manager's responsibility to determine the meeting requirements for their project. As a minimum, Project Team meetings are expected to include the Project Manager (chair), Lead Designer and Cost Manager and take place at least once a month. All meetings will be minuted.

- **Template:** Project Team Meeting Agenda and Mins (excel); Project Team Agenda (word)

6.2.4.3 Client and End User Meetings

The membership, frequency and scope of these meetings will vary from project to project. It is the Project Manager's responsibility to determine the meeting requirements for their project. The Project Manager will chair the meeting. All meetings will be minuted.

- **Template:** Minutes (blank - word); Minutes (blank - excel)

6.2.4.4 Design Team Meetings

The frequency of Design Team meetings will vary depending upon the complexity of the project. It is the Lead Designer's responsibility to determine the Design Team meeting requirements. The Lead Designer will chair the meeting. For less complex projects joint Project and Design Team meetings may be appropriate. All meetings will be minuted.

- **Template:** Design Team Meeting Agenda and Mins

6.2.5 Stakeholder Management[3]

The Project Manager will obtain or prepare a stakeholder communication plan during the planning phase for inclusion in the Project Management Plan.

If included as part of the commission, the Project Manager will monitor and update the Stakeholder Communication Plan throughout the life of the project.

6.2.6 Project Deliverables

The Service Delivery Manager will establish the project deliverables at the beginning of each phase for inclusion in the Project Management Plan. The Project Manager will monitor the production of the project deliverables throughout the life of the project.

- **Template:** Project Management Plan

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[3] The Stakeholder Communications Plan is generally a Client responsibility unless specified in the CBFP.

6.2.7 **Risk and Issue Management**

The risk and issue management process is designed to ensure that:

• risks and issues are identified
• managers of each risk and issue are identified
• risks and issues are prioritised
• impact is understood
• mitigation and action measures are agreed and implemented
• mitigation and action measures are reviewed and managed
• risks and issues are escalated at the appropriate time

During the Planning Phase, the Project Manager will arrange and chair a risk identification workshop. It is the responsibility of all members of the Project and Design Team to ensure that risks and issues are identified and properly reported for inclusion in the Risk and Issue Register. All risk and issue managers are responsible for carrying out the associated action(s).

The Project Manager owns the Risk and Issue Register and ensures that it is monitored and updated throughout the life of the project.

• **Template:** Project Management Plan

6.2.8   Change Management

The change control process is introduced during the planning phase and is designed to ensure that change impacting on the budget, scope, quality and programme is approved by the relevant authority before it takes place.

Change tolerances and approval requirements will be discussed and agreed with the Project Sponsor and set out in the Project Management Plan.

NB: Any changes to scope, programme or budget will require an updated Business Case and approval by the Capital Programme Group.

As soon as a change request or a required change impacts on quality, scope, cost or programme, the following process will be followed by the Project Manager:

•   the Project Manager will review the change to determine the impact and establish if the change falls within the tolerance set out in the Project Management Plan
•   the Project Manager will determine if the change impacts on the fee proposal and raise a Compensation Event if required
•   if the change falls within the tolerances set out by Project Management Plan, the Project Manager will approve, reject or modify the change
•   if the change is outside the tolerance set out in Project Management Plan, the Project Manager will issue the Change Request to the relevant authority in line with the Project Management Plan
•   following the endorsement, rejection or modification of the request the Project Manager will notify the Project Team and originator of the Change Request of the action being taken
•   if the change impacts on the Business Case, the Project Manager will issue a revised Business Case to the Capital Programme Group for approval
•   the change will be implemented and signed off by the Project Manager upon satisfactory completion

•   **Template**: Project Management Plan

6.2.9   Quality Assurance

6.2.9.1   Technical Reviews

Technical reviews will be carried out at the following points during the project lifecycle:

Timing of Review	Name of Review
Mid planning phase[4]	Preparation & Brief
End of project planning phase	Concept Design
Before town planning submission	Developed Design
Mid delivery preparation phase[5]	Developed Design
Before building control submission	Technical Design
Before tender documents are issued	Tender Documents
End of delivery preparation phase	Contract Award
Mid delivery phase	Mid Construction
Before handover	Handover
Before making good defects	End of Defects

The Programme Management Office (PMO) arranges the review.

The Service Delivery Manager chairs the review, provides an introduction, agrees actions and asks relevant questions or prompts as required.

Technical managers ask relevant technical questions as required.

The project team present documents and / or reports according to the agenda; respond to questions and accept any required remedial actions.

The reviews are scalable at SMT's discretion.

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[4] If applicable – Service Delivery Manager to confirm
[5] Only required for projects where planning permission and / or building control approval is not required

6.2.10   Project Reports

6.2.10.1   End and Mid Phase Reports

The Project Manager, with support from the Lead Designer and Cost Manager, will prepare an End / Mid Phase Project Report at:

• mid planning phase[6]
• end of planning phase
• towards the end of delivery preparation phase (before tender release)
• end of closure phase

End and Mid Phase Reports are controlled documents.

• **Template:** End of Planning Phase Project Report; End of Closure Phase Project Report;

6.2.10.2   Progress Reports

The Programme Management Office will establish the monthly reporting process on Sharepoint at the start of the Planning Phase.

The Project Manager will prepare the Monthly Progress Reports. The Lead Designer and Cost Manager will contribute to the report.

Information from progress reports is aggregated each month along with Qtier data to produce dashboard reports and other management information that is issued to Sponsors, Programme Groups, Portfolio Management Group, EMT and Cabinet.

The dashboards are Excel based and have a standard format covering financial variation, programme slippage, key risks and issues and any decisions required from the sponsor. Narrative from the progress reports is pulled directly into the dashboard reports so it is important that the reports are an accurate reflection of the project and can be clearly understood by a wide audience.

The Service Delivery Manager is responsible for reviewing and approving the reports ensuring they are accurate and contain quality information.

Progress Reports are controlled documents.

• **Guidance Note:** Monthly Progress Report; Monthly Progress Reports Flow Chart

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[6] Where there is only one option being investigated, this report is not required

6.2.11   Handover Preparation

6.2.11.1   Handover and Closure Management Plan

The Handover and Closure Management Plan is established towards the end of the delivery preparation phase by the Project Manager.

This will be reviewed and updated at regular intervals during the construction and defects liability phases. The final version will be issued to the Client and End User after the Final Account has been agreed and matters have been concluded.

The Handover and Closure Management Plan will ensure that:

- a handover programme is prepared allowing adequate time for testing and commissioning, snagging and back snagging, training and familiarisation
- the required handover activities are agreed and a checklist established
- pre-handover progress meetings are arranged and include all the stakeholders involved in the handover process
- the requirements for the Health & Safety File and Operation and Maintenance Manual are established and their production is monitored
- the process for reporting, addressing and tracking defects identified during the defects liability period is agreed and communicated
- the anticipated completion date is monitored at site meetings so that all parties are prepared
- the Client is informed with sufficient time to enable insurances to be transferred for handover
- the Client is provided with a comprehensive report detailing all relevant information for the future management of the asset

- **Template:** Handover and Closure Management Plan

6.3   Cost Management and Control

6.3.1   Construction Order of Cost Estimates and Cost Plans

At the start of each project phase, the Service Delivery Manager, Project Manager, Cost Manager and Lead Designer will confirm the design and project deliverables that will be used as the basis for the Order of Cost Estimate / Cost Plan. The Project Manager is responsible for collating the deliverables packages and issuing them to the Cost Manager.

An initial high level cost assessment, using the scope of works and assumptions outlined in the initial Business Case, is produced during the start-up phase.

An Order of Cost Estimate, using RIBA 1 design information, is produced during the first half of the planning phase. Cost Plan 1 is produced using RIBA 2 information, towards the end of the planning phase.

Cost Plan 2 is produced, using RIBA 3 information, in the delivery preparation phase. Cost Plan 3 (pre-tender estimate) is produced using RIBA 4 information, towards the end of the delivery preparation.

The Cost Manager prepares the Order of Costs Estimate / Cost Plan in liaison with the Project Manager and Lead Designer to ensure that the estimate fully reflects the required scope, quality and time constraints. Order of Cost Estimates and Cost Plans are controlled documents.

- **Guidance Note:** Cost Planning
- **Template:** Cost Plan; Order of Cost Estimate

6.3.2   Construction Cost Plan Monitoring

The Cost Manager provides ongoing construction cost advice to the Project Manager and Lead Designer and will liaise with them throughout the project development phases to ensure that the design is being developed in line with the Cost Plan and its assumptions.

If the design appears to be developing outside of the Cost Plan allowances or assumptions, or risk events have occurred; the Cost Manager will inform the Project Manager and Lead Designer as such and offer advice so that appropriate action can be taken.

6.3.3 Project Budget and Expenditure Monitoring

The Project Manager will establish the overall project budget. This will include the Cost Manager's Construction Cost Estimate / Plan and all other project costs such as fees, furniture and equipment, surveys etc.

The Project Manager will establish the budget and expenditure monitoring sheet during the planning phase and will update each month.

All expenditure will be authorised by the Project Manager prior to an order being generated. The Project Manager and Cost Manager will review expenditure against the current profile and update the expenditure monitoring sheet on a monthly basis.

6.4 Design Development and Control

6.4.1 Survey Information

6.4.1.1 Existing Information

The Project Manager will obtain all the existing site and building information from the client. The Project and Design Teams will review the data to identify risks and establish all additional surveys that need to be undertaken in order to inform the design and give robust cost advice.

6.4.1.2 New Surveys

Where gaps in the survey information have been identified, new surveys will be commissioned and obtained prior to the Gateway 2 submission. Where this is not possible, such as ecology and environmental surveys that can only be carried out at specific times of year, it will be recorded and monitored on the Risk and Issue Register. Asbestos information must be reviewed and all risks understood and mitigated before any investigative surveys are carried out.

- **Guidance Note:** Ecology Survey Calendar
- **Template:** Structural Inspection Report

6.4.1.3 Procurement of Surveys

The Project Manager will procure all surveys and prepare and monitor a survey tracker and synopsis for inclusion in the Project Management Plan

- **Templates:** Project Management Plan

6.4.1.4   Asbestos Management

A Refurbishment and Demolition Survey (R&D Survey) will be
commissioned when the floor layout plan has been fixed to establish the
extent of the Asbestos Contaminating Materials (ACM) within the project
work area. This will be used to review the options regarding the timing and
procurement of services for any remedial, removal and disposal work
required for any ACMs identified.

R&D Survey information will be reviewed against any changes to the design
as they occur. These changes may require further asbestos surveys to be
undertaken.

Asbestos removal will be undertaken in line with statutory requirements and
Sheffield City Council Regulations.

- **Further Information:**
  http://intranet/structure/resources/facilitiesmanagement/whatwedo/ass
  etmanagement/compliance/policies

6.4.2   **Pre-Construction Information**

Pre-construction Information (PCI) is information about the project that is
already in the client's possession or which is reasonably obtainable by or
on behalf of the client.

PCI should be gathered and added to as the design progresses and should
reflect new information about the Health & Safety risks and how they should
be managed.

The status of the information will be recorded in the CDM Management
Plan.

- **Guidance Note:** Pre Construction Information
- **Template:** CDM and H&S Management Plan CDM Pre Construction
Information

6.4.3   **Hazard Elimination**

The Lead Designer will undertake the hazard elimination process to ensure
that design features or materials which may present a health and safety
hazard are recorded on the Hazard Elimination and Management Record
(HEMR). This will be included in the Pre-Construction Information.

The HEMR is recorded in the CDM Management Plan.

- **Template:** CDM and H&S Management Plan

6.4.4   Health and Safety File

The Principal Designer will initiate the preparation of the Health & Safety File in the project planning phase.

The status of the information will be recorded in the CDM Management Plan.

- **Template:** CDM and H&S Management Plan; CDM Health and Safety File

6.4.5   Design Deliverables

Design deliverables will be produced in line with the RIBA plan of works. The RIBA stages align with the project phases as follows:

RIBA Work Stage	Gateway	Key Deliverables
0 – Strategic Definition	Start-up	Mandate Initial Business Case Initial CAF
1 – Preparation and Brief	Planning	Mid Phase Report
2 – Concept Design		End of Phase Report Outline Business Case Procurement Strategy Updated CAF
3 – Developed Design	Delivery Preparation	End of Phase Report Final Business Case Contract Award
4 – Technical Design		
5 – Construction	Delivery	Physical Asset
6 – Handover and Close Out	Closure	End of Phase Report Final Account
7 – In Use		

The Design Manager, in liaison with the Project Manager, Lead Designer and Cost Manager will confirm the design deliverables for each phase. The Lead Designer will prepare and monitor the Design Deliverables Schedule for inclusion in the Project Management Plan and communicate requirements to the Design Team.

- **Template:** Project Management Plan

6.4.6   Design Production

The Lead Designer will ensure that the design deliverables are produced in line with the programme requirements. Where there are any risks associated with the production of a deliverable, the Lead Designer will notify the Project Manager and agree mitigating actions.

- **Guidance Note:** Calculations; RIBA 1; Naming of Drawings and Version Control
- **Template:** Brief Description for Estimating Purposes Calculations Workbook; Finishes & Fittings Schedule; Drawing Issue Sheet

6.4.7   Design Co-ordination

The Lead Designer will ensure that the design is fully co-ordinated and that all disciplines are working to the latest model revision.

6.4.8   Design Standards

All design standards will be accessed via the Construction Information Service platform prior to the commencement of design.

- **Further Information**: https://www.ihsti.com/logon/logon.aspx

6.4.9   Control of Design Changes

The Lead Designer will consider any request for design changes with the Design Team and subsequently will raise them with the Project Manager.

The Lead Designer will ensure that the appropriate approval is obtained before the implementation of any changes.

- **Guidance Note:** Design Changes

6.4.10   Planning Applications

The Project Team will consider if a pre-planning application should be made. The Lead Designer is responsible for managing the planning process including the timely submission of applications and the subsequent discharge of any conditions.

The Lead Designer will record the status of planning conditions in the Project Management Plan.

The Capital Delivery Service has a Planning Portal account from which all planning applications will be made. The details of the account are below.

- **Site** : www.planningportal.gov.uk

  Login: CDSArchitectsPassword – Architects

- **Template**: Project Management Plan

6.4.11   Building Control Applications

The Lead Designer is responsible for managing the Building Control Approval process including the timely submission of the application and the subsequent discharge of any conditions.

The Lead Designer will record the status of the conditions in the Project Management Plan.

- **Template:** Project Management Plan

6.4.12   Listed Buildings

If applicable to the project, the Lead Designer will ensure that early contact is made with the Conservation Officer to agree:

- the principles on which the conservation element of the construction work will be based e.g. repairing, replacing or protecting an element of the building fabric.
- the principles on which a Listed Building Consent Application will be made or which make an application unnecessary.

The Lead Designer will confirm the agreed approach in writing to the Conservation Officer.

- **Guidance Note:** Listed Buildings

6.4.13   Party Wall Act

The Lead Designer is responsible for ensuring that the client is notified of any party wall issues.

- **Further Information:**
  http://www.planningportal.gov.uk/buildingregulations/buildingpolicyand legislation/currentlegislation/partywallact
- **Template:** 3m 6m Notice Letter; Acknowledge Party Notice Letter; Party Structure Notice; Line Junction Notice

6.4.14   Energy and Water Supplies

In the Planning Phase, the Project Manager will notify the Energy Team of any potential changes which may affect supplies, including:

- new supplies
- increased supply
- ended supplies, and whether they are de-energised or disconnected
- temporary arrangements for supplies e.g. during construction
- change of use of part of the site e.g. caretakers' houses
- documents relating to installation quotes, connection agreements
- contractor use during construction - records of meter reads and evidence of any recharges (for CRC reporting)
- photos of meters if possible and start/handover/final reads
- who is responsible for the energy contracts and bills at each stage of the project

Applications for new or increased supplies are carried out by the Services Engineer.

- **Further Information:** intranet/managers/energy management/site-energy-supply-procedures

The Project Manager will issue the quotes to the Principal Contractor.

The Principal Contractor is responsible for updating quotes and ordering supplies and further notification of final meter readings. Quotes and references will be forwarded to the Council's Energy Unit by the Project Manager.

6.5 Procurement and Tender

6.5.1 Procurement Strategy

Procurement will be managed in line with Council's Standing Orders.

- **Further Information:** http://intranet/procurement/how-to/one-best-way/procurement-professionals

Procurement options will be considered during the start-up phase and fully evaluated during the planning phase. The selected procurement route should follow a strategy which fits the long-term objectives of the project. Considerations are likely to include:

- timescales
- quality
- cost
- project constraints
- risks
- funding

When the preferred procurement route has been selected and approved by the Project Steering Group, it is the Project Manager's responsibility to ensure that the procurement solution is set out in the Outline Business Case to enable the Procurement Strategy Form to be completed.

- **Templates:** Procurement Strategy and Contract Award;

6.5.2 Employment and Skills

The Project Manager will ensure that employment and skills considerations have been taken into account for all contracts over £174k in value. This will involve formal consultation with the Council's LLSC Service.

- **Further Information:** Employment and Skills Toolkit; Employment and Skills Process
- **Guidance Note:** Employment and Skills – Monitoring Arrangements

6.5.3 Procurement Programme

A Procurement Programme is prepared by the Cost Manager as soon as the key programme dates are agreed. The Procurement Programme outlines the key dates related to the tender process and is included in the Project Management Plan.

- **Templates:** Project Management Plan

6.5.4   **Selection of Tenderers**

6.5.4.1   Pre-Qualification Questionnaires (not applicable on Frameworks)

For all projects being procured through competitive tender over the value of £173,000, a Pre-Qualification Questionnaire (PQQ) will be advertised, electronically, along with the tender information, using the YORtender procurement portal in line with Tender Document Programme. The Cost Manager, in consultation with the Project Manager, will prepare the PQQ.

Completed PQQs will be evaluated by relevant members of the Project Team. The Cost Manager subsequently prepares a PQQ Evaluation Report including the scoring matrix. Financial checks are carried out on the preferred bidders to assess their financial standing. The preferred bidders will be invited to submit a tender for the work.

PQQs and the PQQ Evaluation Report are controlled documents.

- **Guidance Note:** PQQ Instructions; Pre Tender Selection Process
- **Template:** PQQ Evaluation Report; PQQ Short Form; PQQ Reference Form; PQQ Long Form

6.5.4.2   Suitability Assessments (not applicable on Frameworks)

For all projects being procured through competitive tender that are £173,000 or below in value, a Suitability Assessment is required. The Cost Manager, in consultation with the Project Manager, will prepare the Suitability Assessment. This will be advertised electronically, along with the tender documents, using the YORtender procurement portal in line with Tender Document Programme. Tenderers will submit their Suitability Assessment at the same time as their priced tender submission.

Suitability Assessments will be evaluated using the evaluation criteria set out in the Suitability Assessment, including financial checks, by relevant members of the Project Team. All Contractors who pass the Suitability Assessment will proceed to the tender evaluation stage.

Suitability Assessments are controlled documents.

- **Guidance Note:** Pre Tender Selection Process
- **Templates**: Suitability Assessment

6.5.4.3   Frameworks

All projects being procured through a Framework will be advertised electronically using the YORtender procurement portal in line with Tender Document Programme.

6.5.4.4   Negotiation of Contracts

Where negotiation is considered to be the most appropriate procurement route, Standing Orders of the Council and this procedure must be adhered to.

- **Guidance Note:** Negotiation of Contracts

6.5.4.5   OJEU

For OJEU compliant projects a contract notice will be issued via Yortender.

6.5.5   Tender Documentation

The Cost Manager, in consultation with the Project Manager and Lead Designer, prepares the Tender Documentation.

Tender queries and amendments are controlled by the Cost Manager and responses are managed via the electronic tendering portal.

Tender Documents are controlled documents.

- **Guidance Note:** Tender Documents;
- **Template:** Tender Query Form; Tender Documents Templates

6.5.6   Tender Evaluation

Tenders are evaluated by the Cost Manager and relevant members of the Project Team in line with the instructions detailed in the Procurement Strategy and Tender Documentation.

A Cost Analysis will be prepared by the Cost Manager for every project which is tendered in competition or negotiated irrespective of the method of procurement adopted. Depending on the cost information available either a Group Elemental Analysis or a Detailed Elemental Analysis will be prepared.

The Cost Manager will prepare and issue the cost analysis on acceptance of the provider's tender. The cost analysis will be checked by the Technical Manager prior to issue.

- **Guidance Note:** Tender Evaluation
- **Template:** Full Elemental Cost Analysis Proforma; Group Elemental Cost Analysis Proforma

6.5.7   Contract Award

Following completion of the tender evaluation, the Cost Manager completes
the relevant sections of the Contract Award Form, summarising the results
of the tender evaluation and the recommendation of the preferred tenderer.
The Project Manager is responsible for the final completion of the Contract
Award Form and its inclusion in the Final Business Case for submission to
gateways 3a and 3b for approval.

The letter of acceptance is issued by the Programme Management Office
following gateway 3b approval and the expiry of the standstill period if
applicable for OJEU.

The Programme Management Office requests the successful tenderer's
insurance certificates and parent company guarantee / performance bond if
required.

Unsuccessful tenderers are advised and feedback offered. Contract
Documents will be issued to the prospective contractor within 2 weeks of
the letter of acceptance being issued.

Contract Documents are controlled documents.

• **Guidance Note:** Contract Documents Contents

7 Project Delivery Procedures (Gateway 4)

The following procedures apply to all projects in the delivery and closure phases. These phases conclude at gateway 4.

7.1 Contract Mobilisation

7.1.1 Contract Start-up

As soon as the contract has been awarded the Project Manager will:

- make themselves familiar with all contract milestones, deliverables and terms and conditions in order to properly monitor and evaluate performance and identify any instances of non-compliance as they may arise
- establish systems for monitoring and reporting, and protocols for communication and record keeping
- brief team members and stakeholders regarding their roles and responsibilities
- set out meeting arrangements for the life of the contract
- understand payment arrangements

Comment [PL(1): Suggest insert 'ensure that the contractor is clear about'

7.1.2 Project Management Plan

The Project Manager will update the Project Management Plan to reflect the current status of the project.

- **Template:** Project Management Plan

7.1.3 Handover and Closure Management Plan

Handover requirements will be established in the Handover and Closure Management Plan and monitored during the construction stage. The Project Manager will ensure that all stakeholders are aware of their handover responsibilities.

- **Template:** Handover and Closure Management Plan

7.1.4 Construction (Design and Management) Regulations 2015

The Project Team will carry out their statutory duties as prescribed within the Construction (Design and Management) Regulations 2015.

The Project Manager will ensure that the allocation of CDM duties is reviewed and the CDM Management Plan updated to reflect the current phase.

- **Guidance Note:** CDM 2015 Client Guidance; CDM 2015 Designers Guidance; CDM 2015 Principal Designers Guidance
- **Template:** CDM and H&S Management Plan

7.1.5 Construction Phase Plan

Where CDS are carrying out Client duties, the Project Manager will ensure that the Construction Phase Plan is in place prior to commencement on site and confirm receipt in writing to the Contractor.

- **Template:** CDM and H&S Management Plan

7.1.6 Pre-Contract Meeting

The Project Manager will arrange and chair a pre-contract meeting and ensure that minutes are circulated within one week of the meeting.

- **Guidance Note:** Pre-contract Meeting
- **Template:** Pre-Contract Meeting Agenda (word); Pre Contract and Site Meeting Agenda and Minutes (excel)

7.1.7 Pre-Construction Site Survey

The Project Manager will arrange a pre-construction site survey with the Contractor and if appropriate, Highways, to determine and record existing site conditions of boundaries, properties, kerbs, footpaths, roads, trees, buildings and installations.

7.1.8 Health & Safety

When on site, staff will comply with the Contractor's site safety arrangements. If staff feel it is unsafe to continue with any visit, they will immediately phone their Line Manager or pre-arranged office contact and return to the office. All Capital Delivery Service staff visiting sites will have an appropriate CSCS card.

7.1.9   Acceptance of the Contractors Programme

7.1.9.1   JCT Forms of Contract

The Project Manager will issue a written acknowledgement of receipt of the programme to the Contractor but it must include a statement that the programme received is not 'approved'.

7.1.9.2   ECC Forms of Contract

In the instance of the ECC contracts, the Project Manager's acceptance of the programme is a mandatory requirement of the Conditions.

7.1.10   Project Organisation and Governance

The Project Manager will ensure that the meeting schedule and governance arrangements are updated in the Project Management Plan.

- **Template:** Project Management Plan

7.1.10.1   Site Team Meetings

It is the Project Manager's responsibility to determine the meeting requirements for the project. As a minimum Site Team meetings are expected to take place once a month. This will be set out in the Project Management Plan.

The Project Manager will chair Site Team Meetings and ensure that minutes are circulated within five working days of the meeting.

- **Guidance Note:** Site Meetings
- **Template:** Site Meeting Agenda Template (word); Pre Contract and Site Meeting Agenda and Minutes (excel)

7.2   Project Monitoring and Control

7.2.1   Risk and Issue Management

At the start of the delivery phase, the Project Manager will ensure that the Risk and Issue Register is reviewed and updated. It is the responsibility of all members of the Project and Design Team to ensure that risks and issues are identified and properly reported for inclusion in the Risk, Issue and Opportunity Register.

All risk and issue managers are responsible for carrying out the associated action. The Project Manager owns the project Risk, Issue and Opportunity Register and is responsible for ensuring that it is reviewed and updated throughout the delivery phase.

- **Template:** Project Management Plan

7.2.2   Approval of Drawings and Calculations

The Project Manager will ensure that drawings and calculations and subsequent amendments received from Contractors are properly controlled and filed in line with contract requirements.

The Lead Designer allocates drawings and calculations provided by the Contractor to the appropriate Design Team Member for review.

7.2.3   Works Assurance

7.2.3.1   Safety

The CDS Project Manager will ensure that a site set up audit is completed before or during the first monthly site meeting.

If the CDS Project Manager or WAPS Manager has concerns at any point during the live project, a full compliance audit will be carried out.

CDS Project Managers will notify WAPS Manager of all health & safety and site issues based on the monthly contractor's progress report.

The WAPS Manager may choose to conduct a site safety audit or full compliance audit at any time for any reason during the delivery phase.

- **Template:** CoW Site Safety Assurance Register

7.2.3.2 Quality and Progress

The PMO will arrange a meeting prior to the start on site date between the Project Manager, WAPS Manager, Clerk of Works and the Lead Designer. At this meeting the approach taken to elemental work assurance and progress monitoring will be agreed and detailed in the Works Assurance Plan.

Information provided by a Clerk of Works, an Independent Certifier or the Contractor for monitoring purposes will be reviewed by the Project Manager and Lead Designer to ensure its accuracy and reliability.

Whether monitoring is undertaken by a Clerk of Works or an Independent Certifier, final accountability for accepting the contract deliverables remains with the Project Manager**.**

- **Templates**: Project Management Plan CoW Progress Report; CoW Quality Assurance Report

7.2.4 Cost Management

Contract Cost Monitoring Reports will be established by the Cost Manager at the start of the contract period. This will reflect the contract budget as agreed at Contract Award.

Contract Cost Monitoring Reports will be continually updated and issued monthly. This will form part of overall cost reporting.

Contract Cost Monitoring Reports will include:

- anticipated monthly expenditure
- cash flow
- contingency and risks
- progress of funding draw downs
- financial approvals (current and future)
- valuations, variations and claims
- monitoring of anticipated completion date against the original completion date

The Cost Monitoring Reports will reflect the forecast Final Account and include the latest Valuation figures and any Contractor Claims, Compensation Events and Variations (actual or anticipated).

- **Guidance Note:** Contract Payment and Reporting
- **Template:** Cost Report Master JCT MBW WQ WOQ; Cost Report Master JCT DB; Cost Report Master JCT MT; Cost Report Master JCT WAQ; Cost Report Master NEC OPTION A OR B

7.2.5   Progress Reporting

The Project Manager will prepare a monthly Progress Report.

The Lead Designer and Cost Manager will contribute to the design and cost section of the report.

- **Guidance Note:** Monthly Progress Report Flow Chart; Monthly Progress Report

7.3   Contract Administration

7.3.1   Record Keeping

All contractual communication will be issued through the formal Contract Administration Log. The standard SMS template will be used for all contracts.

7.3.2   Variations

Contract variations that are within the tolerance of the Business Case will be instructed through the provision of the contract.

Proposed contract variations that are outside the tolerance of the Business Case (i.e. unidentified issues / client changes or risks / issues where the impact is worse than anticipated) will be recorded on the Change Control Register together with any effect on cost, quality and programme, and issued to the Project Sponsor who will either approve, decline or refer to the Programme Group.

Following the endorsement, rejection or modification of the request, the Project Manager will notify the Project Team and originator of the Change Request of the action being taken. If an approved change requires a revision to the CAF, the Project Manager will seek the appropriate level of financial approval before instructing the change. If approved, the Project Manager will instruct the change through the provision of the contract.

The Project Manager will issue all instructions / compensation events in line with the provisions of the contract. Instructions will be issued promptly and prior to the next valuation date. The Cost Manager will review all instructions / compensation events regardless of value and provide a cost estimate / range for each Instruction / Compensation Event.

The Project will escalate the instruction / compensation event for review by the Technical Manager / Service Delivery Manager if deemed to be 'significant'.

Changes that have occurred in the preceding month will be recorded in the Monthly Progress Report.

- **Guidance Note:** Contract Administration
- **Template:** Contract Administration JCT; Contract Administration NEC;

7.3.3 Certificates

The Project Manager will issue certificates promptly in line with the provisions of the contract.

- **Guidance Note:** Contract Administration
- **Template:** Contract Administration JCT; Contract Administration NEC;

7.3.4 Valuation and Payments

Upon receipt of the Contractor's application for payment the Cost Manager will make a recommendation for payment in liaison with the Project Manager. Payments will only be made where the Cost Manager, Lead Designer and Project Manager have agreed that the provisions have been fulfilled and all necessary authorisations and approvals have been obtained. Contract payments will be made in accordance with the provisions of the contract.

- **Guidance Note:** Contract Payments and Reporting
- **Template:** Templates\Valuation Templates

7.3.5 Payment Certificates

The Cost Manager will issue payment certificates on behalf of the Client in line with the provisions of the contract.

- **Guidance Note:** Contract Payments and Reporting
- **Template:** Templates\Valuation Templates

7.3.6 Defective Work

Where work is deemed to be defective, the Project Manager and Cost Manager will deal with it in line with the provisions of the contract.

- **Guidance Note:** Contract Administration

7.3.7   Underperformance

At the early stages of underperformance, the Project Manager will agree informal remedial action with the Contractor. Such action could include:

- replacing or using additional personnel,
- reporting back more frequently on progress,
- modifying processes or systems,

Depending on the seriousness of the underperformance, the action taken may need to be more formal and could include:

- developing strategies to address the problem, formally documenting and tracking them,
- implementing other formal mechanisms included in the contract.

7.3.8   Contractor Insolvency

On determination or signs of insolvency the Project Manager will, in conjunction with the Cost Manager and Lead Designer:

- stop the issue of any more Certificates
- ascertain in conjunction with the City Solicitor when the trustee in bankruptcy or liquidator has been appointed and the date of the appointment
- advise the Client to secure the site
- inform the Police
- arrange insurance for materials and plant on site and for the value of works
- check conditions of the performance bond where appropriate and inform bondsman in conjunction with the City Solicitor and Head of Administration
- inform statutory undertakers for maintenance of temporary services
- initiate the preparation of the necessary financial statement and contractual documents for the completion of work
- report to the Project Steering Group to present actions to be taken, or that have been taken, as necessary

- **Guidance Note:** Contract Administration

7.3.9   Extensions of Time

Applications for extensions of time will be reviewed by the Project Manager and will be granted in line with the provisions of the contract.

- **Guidance Note:** Contract Administration

7.3.10   Liquidated Damages

If a certificate of non-completion is issued, Liquidated and Ascertained Damages will be deducted. Calculation should be on the weekly rate as indicated in the Contract Documents, multiplied by the weeks overrun stated in the certificate. Days will be taken as sevenths of a week.

• **Guidance Notes:** Contract Administration

7.4   Handover Planning

7.4.1   Handover and Closure Management Plan

The Project Manager will ensure that the requirements identified in the Handover and Closure Management Plan are in place on handover day. At Practical Completion the Project Manager will issue an interim version of the Handover Management Plan to the Client.

• **Template:** Handover and Closure Management Plan

7.4.1.1   Training and Familiarisation

Training and familiarisation requirements will be agreed between the Project Manager, Contractor and Client / End User. The Project Manager will maintain a tracker detailing the training activities, timing and attendees.

7.4.1.2   Testing and Commissioning

The Project Manager will ensure that witness testing and commissioning requirements are identified and circulated as appropriate.

Projects will not be accepted for handover at Practical Completion without the Project Manager being in receipt of copies and affirmation of all applicable certificates being complete and accepted by a relevant qualified person.

7.4.1.3   Snagging

During the period running up to handover, the Project Manager will ensure that a programme for inspection and snagging is prepared and agreed.

The Project Manager will liaise with the Clerk of Works / Independent Certifier and record any outstanding works that are still present at handover and agree with the Contractor the arrangements and timescales for closing them out.

7.4.1.4   Third Party Approvals

The Project Manager will ensure that any required certification from external agencies is identified and obtained.

7.4.1.5   Insurance

The Project Manager will ensure that the buildings insurance is in place at the time of handover.

7.4.1.6   Buildings Manual

a)   Health & Safety File

The Health and Safety File is finalised by the Principal Designer with input from the Principal Contractor.

The progress and status of the H&S File will be recorded by the Project Manager.

b)   Operation & Maintenance Manual

The Principal Contractor will prepare the Operation & Maintenance Manual (O&M) before handover and issue it to the Project Manager.

The Project Manager will issue the manual to the relevant disciplines for review and ensure that any required amendments or additional information required is obtained before handover so that the completed manual can be issued on handover day. The progress and status of the O&M will be recorded by the Project Manager. The Project Manager will obtain notification of issue from the client.

7.4.2   Practical Completion

When satisfied that all the elements of the Contract have been executed; the Project Manager will accept Practical Completion and issue the Practical Completion Certificate.

- **Guidance Note:** Contract Administration
- **Template:** Contract Administration JCT; Contract Administration NEC;

7.4.3   Handover to Business as Usual

When the Project Manager considers that all items relating to Practical Completion are complete; they will issue an interim Handover and Closure Management Plan to the Client.

7.5   Project Closure

7.5.1   Defects Period

During this period, the Client contact reports any issues that arise in the works to the Project Officer who investigates whether they are defects (i.e. works that are not in accordance with the contract), or whether they are maintenance issues or change requests. If the PMO considers that they are defects, then they will issue instructions to the Contractor to make good the defects within a reasonable time.

The Project Officer will maintain a Defects Register during the defects rectification period. The defects register is included in the Handover and Closure Management Plan.

- **Template:** Handover and Closure Management Plan

7.5.2   Making Good Defects Certificate

Toward the end of the defects period, the Project Officer will arrange a final inspection and prepare a schedule, in agreement with the Client, of any defects that are outstanding.

The Project Officer issues the schedule of outstanding defects to the Contractor and agrees the date by which they will be rectified.

When the Project Officer considers that all items on the schedule of defects have been made good they will update the Defects Register and advise the Project Manager to issue a Making Good Defects Certificate to the Contractor.

7.5.3   Handover and Closure Management Plan

When all the items in the Handover and Closure Management Plan have been closed out and the Making Good Certificate has been issued, the Project Manager will issue the final version of the Handover and Closure Management Plan to the Client.

7.5.4   Final Account

It is the Cost Manager's responsibility to ensure that they are aware of the deadline for each of their projects by reference to the specific contract conditions and that they prepare and complete the Final Account to achieve the relevant date.

In instances where the Cost Manager is of the opinion that the deadline date is unlikely to be met, this matter will be raised with the Project Manager.

The agreed final account will be issued to the Technical Manager for audit.

- **Guidance Note:** Final Account
- **Template:** Final Account

7.5.5   Final Certificate

The Cost Manager, on behalf of the Project Manager, issues the Final Certificate based on the value of the audited Final Account. This means that all defects must have been remedied, all adjustments to the contract sum must have been made and agreed and all claims settled.

The Final Account, Instructions, Correspondence and other relevant documentation shall be archived.

- **Guidance Note**: Final Account
- **Template:** Valuation Templates

8   Glossary

Actual Progress	A measure of the work that has been completed for comparison with the baseline.
Approval Gateways	A form of control where a decision is made whether or not to continue with the work.
Business Case	Provides justification for undertaking a project or programme. It evaluates the benefit, cost and risk of alternative options and provides a rationale for the preferred solution.
Change Management	The process through which all requests to change the baseline scope of a project, programme or portfolio are captured, evaluated and then approved, rejected or deferred.
Change Control Log	A record of all proposed changes to scope.
Change Request	A request to obtain formal approval for changes to the scope of work.
Client	A customer or a person who commissions services.
Control	Tracking performance against agreed plans and taking the corrective action required to meet defined objectives.
Controlled Document Contract	An agreement made between two or more parties that creates legally binding obligations between them. The contract sets out those obligations and the actions that can be taken if they are not met.
Cost Control	The estimation of costs, the setting of an agreed budget, and management of actual and forecast costs against that budget.
Cost Management	The process of estimating and justifying costs in order to secure funds, controlling expenditure and evaluating the outcomes.
Defects	Works that have not been carried out in accordance with the contract.

Deliverables	A product, set of products or package of work that will be delivered to, and formally accepted by a stakeholder.
Equality Impact Assessment (EIA)	A way of systematically and thoroughly assessing the effects that a proposed policy or project is likely to have on different groups.
End User	The group of people who are intended to receive benefits or operate outputs.
Escalation	The process by which issues are drawn to the attention of a higher level of management.
Estimate	An approximation of time and cost targets, refined throughout the life of the project or programme.
Estimating	The use of a range of tools and techniques to produce estimates.
Forecast Expenditure	The estimated and predicted use of money.
Governance	The set of policies, regulations, functions, processes, procedures and responsibilities that define the establishment, management and control of projects, programmes or portfolios.
Handover	The point in the project where deliverables are handed over to the sponsor and end users
Issue	When used in the context of a 'formal' issue (such as a complaint) an issue occurs when the standards associated with delegated work are expected not to be met or have not been met.. This triggers the escalation of the issue from one level of management to the next in order to seek a solution.
Latent Defects	Defects which could not have been discovered during the defects liability period (for example, a problem with foundations which have been covered up and does not become apparent until several years later when settlement causes cracks to appear).
Lessons Learned	Bringing together any insights gained during a project that can be usefully applied on future projects.

Monitoring	Assessing what work has been completed including costs, risks and issues.
Procurement	The acquisition of goods, services or works from an outside external source.
Programme	A timetable showing the forecast start and finish dates for activities or events within a project, programme or portfolio
Project	A unique, transient endeavour undertaken to achieve planned objectives.
Project Management Plan	A plan that sets out the policies and principles that will be applied to the management of some aspects of the project.
Report	A written record or summary, a detailed account or statement, or a verbal account.
Review	A review is a critical evaluation of a deliverable
Risk	The potential of an action or event to impact on the achievement of objectives
Risk Management	A process that allows individual risk events and overall risk to be understood and managed proactively, optimising success by minimising threats and maximising opportunities
Risk Issue and Opportunity Register	A document listing identified risk events, issues, assumptions and dependencies and their corresponding planned responses
Stakeholders	The organisations or people who have an interest or role in the project, programme or portfolio, or are impacted by it
Stakeholder Management	The systematic identification, analysis, planning and implementation of actions designed to engage with stakeholders
Snagging	The process of inspection necessary to compile a list of minor defects or omissions in building works for the contractor to rectify.
Tolerance	A permissible variation in performance parameters

Sheffield and Rotherham Clean Air Zone OBC - Appendix - MC 3

Programme and Project Delivery Resource Estimate
V0.08

Assumptions:

ANPR Infrastructure and Back-office System procurement prior to FBC submission

That the Sheffield CAZ Charging Order is written and approved in advance of FBC submission (subject to confirmation of full CAZ ask award)

JAQU Informal confirmation of full OBC award offer in / by June 2019

PMO set-up from 1st July – triggered by above

JAQU formal confirmation of full FBC award July 2019

Start date 1st August 2019 to achieve completion by 1st January 2021
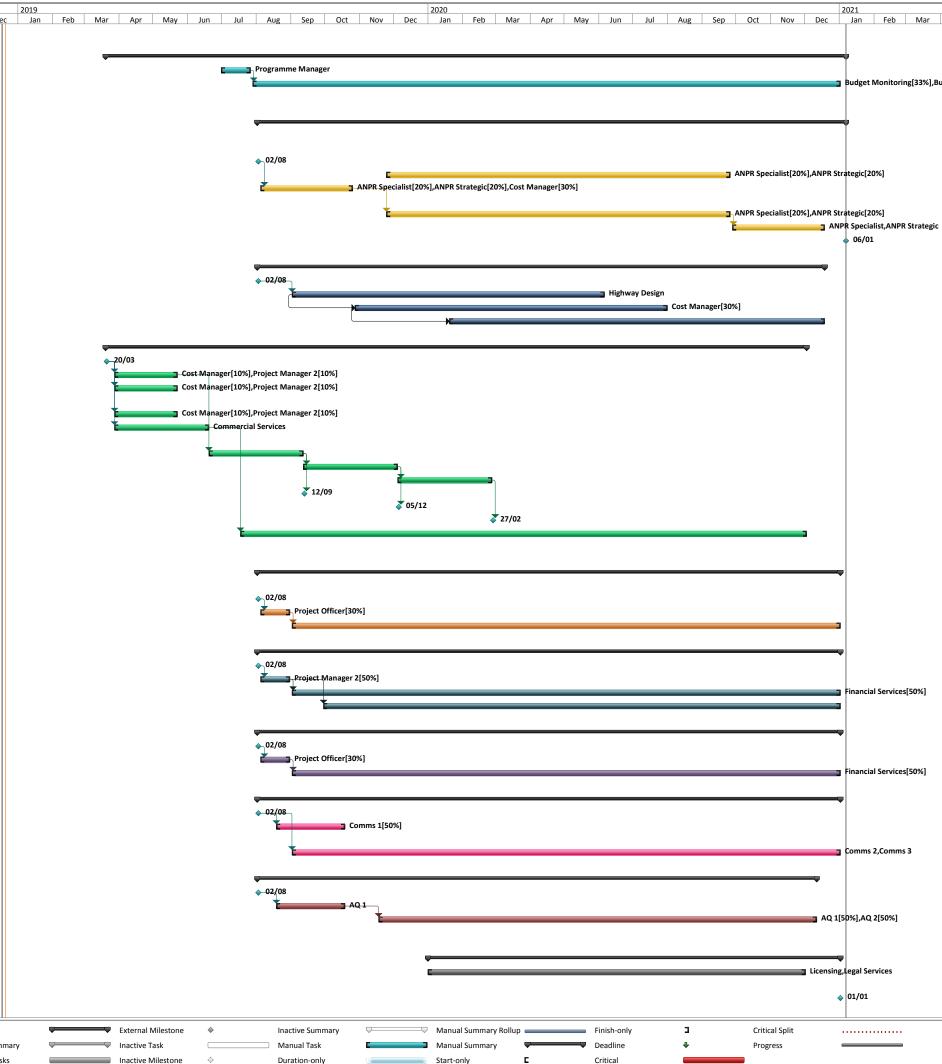
Description	< 1st July 2019 (6mnths)	2020 (12 months)	> 31st March 2021 (3 months)**	2018 prices	inc inflation (*6% total)
CAZ resource - SCC / RMBC shared					
Programme Manager (CDS) - 1 x FT equivalent	42,750	85,500	21,375	149,625	158,603
Project Management (CDS) - 2 x FT equivalent	99,996	199,992	49,998	349,986	370,985
Budget Monitoring (CDS) - 50 hrs / month	9,000	18,000	4,500	31,500	33,390
Business Support (CDS) - 100 hrs / month	12,000	24,000	3,000	39,000	41,340
Project Officer support (CDS) - 1 x FT equivalent	38,478	76,956	19,239	134,673	142,753
Stakeholder Coordination - 1 x FT equivalent	38,478	76,956	19,239	134,673	142,753
Cost Management - 1 x FT equivalent	42,750	85,500	21,375	149,625	158,603
Delivery partner back-fill admin fee				24,727	26,211
Commercial Services	12,000	24,000	6,000	42,000	44,520
Financial Services	24,000	48,000	12,000	84,000	89,040
Legal Services	12,000	24,000	6,000	42,000	44,520
Technical - Highways & Transport - design, supervision, maintenance contract management (AMEY)				75,000	79,500
Technical - ANPR quality assurance, specialist support and system integration to support client / senior user				140,000	148,400
Technical - ANPR -system - strategic systems integration / coordination				70,000	74,200
sub-total				**1,466,809**	**1,554,818**
Plus 15% RMBC (based on RMBC resource assessment)				220,021	233,223
sub-total				**1,686,831**	**1,788,041**
contingency allowance 20 %				337,366	357,608
Total				**2,024,197**	**2,145,649**

Rounded value - SCC **1,467,000**
Rounded value - RMBC **220,000**

* inflation & increments @ 2% / annum

** 3 month provision for handover / final accounts

ID	Task Name	Duration	Start
1			
2			
3	**Programme Management**	471 days	Wed 20/03/19
4	Set up CAZ PMO	20 days	Mon 01/07/19
5	Programme and Project Delivery	18.75 mons	Mon 29/07/19
6			
7	**ANPR Cameras Infrastructure and Back Office**	374 days	Fri 02/08/19
8	Approval Secured	1 day	Fri 02/08/19
9	Camera Installation	220 days	Mon 25/11/19
10	Back Office System Procurement	12 wks	Mon 05/08/19
11	Back Office Set up	220 days	Mon 25/11/19
12	Testing Period	12 wks	Mon 28/09/20
13	Commence Operations	1 day	Wed 06/01/21
14			
15	**Highways Infrastructure**	361 days	Fri 02/08/19
16	Approval Secured	1 day	Fri 02/08/19
17	Design Period	10 mons	Mon 02/09/19
18	Procurement	10 mons	Mon 28/10/19
19	Delivery	12 mons	Mon 20/01/20
20			
21	**ULEV Infrastructure**	446 days	Wed 20/03/19
22	Approval Secured	1 day	Wed 20/03/19
23	EMF Charger Procurement	8 wks	Thu 28/03/19
24	OLEV Charger Procurement	8 wks	Thu 28/03/19
25	CAZ Charger Procurement	8 wks	Thu 28/03/19
26	EMF Electric Taxi Trail Procurement	12 wks	Thu 28/03/19
27	EMF Charger Installation	12 wks	Thu 20/06/19
28	OLEV Charger Installation	12 wks	Thu 12/09/19
29	CAZ Charger Installation	12 wks	Thu 05/12/19
30	EMF Charger Operational	1 day	Thu 12/09/19
31	OLEV Charger Operational	1 day	Thu 05/12/19
32	CAZ Charger Operational	1 day	Thu 27/02/20
33	EMF Electric Taxi Trail Phase 1	18 mons	Thu 18/07/19
34			
35	**Non Cashable incentives - Taxi and LGV**	371 days	Fri 02/08/19
36	Approval Secured	1 day	Fri 02/08/19
37	Scheme Set Up	4 wks	Mon 05/08/19
38	Scheme Administration	350 days	Mon 02/09/19
39			
40	**Retro Fitting**	371 days	Fri 02/08/19
41	Approval Secured	1 day	Fri 02/08/19
42	Set Up	4 wks	Mon 05/08/19
43	Fund Administration	350 days	Mon 02/09/19
44	Vehicle Checks	330 days	Mon 30/09/19
45			
46	**Loans**	371 days	Fri 02/08/19
47	Approval Secured	1 day	Fri 02/08/19
48	Set Up	4 wks	Mon 05/08/19
49	Loan Administration	350 days	Mon 02/09/19
50			
51	**Communication Strategy**	371 days	Fri 02/08/19
52	Approval Secured	1 day	Fri 02/08/19
53	Procure Additional Resource	9 wks	Mon 19/08/19
54	Implementation	350 days	Mon 02/09/19
55			
56	**Monitoring and Evaluation**	356 days	Fri 02/08/19
57	Approval Secured	1 day	Fri 02/08/19
58	Procuring Resource	9 wks	Mon 19/08/19
59	Data Gathering and Modelling	14 mons	Mon 18/11/19
60			
61	**Legal and Policy**	263 days	Wed 01/01/20
62	New Taxi Policy Development	12 mons	Wed 01/01/20
63	Taxi Policy Implementation	1 day	Fri 01/01/21

Gantt bar labels:
- Programme Manager
- Budget Monitoring[33%],Business Support[65%],Programme Manager
- 02/08
- ANPR Specialist[20%],ANPR Strategic[20%]
- ANPR Specialist[20%],ANPR Strategic[20%],Cost Manager[30%]
- ANPR Specialist[20%],ANPR Strategic[20%]
- ANPR Specialist,ANPR Strategic
- 06/01
- 02/08
- Highway Design
- Cost Manager[30%]
- 20/03
- Cost Manager[10%],Project Manager 2[10%]
- Cost Manager[10%],Project Manager 2[10%]
- Cost Manager[10%],Project Manager 2[10%]
- Commercial Services
- 12/09
- 05/12
- 27/02
- 02/08
- Project Officer[30%]
- 02/08
- Project Manager 2[50%]
- Financial Services[50%]
- 02/08
- Project Officer[30%]
- Financial Services[50%]
- 02/08
- Comms 1[50%]
- Comms 2,Comms 3
- 02/08
- AQ 1
- AQ 1[50%],AQ 2[50%]
- Licensing,Legal Services
- 01/01

Project: CAZ Programme_V0_02_
Date: Fri 21/12/18

Task	Summary	External Milestone ◆	Inactive Summary
Split	Project Summary	Inactive Task	Manual Task
Milestone ◆	External Tasks	Inactive Milestone ◇	Duration-only

Manual Summary Rollup	Finish-only	Critical Split
Manual Summary	Deadline	Progress
Start-only	Critical	

Page 1

Mode	Funded Measure	Desired Impact	Key Indicators	Measured How	Responsibility
CAZ	Clean Air Zone	Cleaner fleets	Fleet in and around central Sheffield	Regular analsyis of ANPR from existing ANPR sites	SCC
Cars	None in the Preferred Option (H&M included later)	n/a	n/a	n/a	n/a
Taxis	Upgrading taxis to ULEV	Cleaner taxis	Number of electric taxis registered in Sheffield (black cabs & car-based)	Data from SCC's Taxi Licensing Team	
Taxis	Retrofitting SCC Black cabs to LPG	Cleaner taxis	Number of black cabs retro-fitted to LPG	Direct monitoring of the LPG scheme (plus data from SCC's Taxi Licensing Team)	
Buses	Improving the Sheffield Bus Fleet	Cleaner buses	EURO-mix of Sheffield's bus fleet (inc retro-fitting)	Collation of SCC bus fleet data	
Buses	Improving the Rotherham Bus Fleet	Cleaner buses	EURO-mix of RMBC's bus fleet (inc retro-fitting)	Collation of RMBC bus fleet data	
Buses	Improving the bus fleet on Arundel Gate	Cleaner buses on Arundel Gate	EURO-mix of the bus fleet using Arundel Gate	Analysis of ANPR data for Arundel Gate	SCC
Buses	Improving the bus fleet on Fitzwilliam Road	Cleaner buses on Fitzwilliam Road	EURO-mix of the bus fleet using Fitzwilliam Road	ANPR Data	RMBC
LGVs	Providing loans and incentives to LGV owners	Cleaner LGVs	EURO-mix of SCC's LGVs	Monitoring data collected as part of the funding & incentive schemes	SCC
Roads	Signal timings on Derek Dooley Way	Reduced emissions on Derek Dooley Way	Emissions modelling of 'Before and After' traffic conditions	Traffic & emissions modelling	SCC
Roads	Signal timings on Fitzwilliam Road	Reduced emissions on Fitzwilliam Road	Emissions modelling of 'Before and After' traffic conditions	Traffic & emissions modelling	RMBC
Roads	Junction improvements and bus priority to support bus diversion from Rawmarsh Hill	Reduced emissions on Rawmarsh Hill	Emissions modelling of 'Before and After' traffic conditions	Traffic & emissions modelling	RMBC
Roads	HGV Northbound on Wortley Road	Reduced emissions on Wortley Road	Emissions modelling of 'Before and After' traffic conditions	Traffic & emissions modelling	RMBC
Parking	Implement a revised parking policy in SCC	Reduced car use in central Sheffield (particularly for journeys with good PT alternatives)	None identified	n/a	SCC
Comms/H&M	H&M Campaigns - SCC	Reduced ownership and use of diesel cars, particularly in central Sheffield	Awareness of the need to reduce use of diesels/EURO mix of Sheffield car fleet/EURO mix of cars in central Sheffield	Before & After Monitoring of attitudes, DVLA data for SCC & RMBC,regular time series analysis ANPR data from central Sheffield	SCC
Comms/H&M	Targeting local goods vehicle owners (to encourage upgrading)	Reduced ownership and use of older diesel vans, particularly in central Sheffield	EURO mix of SCC LGV fleet/EURO mix of LGVs in central Sheffield	DVLA data for SCC & RMBC, regular time series analysis ANPR data from central Sheffield	SCC
Comms/H&M	Hearts & Minds/Ecostars on big HGV fleets	Reduced ownership and use of older diesel goods vehicles in the SCC/RMBC area	Reduced use of diesel by the targeted fleets	Before & After Evaluation of Ecostars campaigns	RMBC