



Construction and Refurbishment Projects

A Client Guide to
Construction Project Management



Award-Winning Excellence

In recent years, the University of York has solidified its reputation as a leader in innovative design and sustainable development, securing a suite of prestigious accolades that celebrate its campus." RIBA (Royal Institute of British Architects) Yorkshire Awards honoured the University's student residential schemes for their inclusive, forward-thinking architecture at Anne Lister in 2023. The Anne Lister and David Kato colleges also captured the Construction News MMC Project of the Year award, highlighting a world-class mastery of Modern Methods of Construction and off-site manufacturing.

Beyond new builds, the University has set a national benchmark for the sensitive restoration of 20th-century architecture. By winning the John Shannon Conservation Award and multiple York Design Awards, Estates have demonstrated a unique ability to blend Grade II listed heritage with modern performance standards. We have achieved "Excellent" ratings from the Considerate Constructors Scheme and have been recognised for our care of CLASP buildings such as Derwent P, and the University's development portfolio represents an award-winning synergy of heritage preservation, technical precision, and environmental stewardship.



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Introduction

This guide is aimed at providing project Clients and Stakeholders with a detailed insight into how construction and refurbishment development projects are delivered at the University and their roles and responsibilities.

Whilst involvement in a development project can be incredibly exciting and rewarding; it can also be an extremely daunting and stressful experience especially where it takes the individual outside their usual area of expertise. The main aim of this publication is therefore to help you to become an informed project stakeholder, reduce uncertainties, clarify expectations and give the best project experience for all those involved.



Robin Beattie
Assistant Director: Capital Development



Investing in your experience

From large value new construction projects to minor refurbishments, the Directorate of Estates is committed to delivering projects that enhance not only the appearance of our campus but most importantly, the student and staff experience and facilitate world-class teaching, learning and research.

- ❖ **Collaboration:** We work closely with all stakeholders concerned to ensure that the facilities delivered meet the client's desired requirements.
- ❖ **Process:** ISO9001 and 14001 Quality Management Systems certified, we aim to ensure that the client experience of all our works is one of a positive high standard.
- ❖ **Expertise:** Our experience covers all aspects of construction and maintenance. Together with our knowledge of sector innovations in learning spaces and technology we aim to develop campus to the benefit of all its users.
- ❖ **Support:** We recognise the constraints that older buildings can have on teaching and learning and strive support departments in their vision of how best to deliver the York pedagogy.
- ❖ **Place-making:** We are responsible for re-developing and expanding the University campus using the following guiding principles: teaching focussed learning environments, high quality research and enterprise space, a vibrant community, sustainability, efficient and effective organisation and engaging vistas and routes.
- ❖ **Wellbeing:** We enhance physical environments by integrating biophilic design, expanding accessible green spaces, and modernising existing facilities to encourage active movement, social connection, and mental and physical wellbeing of the entire community.

***Our aim:** To produce a high-quality campus environment which enhances the experience of all its users, and facilities that support students and staff in their individual living, learning and working, whilst maximising the efficiency of these spaces for the benefit to the University.*



Case Studies

York Campus Nursery

A modern nursery features spaces for up to 94 children with dedicated age rooms, sleep spaces, a sensory room, and outdoor play areas, creating a bright and welcoming environment for children. The nursery provides ample outdoor space for children of all ages, and seamlessly integrates with the natural surroundings, allowing children to immerse themselves in and learn from nature.

The location offers convenient amenities such as storage for buggies, bikes and bike trailers, as well as exclusive parking for nursery drop-off and pick-up. The expanded provision can now offer more spaces to children from the local community.



Translation and Interpretation lab, Spring Lane Building

A suite of seminar rooms designed, equipped and configured to enable fully flexible on-site, hybrid and remote interpreting and to act as a hub from which interpreting can be provided to other remote venues.



Student Study Space, Psychology

An inclusive and accessible student study space with desks and larger tables for collaborative study, and a sofa area and TV. This design is our template for the development of future study spaces across campus offering standardisation of quality and space.



Faculty of Arts and Humanities at Heslington Hall

A careful redevelopment of a spectacular Grade II listed building to host interdisciplinary teaching, engagement and research and a lively programme of events. A public gallery space was created alongside specific student social spaces.



Problem-Based Learning Suite, York Law School

Multiple equipped rooms allocated to individual 'firms' of law students gives a dedicated space for tutorials and formal and informal group working, whilst the adjacent open-plan space supports social learning, large group work, examinations and events.



York School of Architecture, Piazza

A refurbishment within the Piazza building with acoustic separation and the creation of a large open plan professional studio environment. A new bespoke model making workshop and BIM suite were installed, alongside improving the building's infrastructure.

Keys to Success

There are four essential factors that can impact the successful delivery of a project:

- ✓ Planning
- ✓ Stakeholder Engagement
- ✓ Communication
- ✓ Change Control

These factors are all intrinsically linked and therefore all are necessary for a project to be truly successful.

Planning

It is vital that time is spent at the start of a project exploring the functionality of a space, its proposed use(s) and users and its context within the existing University Campus. Good planning offers increased chance to successfully deliver stakeholder requirements and importantly, minimises the potential for significant changes and costs. Work that can be factored in or re-designed from the outset is far more cost effective than retrofitting at a later stage in the project.

Client Brief – this document is required in order to initiate a project. See overleaf for key considerations.

Business Case – the client brief must be supported by a robust business case in order for funding to be released at key project stages. The business case should also include clear, expected benefits that the project will deliver. These benefits will form part of a post-project review and may inform future investment.

Stakeholder Engagement

Stakeholder – “An individual, group or organisation, who may affect, be affected by or perceive itself to be affected by a decision, activity or outcome of a project.” (Project Management Institute, 2013)

A stakeholder’s direct interest in a project can vary at different stages of the project lifecycle. The Project Manager will make an informed decision of which stakeholders need to be involved at each stage. The Client is responsible for consulting and engaging with end users in creating the Client Brief. Involvement of too many groups at one time can result in conflicting aims and can lead to delays, particularly on large-scale projects.

Considerations for a Client Brief

Function

- What works/processes will be taking place in the facility
- Users of the facility (department, general University, conferencing, commercial services, industry, visitors)
- Any special requirements for the facility

Capacity

- Number of people to be accommodated now and in the future
- Peak-time and most frequent capacities
- Capacities should indicate whether tables/desks are to be included in space considerations. A room for 20 chairs with flip over tablets is significantly smaller than a room for 20 chairs with desks.

Access & Security

- Who will require access to where and when
- Any areas requiring additional security above standard card access

Co-locations

- People/functions/facilities/equipment that need to be located adjacent or close to each other
- Which of these is a priority and which a ‘nice to have’

Equipment & Services

- What services (power, water, gases, drainage, ventilation) are required for which equipment in which spaces
- Specific access requirements for any pieces of equipment (e.g. double-width access door)
- Specific loading or stability requirements (e.g. granite topped optical lab desks needing to be located on the ground floor)

Environment

- Vision of how space/facility will look and feel

Success Factors & Benefits

- How will you assess if the project has been successful
- What benefits should the project bring once complete

Timescales

- Deadlines impacting the project (e.g. funding to be spent by, start of term, event, etc.)
- Priority of these if more than one – which areas/facilities are to be prioritised in a worst-case scenario

Impact & Risk

- Impact if works not complete on time/risk to normal University business/reputation
- Impact on people with protected characteristics who will use the space immediately or in the future
- Potential contingency plans/alternative options
- Revenue generation v. Running costs v. Benefits

Unsuccessful or unsatisfactory projects can often be traced back to poor stakeholder engagement. In short, *what comes out of a project is usually a direct reflection of what is put into it*. The more information that can be provided by Stakeholders during the briefing and planning stages, the more realistic the project scope of works, and more robust the early risk, impact and financial assessments will be, along with increased likelihood of a successful project.

The Client is responsible for identifying and highlighting to the Project Manager:

- ❖ Related services, access and facilities
- ❖ Events which may be affected by works
- ❖ Potential clashes with day-to-day University business
- ❖ Specific adaptations required under the Equality Act (2010)
 - ❖ The Project Manager will initiate the Equality Impact Assessment for the project, but responsibility to ensure it is informed by data from interested staff, students and visitors remains with the Client.

Once the project team have a fully developed brief and scope these are used for determining the overall project budget. Any change after this point requires different levels of financial approval and can cause significant delays and unexpected increased costs which will affect the financial viability of the project.

Initiating a Project

Once you have created a brief you can initiate a project by following these steps:

1. Obtain faculty approval from Dean or Director of Faculty Operations,
2. Visit the [Facilities Helpdesk](#) webpage,
3. Under the section "Change it" select Project Request and complete the form



Change Control

Even with the most diligent planning, change is an inevitable part of projects. Two things can affect the consequence of change:

- 1) The type of change
- 2) The stage at which the change is requested

All change requests must be made through the Project Manager.

No matter the scale of the change requested, each one will be assessed before it will be accepted by the Project Manager.

Changes can be rejected as impossible to accommodate if introduced too late in the process. The end result will be a project that does not deliver the desired outcome.

The later in a project lifecycle a change is requested, the more expensive, time consuming and difficult it can be to accommodate

Communication

Communication can make or break a project. Even the smallest of projects can go horribly wrong with poor project communications. The Project Manager is the linchpin for co-ordinating the Client, the Stakeholders, the Design Team, the Contractor(s) and any third party involvement.

Project success is predicated on thorough internal consultation. The Client is responsible for engaging all end users to ensure that the end result meets expectations.

Early engagement prevents "scope creep." By identifying user needs before the design is locked in, we ensure the project remains robust, realistic, and aligned with University business objectives

Communication Responsibilities

Project success is predicated on thorough internal consultation. The Client is responsible for engagement and consultation with end users from the briefing stage and throughout the design phase to ensure that all requirements are met.

In addition to the initial brief, the Client and designated Stakeholders act as the vital link between the project team and the wider organization. Responsibilities include:

To maintain project momentum and alignment, the Client and Stakeholders are a vital link between the project team and the wider community, and are responsible for:

- ❖ Consulting with users to gather diverse end-user opinions to inform a thorough and realistic design scope
- ❖ Controlling the flow of information to disseminate project progress updates to respective affected groups
- ❖ Proactively collecting team feedback and reporting it to the Project Manager in a timely manner
- ❖ Consolidating internal requirements to provide the Project Manager with a single, clear direction in the Client Brief.

A good way of gathering input and feedback on project proposals is to consult the users 'at the coalface' - those who use, maintain, run, repair the building, facility, space on a day-to-day basis. Their knowledge and experience of what works and any issues with existing facilities is often invaluable, together with practical suggestions for how improvements could be made.

All communication **MUST** be channelled through the Project Manager. Consultants and Contractors should not contact Stakeholders directly and vice-versa, unless specific permission has been given by the Project Manager.

Failure to communicate through the Project Manager makes the project harder to manage and can lead to contractual and liability issues, escalating costs, increased risks and delays and potential project failure.

The Project Manager can facilitate conversations with interested internal technical teams, such as IT or Audio Visual, who will be key in providing ongoing support when the project is finished.

During the consultation, the client may wish to engage with the following groups who can be overlooked until too late in the design process for changes to be made:

- ❖ Security and access teams
- ❖ Student groups, especially those outside the York Student Union structure
- ❖ Disabled staff and students who use the space, and wider disabled networks
- ❖ Regular logistics and delivery drivers
- ❖ Lone workers
- ❖ Facilities support teams, such as cleaning, reception, and anyone who uses the space or surrounding areas to support University activities

The Project Lifecycle

In line with the RIBA (Royal Institute of British Architects) industry standards, the development project lifecycle is divided into eight sequential stages.



Client's **Business Case** and **Project Brief** outline the strategic aims of the project and other core project requirements.

Apply for funding

Develop **Project Objectives**, including **Quality Objectives** and **Project Outcomes**, **Sustainability Aspirations**, **Project Budget**, other parameters or constraints. Further develop **Project Brief**. Undertake **Feasibility Studies** and review of existing **Site Information**.

Apply for funding

Prepare **Concept Design**, including outline proposals for structural design, building services systems, outline specifications and preliminary **Cost Information** and **Design Programme**. Agree alterations to brief and issue **Final Project Brief**.

Prepare **Developed Design**, including coordinated and updated proposals for structural design, building services systems, outline specifications, **Cost Information** and **Design Programme**.

Prepare **Technical Design** to include all architectural, structural and building services information, specialist subcontractor design and specifications, in accordance with **Design Programme**.

Apply for funding

Offsite manufacturing and onsite **Construction** in accordance with **Construction Programme** and resolution of **Design Queries** from site as they arise.

Handover of building and conclusion of **Building Contract**.

Undertake any internal operational and maintenance tasks and training prior to handover of facilities to end users. Rectification of defects and agreement of final account. **Post-Project Review** to evaluate success of project and efficacy of investment.

Whether a Client, User Representative or other project stakeholder – you will be expected to be involved in some, if not all, of the above stages to varying degrees. For minor works projects, the early stages of the lifecycle may be condensed into one and/or the project may go out to tender on outline proposals only. The level of detail and duration of each of these stages will depend on the scope and scale of the works involved in the project. A table of example project timescales is shown below however, it should be noted that these are for indicative purposes only and projects will be assessed on a case by case basis.

Indicative Time Periods

Please note that these are indicative timescales only and each project will need to be programmed according to its own requirements and complexity. Please also note that is planning permission is required for a project, this can take up to 12 weeks following submission of the planning application

Project type	Example	Typical value	Time period (weeks)			
			Stages 1 - 5	Tender	Construct	Total
Small works	Office redecoration 20m ² , paint, carpet lights	£5-40k	c.3	up to 6	c.5	c.14
Minor works 'revenue'	Re-order 50m ² –100m ² , partitions, lab benching, mechanical vent, paint, flooring, lights	£40-250k	c.8	up to 8	c.10	c.26
Minor works 'capital'	Full refurbishment and change of use of a floor of a building including partitioning, new toilets, all internal finishes, 800m ²	£250k-1m	10 - 15	8 - 20	8 - 20	26 - 55
Major 'capital'	Full refurbishment of listed building	£1m +	16 - 30	8 - 30	12 - 60	36 – 120



Roles and Responsibilities

The typical composition of a project team and its roles on a large strategic project are described below. This will vary on a project by project basis and for many of our minor projects the stakeholder group will be very small indeed. The size of the project dictates which of the following meetings are required, but documented evidence of decision making is required to meet project governance requirements.

Project Sponsor

- Responsible for the business case for the project and for ensuring the anticipated benefits outlined therein are realised by the project (for example improved student experience, reduced complaints, etc.).
- Has the authority to influence/regulate and adjudicate between conflicting stakeholder requirements at University level.
- Usually a member of the University's Senior Management Team.
- Makes recommendations for budget increases to University management if required.

Project Manager

- Responsible for delivering the project and its outputs: 'deliverables'.
- Acts on behalf of and represents the University, has the duty of ensuring the Project is to the University's satisfaction, safeguarding its interest at all times, and giving consideration to the needs of the eventual user of the facility.
- Co-ordinates and manages different disciplines and expertise, to satisfy the objectives and provisions of the project brief from inception to completion.
- Performs the overall day-to-day management of the project to ensure that project deliverables are achieved within time/cost/quality constraints, whilst managing stakeholder expectations.
- Reports project progress to the Project Board (depending on project size/complexity) to ensure the project's overall direction and integrity is maintained.
- Alerts the Project Board to emerging risks and potential means of mitigating them.

Client(s)

- Usually the initiator of the project request.
- May be more than one, with conflicting requirements.
- Active stakeholders and funders often considered clients.
- Agreeing realistic timelines for Project Manager to meet CDM client duties (construction, welfare facilities)



Design Team

- Specialists in their respective fields responsible for designing a solution that will meet the agreed standards and specifications within the agreed budget and timeframe constraints.
- Typically includes Architect, Mechanical & Electrical Advisor, Quantity Surveyor/Cost Consultant and Contract Administrator/Employer's Agent.

Stakeholder(s)

- Anyone with an interest in, or impacted by, the works or deliverables of a project.
- Some stakeholders will be actively and directly involved in the project, others merely need to be kept informed of the project ("passive stakeholder").
- Active stakeholders will usually include the following: Client Representative(s), Estates Operational Champion (representing Estates Electrical, Mechanical and Building Engineers), Maintenance Manager, University Fire Officer, IT Services and Telephony, Campus Safety, Asbestos Manager, BMS (Building Management Systems) Manager and User Representatives (if different from Client Representatives).

Project Board / Steering Group

- Responsible for supporting the Project Sponsor in the delivery of the business case and anticipated benefits of the project.
- Monitors the project with regards quality, time and budget.
- Considers and rules on project issues that cannot be resolved at Working Group level.
- Typically includes Project Sponsor, Project Manager, Head of Client Department, Director of Property Services & Campus Development.
- Provides direction and guidance on matters of policy.
- Approves all major plans and authorises any major deviation from the agreed plan subject to financial approval by University Senior Management Team. As appropriate.
- Negotiates a solution to any problems between the project and external bodies.
- Provides overall guidance and direction to the project, ensuring that it remains within specified constraints.
- Signs off the completion of each stage and authorises the start of the next stage subject to financial approval being obtained from University Senior Management Team as appropriate.
- Ensures that the required resources are committed to the project.
- Arbitrates on any conflicts within the project.
- Can approve financial variations within an approved budget but must escalate budget variations to relevant University senior management.



Design Team Meeting

- Typically includes Design Team representation, Contractors, Client/User representatives and active Stakeholder representatives (listed above).
- Decision-making abilities up to delegated authority limit for financial spend and refers to and reports into the Project Board.
- Regular meeting held by the delivery team to discuss project progress and receive updates from consultants / contractors.
- Risks are identified and managed and escalated as appropriate to the Project Board / Steering Group.

In Use

The final phase of the project lifecycle is two-fold:

- i) closing out any remaining snags or defects that arise post-occupation
- ii) reviewing the project, its deliverables and benefits to identify good practice and identify any lessons to be learned.

Defects and issues arising



As part of the handover process, the arrangements for the reporting, handling and rectification of any defects that occur once the users have moved in are agreed with the Contractor(s) and communicated to the Stakeholders. Users are requested to report any defects or issues that arise through the Estates Facilities Helpdesk on extn. 5555 or via the website at

www.york.ac.uk/admin/estates/operations/business/helpdesk/index.html.

The duration of the defect period (the time through which the Contractor is contractually liable to return to site and rectify the defects) varies depending on the type of the contract under which the works were delivered.

Post-project review

Following the completion of the project, we are keen to receive feedback on how the project has gone, on the Client's and Stakeholders' experiences and whether the envisaged deliverables and benefits have been achieved. The type of post-project review depends on the scope of works that have been carried out, but we are proactively seeking feedback and identification of good practice and lessons learned.



Project close

Once the defect period has passed and the final account agreed (and any retention monies released), the project will be closed and the facility becomes maintained as part of University normal operations.



Glossary

A	Abortive Costs	Costs incurred if a design is changed significantly to warrant the existing design to be redone
B	Benefits	The improvements (for example in service delivery, environment, facilities, etc.) that are expected to arise from the successful completion of the project
	BSA	Building Safety Act 2022, gives safety framework for design, construction and management of buildings.
C	CDM	Construction Design & Management Regulations 2015, issued by the Health & Safety Executive
	Change Control	The process by which changes to project designs and/or specifications are requested, assessed for their impact, decided upon and recorded
	Change Request	A request for an amendment to the existing/proposed design and/or specification
	Client	The requestor of the works
	Clerk of Works	Independent professional who oversees works on site and inspects installations on behalf of the Project Manager
	Commissioning	The testing of services and equipment that are either newly installed or have been isolated during the works to ensure that they are fully working and compliant following the works
	Condition Survey	Report detailing the current state of an asset
	Configuration Management	The tracking, control and recording of any changes made to a Management building, its facilities or services as part of a project
D	Defect	A fault requiring rectification
	Defect Period	The period in which the contractor is responsible for rectifying defects in the project deliverables
	Deliverables	The physical outputs of a project

	Design Team	Specialists in their fields contracted to design a solution that will meet the client and stakeholder needs within the defined budget and timescales
F	Feasibility Study	Assessment of whether proposed works are possible practically, financially, operationally, strategically and from a health and safety perspective
	Futureproofing	Adding a degree of flexibility into a design or not making a design so bespoke as to be very costly to amend should the future function of a space/facility change
I	Impact Assessment	Identification of items, areas, people, facilities and services that are likely to be affected by the project works on site; assessment of the likely impact and identification of mitigation measures where appropriate
	Instruction	The formal issues of an agreed change request to the Contractor for implementation on site
M	Mobilisation	The setting up of the contractor's site including the area of works and any compound and waste areas required
O	Operational Champion	Representative from Estates Operations who attends project meetings with the role of feeding back to the various Operational & Maintenance sections within Estates Operations and feeding their requirements into the project
P	Practical Completion	When all the works described in the contract have been carried out
	Pre-start Meeting	Meeting held before the appointed contractor starts work on site, to confirm all the necessary arrangements for the works on site
	Project Board	Executive board level group which oversees the project with regards quality, time and budget; and provides overall guidance and direction to ensure the project remains within specified constraints
	Project Manager	Member of the Estates Development Team appointed to manage the project (and ensure its deliverables) in the interests of the University
	Project Sponsor	Responsible for the business case for a project and for ensuring the required benefits are delivered. Usually a member of the University's Senior Management Team
Q	Quantity Surveyor	Qualified professional appointed to manage all costs relating to Surveyor building and civil engineering projects, from the initial calculations to the final figures

R	Retention	Monies held back from the Contractor for the duration of the defect period to cover any additional defect costs not met in the contract
	RIBA	The Royal Institute of British Architects. For RIBA stages see p.11
	Risk Assessment	Identification of risks that may impact on a project, and assessment of the likelihood of the risk occurring and the impact that it would have on the project. Typical risk categories include quality, health & safety, financial, delivery, resources and schedule.
	Risk Register	A tracking document that records all risks identified, their likelihood of occurrence, likely impact, mitigation measures and risk owner
	Risk Owner	The person responsible for monitoring and managing a risk (through mitigation measures where applicable)
	Room Data Sheet	A schedule detailing all the requirements of a room: services, function, number of users, layout, size, power, data, security, furnishings etc.
S	Scope of Works	The extent and detail of the works to be carried out including any enabling works and surveys
	Snagging	Checking of works carried out to identify any defects requiring Rectification
	Stakeholder	Anyone with an interest in, or impacted by, a project and its works
	Steering Group	Head of Department level group which oversees the project with regards quality, time and budget; and provides overall guidance and direction to ensure the project remains within specified constraints
T	Tender	A formal document that is used by the University to invite suppliers to submit a competitive bid to deliver defined work
V	Value Engineering	Review of the designs and specifications to see where alternatives could be used and identifying where savings could be made
	Variations	Changes to designs, plans or specifications that have been agreed by the Project Manager and formally instructed to the Design Team/Contractor to be implemented
W	Works Request	Request submitted by a department for project work to be carried out.



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<https://www.york.ac.uk/about/departments/support-and-admin/estates-and-campus-services/>



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