DEEP DIVE REVIEW

EAST BANK PROGRAMME CONTROLS

STATUS: FINAL

Date of review: July 2018
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CONTENTS

1   CONFIDENCE RATING

Introduction to confidence ratings

The review provides three separate assessments of confidence in line with the way the programme is being managed and controlled. There is a single rating for the overall programme which covers the controls in place to support the East Bank Programme Board in providing programme oversight. There are two separate assessments for each of the projects.

East Bank Programme	AMBER-GREEN
Confidence rating (post-action plan)	AMBER-GREEN

The review considered the East Bank programme controls around reporting and risk. The programme incorporates both the UCLE and SWF projects, therefore this review considers the extent to which reporting and control information from the projects is fed up to the programme level in a way that supports effective and timely decision-making. The overall governance structure for the programme is set out in the scope for this review, at page 14.

Whilst the East Bank Programme Board (EBPB) has a significant role and has been successful in getting the programme to the point of business case approval, the focus of the Board and supporting controls will need to shift to cover greater oversight of time, cost and quality during the construction phase.

In line with our findings on the SWF project, the controls documentation at programme-level needs to match current practice, otherwise there is a risk that it will undermine effective controls. This would be supported with clarity around the hierarchy of definitions and controls documentation so that people working on the programme know what is defined where, and what takes precedent. This includes the RAG definitions, raised in the report. Further, the programme report needs to be able to show progress against a baseline.

The current delivery confidence relating to programme wide controls is Amber-Green. The review team found programme level controls sufficient for the current stage of the programme and although some issues exist, they are unlikely to significantly impact delivery of the programme. There are no 'Critical' recommendations and seven recommendations in total.

Stratford Waterfront Project	AMBER-GREEN
Confidence rating (post-action plan)	GREEN

This review considered the application of programme controls across the Stratford Waterfront project (SWF).

SWF is being led by LLDC and includes the participation of four partner organisations; University of the Arts London (UAL), the Victoria & Albert Museum (V&A), Sadler's Wells and the BBC. The development consists of six different buildings, one for each partner plus Carpenters Land bridge and the Podium, Public Realm and Retail spaces. Project management and construction management are provided by MACE. The governance structure is shown in Appendix A.

Generally, there are well established and mature controls in place. The review team found that the control environment was broadly in line with what was required for the project in its current phase. However, we have four concerns:

- Some changes are needed to reflect the project moving to a new phase and the MPS (Managed Packaged Solution) arrangement with MACE.
- The controls documentation does not match current practice in some areas, raising a risk that it could undermine effective controls.
- The design and change control processes may not be fit for the volume of expected changes. The implication of this being project delay due to lack of float. Completion of transactional modelling of the design and change control processes to assess capacity required to meet demand i.e. stress testing, will support the programme in understanding what is required for delivery.
- Project Board meetings need to follow the PSR content, so that the focus is on reporting against expected progress and what needs to be done to get back to or stick to schedule.

The current delivery confidence relating to project controls is Amber-Green. Where the concerns identified are addressed, there is unlikely to be any significant impact on delivery of the programme. There are no 'Critical' recommendations and there are 18 recommendations in total.

UCL East Project	RED
Confidence rating (post-action plan)	AMBER-GREEN

The UCL East project which includes Marshgate (MG1) and Pool Street West (PSW) is being managed in UCL as part of a wider UCL East programme. The UCL East Infrastructure Project Board (IPB) is responsible for the delivery of the two buildings within the MG1 and PSW projects. The programme also includes an Operations Board (building usage) and an Academic Board (academic planning). Project management is provided by WSP, and the project is supported by several other professional advisors. The project governance structure is shown in Appendix A.

In summary, we were pleased to see:

- That there has been significant change in the management and leadership of the programme in recent months, which is having a positive impact on its control and management;
- A recent shift in the emphasis being placed on reporting through highlighting critical risks and issues across the project at recent IPBs; and
- An external review had been commissioned to assess the project position and consider options going forward. This will also comment on the appropriateness of the project control environment.

This report raises several concerns, specifically;

- At the time of review, serious challenges had been raised in relation to the feasibility of whether MG1 can be delivered against the programme and budget;
- The expected processes and controls for the project and programme do not appear to be well designed, documented, and operating in practice. This weakness may have contributed to the challenges MG1 is now facing in completing RIBA Stage 3 design;

- Across project and programme reporting it is unclear whether the performance of the projects and programme are being reported accurately or effectively to support decision making or corrective action;
- The demarcation between the accountabilities of the client roles, WSP project management role, and the differing roles undertaken by other professional advisors is unclear. This is reinforced by potential gaps in the commercial obligations between the client, WSP and other professional advisors; and
- A significant number of outstanding recommendations from previous assurance reviews would appear not to have been implemented.

The current delivery confidence that the project is utilising controls in a way that supports successful delivery of programme objectives, outputs and approach is Red. Whilst the Review Team recognised that there have been a number of positive interventions (for example the appointment of a Deputy Director of Estates who is now accountable for delivery and the independent review conducted by Turner and Townsend), there are significant issues which do not appear to be resolvable without fundamental reappraisal. At the time of our fieldwork, the review team could therefore not be confident that all the issues are recognised and there is a plan for them to be addressed, particularly in a project which is time critical. There are five 'Critical' recommendations and 15 recommendations in total.

Confidence rating descriptions

RAG Scale	Confidence rating description
Green	On track; there are no significant risks or issues
Amber/Green	Broadly on track; some issues exist, but they are unlikely to significantly impact delivery of the programme
Amber	At risk; multiple significant issues and some critical issues exist that, if not addressed, will impact delivery of the programme, but that are addressable through normal action planning
Amber/Red	At significant risk; there are multiple critical issues that will affect programme deliverability if not urgently addressed
Red	At critical risk; there are multiple critical issues(s) that affect programme deliverability, and which do not appear to be resolvable without fundamental reappraisal

2 SUMMARY OF REPORT RECOMMENDATIONS AND ACTION PLANS

The following tables set out the Review Team's recommendations which are prioritised using the definitions below. Note that we have deliberately sought to limit recommendations to those that we believe will have the biggest impact. The table also includes the action plans which will be produced by UCL and LLDC to address the findings and recommendations made in this report. The recommendations follow the same structure as the Confidence Rating section above, with a table for each of the East Bank Programme, SWF, and UCLE respectively:

2.1 East Bank Programme

Ref. No.	Recommendation	Priority	Action	Owner	Delivery Date
1(a)(i)	The programme should ensure that there is an appropriate level of risk information shared from each project.	Essential	Programme Risk Register to include risk information from UCL, SWF and risk heat maps from new Partners.	Oliver Shepherd	Feb-19
1(a)(ii)	The programme should improve the accuracy of reporting of risk proximity. Where possible the risk velocity assessment should be supported by an indicative risk impact date.	Recommended	Additional proximity bands to be added for greater granularity on when controls need to be in place. Velocity and proximity to be distinguished on the risk register.	Oliver Shepherd/ s.40	Nov-18
1(a)(iii)	Document the programme-wide risk management controls.	Essential	The PRR process will be reviewed, updated and shared more widely with UCL and SWF project teams. To be updated to include process for Partner heat maps.	Oliver Shepherd/ s.40	Dec-18
1(b)(i)	As EBPB is the most suitable forum to challenge and assess programme, cost, time and quality the TOR should be strengthened to ensure this happens.	Essential	East Bank Programme Board is the appropriate forum. Terms of Reference to be updated to include oversight of time, cost and quality during the construction phase and ensure supporting management information is provided.	Rachel Massey	Mar-19
1(b)(ii)	Identify a set of baseline milestones for the programme against which progress can be tracked.	Essential	A set of baseline milestones will be identified and agreed with the UCLE and SWF project teams. Developed and expanded from the new Rev 6 key milestones and UCL milestones to be incorporated.	Rachel Massey	Jan-19
1(b)(iii)	Define the RAG statuses for the monthly East Bank Programme Report and introduce a narrative that explains the overall	Essential	A set of RAG statuses will be defined and will reflect those being developed at SWF project level and UCLE project level.	Rachel Massey	Jan-19

Ref. No.	Recommendation	Priority	Action	Owner	Delivery Date
	position of the programme and the rationale for any RAG changes, where they have occurred.				
1(c)	Ensure that existing programme controls documents are reviewed and updated to capture; • Roles and responsibilities of programme-wide delivery functions, meetings and groups; • Use, purpose and quality standards of each core control document where appropriate; • Interdependencies between key controls; and • Both the current future needs of the programme, and associated risks. The document(s) should be periodically reviewed and monitored moving forward.	Essential	A reference document of programme controls will be developed which reflects the controls in place for UCL and SWF. Once developed these will be communicated with UCL and SWF teams.	Rachel Massey	Mar-19

2.2 Stratford Waterfront Project

Ref. No.	Recommendation	Priority	Action	Owner	Delivery Date
1(a)(i)	Fully define the controls to support the MPS. Ensure they are aligned with other controls around risk, contingency and reporting. This should include how they will work in practice i.e. how performance will be tracked against agreed plans and how corrective action be undertaken as required.	Essential	A scope of service is being developed for the procurement of a commercial assurance consultant. A control framework for the MPS will be developed in conjunction with the commercial assurance.	Dave Thomson	Mar-19
1(a)(ii)	Fully define the controls to support the incentivisation model. Ensure they are aligned with other controls around risk, contingency and reporting. This should include how they will work in practice.	Essential	Management and reporting of change to the incentivised baseline and forecast incentive payment to be agreed and documented.	Dave Thompson	Dec-18
2(a)(i)	Ensure that actions are reinforced at the end of each design meeting in terms of the outcome that is required for the next design meeting. Actions should be agreed between the design team and partners.	Essential	Issues and actions for all partners are to be captured at each design stage and resolved.	Peter Maxwell	Jul-19 (end of stage 4)

Ref. No.	Recommendation	Priority	Action	Owner	Delivery Date
2(a)(ii)	Definitions of design development and change control to be included directly in key control documentation. Ensure reminders about key terms that drive design are communicated during sessions.	**Essential**	Definitions of design development and change control are in the AFLs and have been explained to the partners at each RIBA stage during Project Board Meetings and these have been repeated during the stage. For Stage 4 this will be formally recorded within the project controls documentation,	Peter Maxwell	Nov-18
2(b)	Review and update the change control process to: • Accommodate an increase in volume and support expedient decision-making. • Reflect agreed changes to change control practice. • Cater for change approval requirements for procurement and construction. Model the process to test efficiency against volume changes. • Include the roles and responsibilities of the partners as appropriate.	**Essential**	The change control process will be revised to accommodate the volume of changes. The financial delegations will be reviewed concurrently and amended if required.	Rachel Massey	Dec-18
2(c)(i)	Define the RAG statuses used in the PSR.	**Essential**	RAG status for the PSR to be developed to mitigate subjectivity.	s.40	Nov-18
2(c)(ii)	Ensure that the narrative explains the overall position of the project and explains the rationale for any RAG changes where they have occurred.	**Essential**	Narrative will include detail on any significant status changes.	s.40	Nov-18
2(d)	Ensure that any changes that have occurred during the time lag between PSR production and use, should be captured and reported at the Project Board. Include the PSR as a standing item on the Project Board agenda.	**Essential**	The PSR will be included as a standing agenda item at Project Board and any significant developments since the PSR will continue to be flagged at Project Board meetings.	Greg Smith	Oct-18
2(e)	Ensure that existing controls documents are reviewed and updated to capture; • Roles and responsibilities of team delivery functions, meetings and groups; • Use, purpose and quality standards of each core control document where appropriate; • Interdependencies between key controls; and	**Essential**	The PDP and Processes and Procedures documents capture the controls on the programme. These documents will be updated in Nov 18 in line with the implementation of the new reporting platform and any stage 4 requirements.	s.40	Nov-18

Ref. No.	Recommendation	Priority	Action	Owner	Delivery Date
	• Both the current future needs of the project. The document(s) should be periodically reviewed and monitored moving forward.				
2(f)	Review the building-level reports and agree their content and purpose, including: • Their role in terms of reporting between MACE and LLDC. • RAG statuses and definitions to be implemented based on the data sets in the new Reporting Platform. • A narrative that sets out the building position.	Essential	RAG ratings and supporting narrative will be included in each section of the monthly PM report. The new online Reporting Platform to be introduced in Nov 18 will have objective automated RAG statuses. The PDP and Processes and Procedures documents will be updated to capture changes from the new online reporting platform.	s.40	Nov-18
2(g)(i)	Update the approach to identify the timing of risk (early warning indicators) so there is a better assessment of how much time is available to take action.	Recommended	Timing of all risks will be implemented in the project risk register during the October risk register update cycle.	s.40	Oct-18
2(g)(ii)	Agree the allocation of risk and contingency between construction and fit out for those packages where accountability transfers to partners.	Essential	An initial split of the V&A QRA for construction and fit-out has been implemented in the September QRA. This QRA split will be agreed/finalised with the V&A as part of the e/o stage 3 position.	s.40	Sept-18
2(g)(iii)	Agree a schedule of partner risk reviews.	Recommended	Partner risk reviews will occur bi-monthly (and as required) during stage 4.	s.40	Oct-18
2(h)(i)	Ensure that the implications of baseline programme post RIBA Stage 3 are understood and agreed with LLDC and partners. This should include float, schedule, critical path and time contingency, which should also be defined in controls documentation.	Essential	Independent assurance of the rev 5 programme is being undertaken. Partners will be briefed on the rev 6 programme, float and critical path including any time contingency in project activities.	Greg Smith	Nov-18
2(h)(ii)	Ensure that RAG ratings are designed to serve as early warning indicators for schedule.	Essential	RAG ratings to be developed as part of new reporting system	s.40	Nov-18
2(h)(iii)	Ensure there is reporting on schedule at both programme and project / building level.	Essential	Reporting on schedule at all levels to be developed as part of the new reporting system.	s.40	Nov-18

Ref. No.	Recommendation	Priority	Action	Owner	Delivery Date
2(i)(i)	Define and agree partner roles and responsibilities in conjunction with the ongoing development and implementation of the MPS and construction.	**Essential**	The AFLs set out roles and responsibilities. The Partners were briefed in September 2018 on the MPS, NEC and design quality management. It will be reflected in the PDP too.	Greg Smith	Sept-18
2(i)(ii)	Agree a mechanism and the controls to capture partner concerns, actions and decisions.	**Essential**	Issues trackers are in place and will evolve and be refined for use in the construction phase.	Greg Smith	Jul-19 (end of stage 4)

2.3 UCL East Project

Ref. No.	Recommendation	Priority	Action	Owner	Delivery Date
1(a)(i)	Define and document the controls for the design development and review process. This should include the communication of timescales for activity and processes for rejection and acceptance of design changes. The process should highlight when key participants (project, academic and operations) are required to contribute.	**Critical**	Process for closing out RIBA 4a (shell & core) and RIBA 3 (fit out) defined in conjunction with key stakeholders in Aug 2018, including review of mid stage design proposals, agreed design changes and proposed dates for end stage presentations.	UCL	Complete
	The project should obtain and communicate understanding of the resource commitment needed from key participants ahead of key design activities / sessions. These commitments should be monitored in terms of whether they are being made available and escalated via champions (or appropriate governance route) where they are not met. This will enable corrective action to be taken as appropriate. A RACI matrix approach (Responsible, Accountable, Consulted, Informed) may help provide clarity on roles and responsibilities.		Stakeholder engagement for RIBA 4 (managed by Mace) is being developed by Turner & Townsend for agreement in Oct 2018 and implementation from Nov 2018 onwards.	T&T	Nov 18
1(a)(ii)	The critical path for design approved for RIBA Stage 3 and the subsequent stages should be the baseline control.	**Critical**	Critical path agreed and close out plan agreed with all parties in Aug 2018.	UCL	Complete
1(b)(i)	Update the project change management process and controls to include the interface with the professional advisors' processes and the use of risk contingency. Include current and	**Essential**	Noted in T&T peer review. Change control summary presented to IPB from Jul onwards. Monthly updates now provided summarising	UCL	Complete

Ref. No.	Recommendation	Priority	Action	Owner	Delivery Date
	forecast metrics in project reporting to ensure the Board are fully informed.		total changes, approvals in the reporting month and changes to be determined.		
1(b)(ii)	Capture the change control process in the Project Execution Plan (PEP) or other alternative controls document.	**Essential**	Noted in T&T peer review. Process will captured in new PEP prepared by T&T in Sep 2018.	T&T	Sep 18
2(a)(i)	Review current reporting content and format. This should include the reporting on the more immediate critical path activities and milestones. For example, show more detail of progress being made in three to six months. It should be clear which planned activities have not been completed or are at risk of not being completed within the near future.	**Critical**	Noted in T&T peer review. Format and consistency of monthly reports has been reviewed by T&T and revised proposals will be issued w/c 24 Sep.	T&T	Sep 18
	Agree the baseline set of milestones against which progress can then be monitored and measured.		Programme, reporting and project controls will be baselined in Oct 2018 by T&T.	T&T	Oct 18
2(a)(ii)	Define the RAG status on a monthly / report-by-report basis. The narrative should support the explanation of the any change and corrective action required. The use of 'Amber' should be clearly explained.	**Essential**	RAG definitions to be clarified to ensure a common understanding and consistency.	UCL	Oct 18
2(b)	Align the reporting timetable to ensure that where practical the most current information is reported. Include the date that the report was produced on the report itself, to ensure the reporting timeline is understood.	**Essential**	Revised reporting matrix has been drafted by T&T in Sep 18 for agreement and implementation from Oct 18 onwards.	T&T	Oct 18
	Include a section within the project manager's part of the meeting agenda where changes since the previous reporting cycle are highlighted / presented.		Noted for inclusion on IPB agenda to allow project manager to confirm any updates since report submission.	UCL	Oct 18
2(c)	Where decisions are required, clearly state this in the papers going to the meeting. Key decisions made, and actions required, should be documented and highlighted in minutes or a decisions and action log. All actions should be SMART (Specific, Measurable, Attainable, Realistic and Timely).	**Essential**	Noted and to be implemented for all future Project Board meetings. Specifically, highlighting decisions required on the agenda. Minutes already capture decisions and actions. Actions and Decisions log includes action owners and dates for closure.	UCL	Oct 18
2(d)	The programme should define and agree a core set of controls. The updated controls should:	**Critical**	Noted in T&T peer review. Project controls have been reviewed by T&T and revised PEP for Marshgate and Pool Street West will be issued in Sep 2018.	T&T	Sep 18

Ref. No.	Recommendation	Priority	Action	Owner	Delivery Date
	• Reflect the current needs of both projects e.g. update the PSW PEP in line with the procurement strategy; • Recognise the agreed controls being applied in practice by professional advisors; • Set out the roles and responsibilities of the professional advisors to ensure delivery is integrated; • Set out how project controls are aligned to wider UCL project controls; • Ensure that key functions, roles and accountabilities of key individuals are included, as well as terms of reference for boards and project working groups; • Ensure that controls reflect the commercial obligations of advisors and can be aligned to the assessment of their contribution and performance; • Be communicated and implemented; and • Periodically be reviewed and monitored by both the PMO and second line assurance functions.		UCL Project Managers to review updated PEP to ensure that points noted here have been addressed. UCL Project Managers to monitor implementation across the team. Second line assurance by PMO will be implemented from Dec 2018.	UCL PM UCL PM UCL PMO	Oct 18 Dec 18 Dec 18
2(e)	Review the WSP internal project report and agree the content and purpose, including: • It's role in terms of commercial and contract reporting between WSP, other professional advisors and UCL. • Introduce a defined RAG status and a narrative that sets out the project position. • The capture and tracking of recommendations and SMART actions. • Alignment to established baselines and controls. See 2a.	Critical	WSP monthly report being reviewed by T&T as part of the transition of responsibility. A new reporting template will be issued to UCL in Sep 2018 for implementation from Oct 2018.	T&T	Oct 18
2(f)(i)	s.43 ███████████████████	Essential	Marshgate - T&T to review Mace master programme on a monthly basis from Oct 2018 onwards. Pool Street West – UCL PM to review T&T master programme from Oct 2018.	T&T UCL PM	Oct 18 Oct 18
2(f)(ii)	Introduce Quantitative Schedule Risk Assessment (QSRA) to challenge the assumptions and provide additional intelligence	Recommended	To be considered by T&T from Oct 2018 onwards.	T&T	Nov 18

Ref. No.	Recommendation	Priority	Action	Owner	Delivery Date
	and project management information to the relevant governance structures.				
2(g)(i)	Review risk input into the UCLE project dashboard and highlight reports in line with recommendation 2a.	Essential	Will be covered as part of the T&T review of project reporting and implemented from Oct 2018 onwards.	T&T	Oct 18
2(g)(ii)	Capture the risk management process and controls in the PEP or other alternative controls document.	Essential	As item 2(d) above.	T&T	Sep 18
2(g)(iii)	Consider the appointment of a project risk manager within UCL Estates. s.43 ███████████████████ .	Recommended	Noted. s.43 ██████████████████████ ███████████ Agreed changes to be implemented from Oct 2018 onwards.	UCL	Oct/Nov 18

Priority definitions	
Critical (do now)	To increase the likelihood of a successful outcome it is of the greatest importance that the programme/project should take action immediately.
Essential (do by)	To increase the likelihood of a successful outcome the programme/ project should take action in the near future.
Recommended	The programme/project should benefit from the uptake of this recommendation.

3 SCOPE

Context

This third-line Assurance Review Brief is for a deep dive on programme controls[1] across the East Bank Programme. This review assures the Risk and Assurance Board that the programme organisation is utilising controls in a way that supports successful delivery of programme objectives, outputs and outcomes.

The East Bank programme has successfully completed the first important tranche of work around securing funding, signing Agreements for Lease (AFLs) with partners, and establishing the key projects. Following the successful delivery of this tranche, the programme will transition from a 'forming' mode to a delivery mode, including the transition to new operating models required for the Managed Package Solution (MPS) approach for SWF, and the development of a new model being proposed for Pool Street, alongside Marshgate construction and fit-out.

Moving from forming mode into delivery mode will require robustness of programme controls to ensure the programme delivers its expected benefits within its constrained budget and tight timescales.

The sponsor for this review is Rosanna Lawes.

Scope

The Programme Controls Deep Dive has a programme-wide[2] focus across key areas of the East Bank programme governance structure, as set out in the full business case ('FBC') management case. The deep dive considers programme controls in relation to both workstreams and governance groups as defined in the governance structure:

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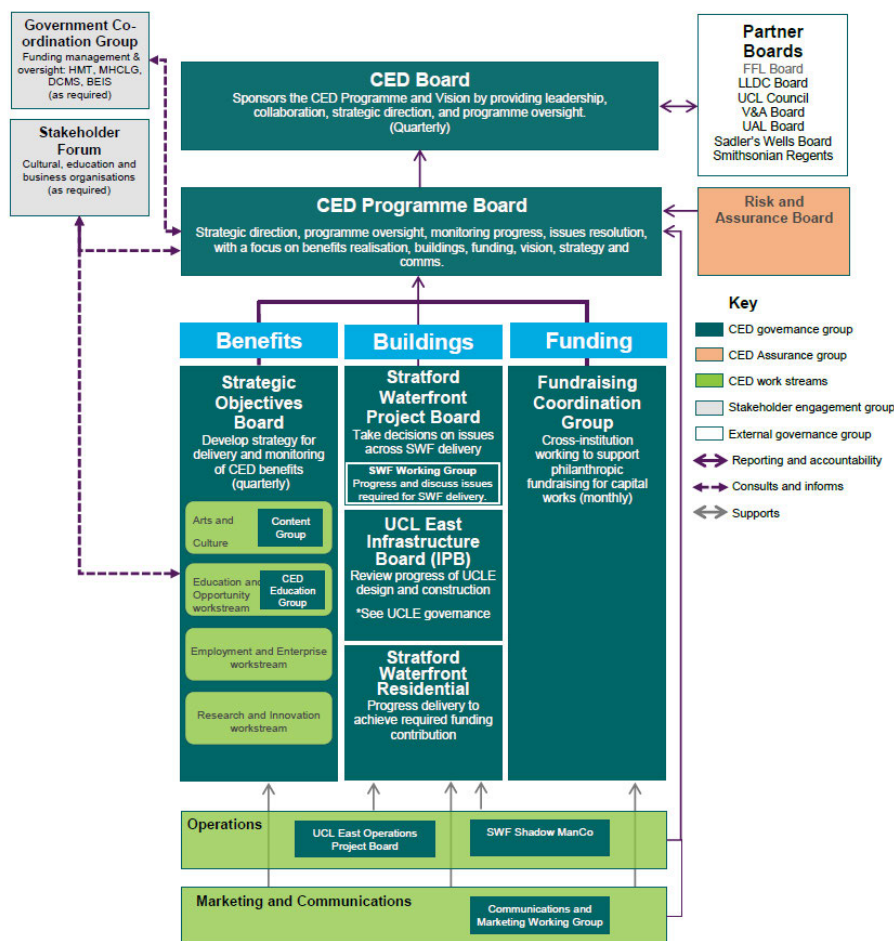
[1] "Control comprises tracking performance against agreed plans and taking the corrective action required to meet defined objectives." Reference APM - https://www.apm.org.uk/body-of-knowledge/delivery/integrative-management/control/

[2] The term 'programme-wide' encompasses the East Bank projects of Stratford Waterfront and UCL East.

The emphasis of the review was on how programme control information is developed and used across the programme organisation, and the extent to which this supports the programme in delivering key output and outcomes. The focus of the deep dive was on the controls around the reporting of risk, quality, schedule, cost, change and performance. The review has considered the interfaces between the various programme functions, projects and partner organisations. It has a particular focus on the way project control information is relayed to the programme level.

Lines of enquiry

The review reports on:

- Whether adequate programme controls are in place;
- The impact of gaps and information where particular programme functions are not yet fully established;
- Whether programme control information is being acted upon in a way that enables effective decision making;
- The extent to which information being provided across the programme organisation is both timely and accurate;
- Whether the requisite information is being provided to relevant areas of governance, and at a high-level, the extent to which this information is consolidated in a way that enables risks, opportunities and issues to be identified in good time;
- Whether programme control information from different parts of the East Bank programme, in particular where there are interdependencies, are being communicated laterally through the programme organisation;
- Whether key information from partner organisations is being represented and reported through the East Bank programme; and
- The extent to which relevant recommendations from previous reviews have been implemented.

4 FINDINGS AND RECOMMENDATIONS

The Findings and Recommendations have been collated under three different areas: the East Bank Programme, the Stratford Waterfront Project, and the UCL East Project. Consequently, only those lines of enquiry relevant to the area have been included; these have been grouped where the information provided covers multiple areas of consideration.

East Bank Programme

The line of enquiry considered in relation to the East Bank Programme is as follows:

1. Whether programme control information from different parts of the East Bank programme, in particular where there are interdependencies, are being communicated laterally through the programme organisation.

Ref	Positive evidence	Areas of concern	Implication	Recommendation	Priority
1	Whether programme control information from different parts of the East Bank programme, in particular where there are interdependencies, are being communicated laterally through the programme organisation.				
1a	**Programme Risk Management** The oversight and the approach to programme risk management continues to evolve and increase in maturity and provide increased comfort in the understanding of the overall risk position. The recent addition of partner considerations of risks and use of heat maps has and will continue to make the programme-wide risk information stronger.	We did not find any additional areas of concern since we reviewed the programme-wide risk position as part of our quarterly assurance report in July 2018. The report highlighted: • That there was scope to improve the use and application of proximity measures within the aggregated risk log; and • That there was an imbalance in the risk information, as this was largely generated from the Stratford Waterfront project when compared with information from UCL East. We note that the recent introduction of the partner's considerations process and control has not been documented.	The programme-wide risk position will be unbalanced without the appropriate level of information from each project. Without an accurate view of risk proximity, it will be difficult to assess and prioritise the timings of actions.	1(a)(i) The programme should ensure that there is an appropriate level of risk information shared from each project. 1(a)(ii) The programme should improve the accuracy of reporting of risk proximity. Where possible the risk velocity assessment should be supported by an indicative risk impact date. 1(a)(iii) Document the programme-wide risk management controls.	**Essential** **Recommended** **Essential**

Ref	Positive evidence	Areas of concern	Implication	Recommendation	Priority
1b	**Programme Board** The East Bank Programme Board had a significant role and has been successful in getting the programme to the point of business case approval. The EBPB receives the monthly programme report (EBPR) and is the natural home for programme risks, but not the project risks. We note that the role of the EBPB is "To provide oversight and direction for the overall East Bank programme, resolving any issues from the relevant project boards as necessary and referring any critical decisions, including major changes to the programme timeline or budget, to the individual Board(s) or Council(s) of the relevant organisation(s) or institution(s), as required for approvals."	Whilst programme-wide information is being reported to the EBPB, our view is that there is not sufficient focus on overall programme performance against time, cost and quality, by way of assessment and challenge. For example, the high-level schedule (swim lanes) is rarely analysed or challenged at the EBPB. We also note that key financial decisions i.e. authorisation are undertaken through LLDC's, UCL's and the different partners own governance structures. The review found similar challenges in the use of RAG status in the EBPR as highlighted in project reporting. For example: • It is difficult to get a clear sense of where the programme is and where the focus of the board should be; • The key milestones around look ahead and decisions change from report to report; it is therefore difficult to maintain a view of progress against baseline; • There is no agreed definition of the RAG statuses; therefore, the view of performance is subject to different interpretations; • There is no narrative explaining the overall status.	There is insufficient programme oversight of time, cost and quality.	**1(b)(i)** As EBPB is the most suitable forum to challenge and assess programme, cost, time and quality the TOR should be strengthened to ensure this happens. **1(b)(ii)** Identify a set of baseline milestones for the programme against which progress can be tracked. **1(b)(iii)** Define the RAG statuses for the EBPR and introduce a narrative that explains the overall position of the programme and the rationale for any RAG changes, where they have occurred.	Essential Essential Essential

Ref	Positive evidence	Areas of concern	Implication	Recommendation	Priority
1c	**Controls** Information about the controls for the projects are captured in several documents relating to SWF and UCL East. Aspects of the programme are included in the CED Processes and procedures, Stratford Waterfront document, dated 19/03/18.	Whilst some aspects of the programme are included in the CED Processes and Procedures document, this is for SWF and not the programme. No other programme control evidence was found relating to the programme or other programme-wide functions.	There is no reference document to reflect what is going on in practice (the process of writing it down may help to make it clearer). Those involved in programme delivery, assurance, and governance may not be aware of key controls available and the standards and processes that they need to apply.	1(c) Ensure that existing programme controls documents are reviewed and updated to capture; • Roles and responsibilities of programme-wide delivery functions, meetings and groups; • Use, purpose and quality standards of each core control document where appropriate; • Interdependencies between key controls; and • Both the current future needs of the programme, and associated risks. The document(s) should be periodically reviewed and monitored moving forward.	**Essential**

Stratford Waterfront Project

The lines of enquiry considered in relation to the Stratford Waterfront Project are as follows:

1. The impact of gaps and information where particular programme functions are not yet fully established.
2. Control effectiveness, incorporating the following lines of enquiry:
   - Whether programme control information is being acted upon in a way that enables effective decision making;
   - The extent to which information being provided across the programme organisation is both timely and accurate; and
   - Whether the requisite information is being provided to relevant areas of governance, and at a high-level, the extent to which this information is consolidated in a way that enables risks, opportunities and issues to be identified in good time.
3. The extent to which relevant recommendations from previous reviews have been implemented.

Ref	Positive evidence	Areas of concern	Implication	Recommendation	Priority
1	**The impact of gaps and information where particular programme functions are not yet fully established.**				
1a	We found no key gaps in information where particular project functions were not fully established. We observed that key controls were largely operating in all key areas of the SWF project. We note that there is work in progress in implementing the commercial assurance function.	In our view, the implementation of controls around the commercial assurance needed to support the MPS strategy is the least developed. We obtained feedback from interviewees that whilst the MPS approach and incentivisation model was broadly understood, there will be gaps in how they will operate in practice. The incentivisation model has been agreed with MACE and work is in progress. The control environment is however not fully in place.	Roles and responsibilities between partners, LLDC and advisors (i.e. MACE, T&T), unclear around commercial assurance and the operation of the incentivisation process.	1(a)(i) Fully define the controls to support the MPS. Ensure they are aligned with other controls around risk, contingency and reporting. This should include how they will work in practice i.e. how performance will be tracked against agreed plans and how corrective action be undertaken as required. (1)(a)(ii) Fully define the controls to support the incentivisation model. Ensure they are aligned with other controls around risk, contingency and reporting. This should include how they will work in practice.	**Essential** **Essential**

Ref	Positive evidence	Areas of concern	Implication	Recommendation	Priority
2	Control effectiveness, incorporating the following lines of enquiry: • Whether programme control information is being acted upon in a way that enables effective decision making; • The extent to which information being provided across the programme organisation is both timely and accurate; and • Whether the requisite information is being provided to relevant areas of governance, and at a high-level, the extent to which this information is consolidated in a way that enables risks, opportunities and issues to be identified in good time				

2a	**Design**
	
	There has been a proactive approach to the completion of the Stage 3 design process. The approach has taken account of lessons learned from the previous design experience. In particular:
	
	• At the start of each RIBA stage, LLDC with MACE and the design team hold kick off meetings. These explain to the partners what level of output is expected during the stage, in terms of deliverables and the overall programme;
	• A suite of design reviews has been established with each of the partners to take the design process to RIBA Stage 3 sign-off.
	• Each partner has a forward plan.
	• A Design Team Stage 3 Brief Compliance Tracker is used for each partner/client to monitor progress of the design team meeting the clients brief. A defined RAG status is used supported by notes or actions for the design team or the client.
	
	There is a documented process for the end of RIBA Stage 3. This includes individual partner sign off and second
		We identified the following areas of challenge around the ongoing design process. Some of these were a natural consequence of following an iterative process:
		
		• We obtained feedback that the design development process was quite ambitious. Agreement is reached after an iterative process which often takes longer than what has been scheduled. Examples were given of where scheduled meetings were cancelled as the design outputs were not ready to share, which has further compressed the decision-making process.
		• There was some concern around the current approach to controlling the design development process in whether it adequately keeps track of unique design features of buildings. Due to the nature of the occupancy and the use of the specific buildings, each partner has their own unique requirements. For example;
		  o BBC – acoustics
		  o V&A – environmental control
		  o Sadler's Wells – lighting
		• We obtained feedback that there was not clarity of what constitutes a design change as opposed to design development. Our review of the
			The issues identified relating to the design process could cause a delay in partner approval.
			
			To meet the stage gate milestone, significant work is carried forward into RIBA Stage 4 that impacts time and cost.
			
			Uncertainly around the level of change outstanding.
				2(a)(i) Ensure that actions are reinforced at the end of each design meeting in terms of the outcome that is required for the next design meeting. Actions should be agreed between the design team and partners.
				
				2(a)(ii) Definitions of design development and change control to be included directly in key control documentation. Ensure reminders about key terms that drive design are communicated during sessions.
					Essential
					
					Essential

Ref	Positive evidence	Areas of concern	Implication	Recommendation	Priority
	line assurance provided by Turner & Townsend (T&T) against the costs and programme.

T&T are involved earlier in the process to help facilitate an understanding of the process prior to their review and submitting their report.

The AFLs for certain partners state that at RIBA Stage 3 the project has to be viable in terms of the cost being within the viability cap. The end of stage process therefore also includes a viability report with a defined RAG rating, separate from the assurance report. | documents confirmed that definitions were not included directly in the PEP or Processes and Procedures document, and instead were referenced in other locations. A clear record of this will be important in reaching and concluding RIBA Stage 3. | | | |
| 2b | **Change Control**

There is a change control process in operation on the SWF project. Feedback from interviews indicated change control governance and associated financial approvals was understood across the core project team.

Principles of controls on contingency are established. | We identified the following concerns around the change controls process:

- The current process as potential to be time-consuming and will need to be reviewed to cope with the possible increase in volume of changes that will increase as the project moves into construction. There will be 24 separate packages which will need decisions to be made expediently.
- Alongside this there may be a need to delegate a level of financial approval to the project teams.
- There could be greater visibility around the pipeline of changes. | Current change control process is unlikely to be fit for purpose as the project activity increases around procurement and construction. The current financial approvals and delegations of authority may lead to bottlenecks in the change approvals process.

A lack of delegation to the MACE team may mean that change control cannot be completed within the required timescales.

Delays in agreeing changes could impact on time, cost and potentially quality. | 2(b) Review and update the change control process to:

- Accommodate an increase in volume and support expedient decision-making.
- Reflect agreed changes to change control practice.
- Cater for change approval requirements for procurement and construction. Model the process to test efficiency against volume changes.
- Include the roles and responsibilities of the partners as appropriate. | **Essential** |

Ref	Positive evidence	Areas of concern	Implication	Recommendation	Priority
2c	**Reporting - content** The monthly Project Status Report (PSR) covers the core areas of information to provide an update on the project status or position. The PSR reports project progress across 19 headings, of which 13 have a RAG status. MACE produce the monthly PSR which is reviewed at the Implementation Review and approved by Greg Smith. It is then included in the SWF Project Board meeting pack. Activity reported is largely consistent with ongoing activity discussed at interviews. There is a strong emphasis on cost control, with an established baseline which is monitored and reported.	The review highlighted the following areas of concern on PSRs as a reporting tool. For example: • The executive summary narrative does not always point the Board to what the implications of the current position are in terms of the overall project. For example, there is not always an explanation as to why the project is rated amber and what is needed to bring the project on track (for example green) in the future; • There is no agreed definition of the different RAG statuses used; therefore, the view of performance is subject to different interpretations; • There is no narrative explaining the selection or rationale for the change in the RAG status; and • The report does not include the progress against the RIBA Stage 3 design. The report does not confirm whether this process is behind target, on target, or ahead of target for the partners and the project as a whole.	Without clear definition of different RAG statuses, the PSR report is open to different interpretation. Partners and stakeholders may lose confidence in the project reporting. The current PSR does not support the Board in making decisions.	2(c)(i) Define the RAG statuses used in the PSR. 2(c)(ii) Ensure that the narrative explains the overall position of the project and explains the rationale for any RAG changes where they have occurred.	**Essential** **Essential**
2d	**Reporting - timing and use** There is clear evidence that reporting is produced on a periodic basis in time to support the relevant meetings, namely the Implementation Review and the SWF Project Board. The current practice of using the PSR to report to the SWF Project Board, the Implementation Review Team Meetings as well as Partners, means that a	There is a time lag of one to two weeks in PSR reporting between when it is produced and when it is reviewed at the SWF Project Board. As a result, the information is often out of date. This makes it difficult for the partners to use the PSR to update their respective organisations on the status of the project. We also obtained feedback that the PSR is not always reviewed at the Project Board meetings. In addition, the PSR	If there is too much time between production and review, the value of the reports is diminished. Partners rely on verbal updates from the project team and the information discussed at meetings to keep them informed of progress. (See 2d reporting timing).	2(d) Ensure that any changes that have occurred during the time lag between PSR production and use, should be captured and reported at the Project Board. Include the PSR as a standing item on the Project Board agenda.	**Essential**

Ref	Positive evidence	Areas of concern	Implication	Recommendation	Priority
	single report can support several needs. There are a growing number of controls and reporting tools being developed and used to support the management of the project through procurement and construction. The monthly PSR covers the core areas of information to provide an update on the project status or position. It is shared through the Project Board meetings.	may not have been drafted in sufficient detail to give attendees confidence on the project status.	Reduced confidence in the use and contents of the PSR.		
2e	**Project Controls - definition** Information about the controls for the project are captured in two different documents; the MACE Project Delivery Plan (PDP) and the CED Processes and Procedures document, used on the Stratford Waterfront Project. New areas of control and governance are being introduced, including project level reporting based on individual buildings. There is a strong emphasis on cost control, with an established baseline which is monitored and reported on and supported by change control. We obtained feedback that there are plans to put reporting on a cloud-based platform.	Controls being applied across the project are not defined in a single-source document. The project had not yet set out or defined what the control environment would look like for the coming phases of the project. We note that definition of some controls that are currently in operation shown below are not included in the documents provided: • Revised month-end summary report reporting process (building level). • Schedule control. There was not a plan in place that set out when new controls, for example the cloud-based reporting platform, will be introduced.	Those involved in project delivery, assurance and governance may not be aware of key controls available and the standards and processes that they need to apply. As the project enters in to the construction phase and the team increases in size it will become increasingly difficult to ensure that controls are applied effectively and to the right standards. Practice diverges from definition.	2(e) Ensure that existing controls documents are reviewed and updated to capture; • Roles and responsibilities of team delivery functions, meetings and groups; • Use, purpose and quality standards of each core control document where appropriate; • Interdependencies between key controls; and • Both the current future needs of the project. The document(s) should be periodically reviewed and monitored moving forward.	**Essential**

Ref	Positive evidence	Areas of concern	Implication	Recommendation	Priority
2f	**Project Manager / Building-level reporting** The project team have recently (in the last two months) started to issue a specific monthly report for each of the six different buildings within SWF project. This is produced by the MACE project manager accountable for each of the different areas. The report includes; progress on design, commercial, and procurement, risk and mitigation, planning, and pending decisions. We obtained feedback that the content and style of the reporting will be further developed over time.	The objectives and purpose of the report are not defined in the project controls documentation. It is unclear if this is a commercial update or a progress update and whether there is an accompanying audit trail of the decisions presented to the client. We identified that the report does not highlight the overall position as to whether the element of the SWF project is on track in terms of time, quality and cost, or provide a RAG status to support this. It also does not inform the audience (LLDC) of what planned activities within the reporting period have *not* taken place, and no assurance, opinion or recommendations are provided.	Without understanding the purpose of the report, it is not possible to test if it is fit for purpose. The overall position is not understood at building level. The outcomes of key decisions being presented to the client may be lost.	2(f) Review the building-level reports and agree their content and purpose, including: • Their role in terms of reporting between MACE and LLDC. • RAG statuses and definitions to be implemented based on the data sets in the new Reporting Platform. • A narrative that sets out the building position.	**Essential**
2g	**Risk Management** The risk management function is well established and embedded into the project. The risk register is reviewed and reported against on a regular basis and there is senior engagement from LLDC. The risk management processes and controls are documented within the CED Processes and Procedures, Stratford Waterfront document. There was good understanding across interviewees around how risk management information is used as input to other project activity / controls, such as:	The review identified the following in relation to risk management controls: • The current approach and format of the risk register does not adequately capture the timing around the proximity of risks. As such, it is not easy to assess how urgent the actions required to address the risks need to be implemented. • We obtained feedback that there was uncertainty in how contingency will be allocated between construction and fit-out.	The current approach to proximity does not provide a good early warning indicator for risk. Important risk around the setup and the management of the project may not be identified in time for them to be addressed. s.43 ███████████ ███████████ ███████████	2(g)(i) Update the approach to identify the timing of risk (early warning indicators) so there is a better assessment of how much time is available to take action. 2(g)(ii) s.43 ███████████ ███████████ ███████████ ███████████ 2(g)(iii) Agree a schedule of partner risk reviews.	**Recommended** **Essential** **Recommended**

Ref	Positive evidence	Areas of concern	Implication	Recommendation	Priority
	• Management of contingency • Change control • Cost management • Partner view of risks • East Bank Programme reporting Those interviewed expressed their confidence in the quality of the risk information.				
2h	**Programme & Schedule** There is an established approach to updating the baseline and the programme schedule. The project has recently introduced a new Lead Planner.	There has been too long a gap between the approval of the last baseline and the version pending approval; REV5. We obtained feedback that whilst there is s.43 ▮▮▮▮▮▮▮▮▮▮▮▮ The adequacy and the full extent of this will not be understood until the project reaches the end of RIBA Stage 3. It was noted that there was a difference in understanding in what constitutes float, critical path and time contingency with the individuals interviewed. There has not been any formalised reporting or review of the programme i.e. on the same basis as risk or cost, although this has been recognised following the appointment of a different Lead Planner. Overall there was not enough emphasis on reporting on schedule.	The project cannot have full confidence in the programme until it is baselined at RIBA Stage 3. Without common understanding of terminology across the project, there is potential for misunderstanding and gaps in communication.	2(h)(i) Ensure that the implications of baseline programme post RIBA Stage 3 are understood and agreed with LLDC and partners. This should include float, schedule, critical path and time contingency, which should also be defined in controls documentation. 2(h)(ii) Ensure that RAG ratings are designed to serve as early warning indicators for schedule. 2(h)(iii) Ensure there is reporting on schedule at both programme and project / building level.	Essential Essential Essential
2i	**Partners** AFLs have provided an invaluable baseline of obligations upon which	Whilst AFLs have provided a high-level framework against which there is broad understanding of roles and responsibilities of partners and LLDC,	The current approach to engaging partners for	2(i)(i) Define and agree partner roles and responsibilities in conjunction with the ongoing	Essential

Ref	Positive evidence	Areas of concern	Implication	Recommendation	Priority
	controls can be applied for managing the Partners (including UAL) and LLDC. Partners expressed confidence in people and organisations.	how this will be discharged in practice during the construction period has not been fleshed out. For example, there are no proposed controls around what decisions MACE can give without UAL authority and approval. AFLs outline that partners will be provided oversight of progress, though how this will work in practice has not been documented and agreed. The current practice by which partners share their concerns at Project Board and at working groups will need to evolve so that there is a record of the issues raised by partners, so they can be tracked and addressed. As each partners stake / concern and commercial position is different, there will need to be a way of ensuring that individual partners concerns are addressed in the right forum.	decisions may not be fit for purpose for construction. There may need to be provisions for delegated authority to partners, to prevent delaying decision-making in a way that is detrimental to the partners requirements.	development and implementation of the MPS and construction. **2(i)(ii)** Agree a mechanism and the controls to capture partner concerns, actions and decisions.	**Essential**

3   The extent to which relevant recommendations from previous reviews have been implemented.

As part of this review, we considered previous SWF-specific recommendations made in RSM assurance reports and the extent to which there was congruence between them, and the findings from this review. The previous recommendations we considered date from August 2017 onwards. Whilst RSM carried out reviews prior to this date, we are cognisant of the fact that reports issued before this time would have been contextually different on the basis that the East Bank Programme (previously the CED Programme) was re-set.

The recommendations that we consider to be pertinent to this review of programme controls are listed at Appendix C. Of the three recommendations listed, all are described as being 'complete' or 'closed' i.e. the work needed to fulfil the recommendation has been carried out by the appropriate organisation. Whilst we are not disputing that the actions themselves have been completed, there is further work that is either currently ongoing, or we recommend be carried out to strengthen the programme controls position in these areas.

In summary, the recommendations cover the following areas of challenge:

- The implementation of the Target Operating Model (TOM) for the MPS procurement strategy and how it supports defined roles and responsibilities;
- Further in relation to the TOM, the extent to which implementation supports how MACE are managing LLDC's risks in terms of quality outputs; and
- Whilst proximity is being applied in the programme-level risk register, it is yet to be built into the SWF project-level risk register.

4.3 UCL East Project

The lines of enquiry considered in relation to the UCL East Project are as follows:

2. The impact of gaps and information where particular programme functions are not yet fully established. *Relating in this review to both Design and Change Control.*
3. Control effectiveness, incorporating the following lines of enquiry:
   - Whether programme control information is being acted upon in a way that enables effective decision making;
   - The extent to which information being provided across the programme organisation is both timely and accurate; and
   - Whether the requisite information is being provided to relevant areas of governance, and at a high-level, the extent to which this information is consolidated in a way that enables risks, opportunities and issues to be identified in good time.
4. The extent to which relevant recommendations from previous reviews have been implemented.

Ref	Positive evidence	Areas of concern	Implication	Recommendation	Priority
1	The impact of gaps and information where particular programme functions are not yet fully established. *Covering Design and Change Control.*				
1a	**Design** We obtained feedback from the UCL East Project that there were governance arrangements in place that have been designed to support the operations areas of the programme and their input into the design process. In particular, we note that internally to UCL there is an Operations Project Board, an Academic Planning Board, and an Infrastructure Project Board, which are supported by working groups. The programme team includes a programme manager supported by a PMO manager, academic planning lead and a stakeholder engagement lead. A key part of their role includes facilitating the interface between the academic requirements and the development of the brief which is being carried out in conjunction with the Estates function. New roles have been identified and additional resources have been brought in to establish the programme function. This includes 'champions' within	We identified the following key control gap in the programme functions within the UCL East Project: There has been a historic gap in the controls in managing the engagement with the academic community. This has impacted on how the project has achieved its design outcomes. For example, we received feedback that it had been difficult to ensure that all those that needed to be engaged in contributing to the brief and the design were sufficiently engaged early enough in the programme. It was also difficult to execute a design freeze. In the absence of this engagement and input from the academic community, design assumptions may have been made for the project to continue to progress in line with the agreed programme. The issue and presentation of RIBA Stage 3 Shell and Core report has highlighted that the assumptions are	s.43 s.43 If the controls are not agreed and implemented there is a risk that there will be no confidence in the process, resulting in further delays. The brief is not fixed and therefore does not keep up with the design.	1(a)(i) Define and document the controls for the design development and review process. This should include the communication of timescales for activity and processes for rejection and acceptance of design changes. The process should highlight when key participants (project, academic and operations) are required to contribute. The project should obtain and communicate understanding of the resource commitment needed from key participants ahead of key design activities / sessions. These commitments should be monitored in terms of whether they are being made available and escalated via champions (or appropriate governance route) where they are not met. This will enable	**Critical**

Ref	Positive evidence	Areas of concern	Implication	Recommendation	Priority
	academic planning who meet with the design team and act on behalf of the 10s of 100s of academics to translate the requirements.	not in line with the academic expectations. It is unclear whether there was sufficient induction on what was required from the academic team or that there has been a delay in the academic community in wanting to get involved and commit time until they were confident the project would be going ahead. Irrespective of the reason, key controls were not in place. We note that recent involvement of the wider team has improved the situation, however it is not clear the extent to which there are formal agreed controls in place to agree sign-off going forward. The programme function, including champions within academic planning, have been introduced late into the process. See section 3 regarding previous recommendations on resources.		corrective action to be taken as appropriate. A RACI matrix approach (Responsible, Accountable, Consulted, Informed) may help provide clarity on roles and responsibilities. **1(a)(ii)** The critical path for design approved for RIBA Stage 3 and the subsequent stages should be the baseline control.	**Critical**
1b	**Change Control** A UCL East change management process is established, managed and reported. It is based on financial authority levels and operates through the IPB for defined changes. A compensation event process is defined and operational under the NEC3 contract with WSP, which is being actively used to track events.	The change management process is a recent introduction (March 2018). The earliest change note was 27 March 2018. This is not set out in the PEP. The reporting of the status of change is a supplement to the dashboard and project highlight reports. Following the publication and presentation of the RIBA Stage 3 report there have been significant changes affecting the proposed design. s.43 ▮▮▮▮	Cost and time impact of the proposed changes are not understood at a macro level. s.43 ▮▮▮▮	**1(b)(i)** Update the project change management process and controls to include the interface with the professional advisors' processes and the use of risk contingency. Include current and forecast metrics in project reporting to ensure the Board are fully informed. **1(b)(ii)** Capture the change control process in the Project Execution Plan other alternative controls document.	**Essential** **Essential**

Ref	Positive evidence	Areas of concern	Implication	Recommendation	Priority
		s.43 It is unclear how design changes are being controlled and relate to the UCL East change management process. This is not set out in any detail in the current PEP and not evidenced in the documents provided.			

Ref	Positive evidence	Areas of concern	Implication	Recommendation	Priority
2	Control effectiveness, incorporating the following lines of enquiry: • Whether programme control information is being acted upon in a way that enables effective decision making; • The extent to which information being provided across the programme organisation is both timely and accurate; and • Whether the requisite information is being provided to relevant areas of governance, and at a high-level, the extent to which this information is consolidated in a way that enables risks, opportunities and issues to be identified in good time.				
2a	**Reporting content – UCLE dashboard and Project Highlight reports** Core information required for the project to reach key decisions is mostly included in periodic reporting information that is provided to the UCL East Infrastructure Project Board (IPB) who meet monthly. This includes reporting at the UCL East project level, i.e. the combined position for Pool Street West (PSW) and Marshgate (MG1), and also at the individual project level. The reporting for the combined position includes: UCL East dashboard, Project Risk dashboard,	Whilst there is a rich pool of information within the reports, from the examples provided, there is no narrative that clearly points the Board to what the implications of the current position are in terms of the RAG position, any changes, and the time, cost, and quality impact on the project or for each building. For example: • There is no agreed definition of the RAG status; • There is no narrative explaining the selection of the RAG status or the consequences for changes in status, whether positive or negative, for example; the UCL East dashboard overall project status was red in	The status of the project is not fully understood across the project team and governance. Reports are subject to different interpretation because the RAG status is not being defined. It is unclear what 'Red' or 'Amber' mean in terms of implications on time, cost and quality for the project. Therefore, project reporting information cannot be reliably used to support decision making.	2(a)(i) Review current reporting content and format. This should include the reporting on the more immediate critical path activities and milestones. For example, show more detail of progress being made in three to six months. It should be clear which planned activities have not been completed or are at risk of not being completed within the near future. Agree the baseline set of milestones against which	**Critical**

Ref	Positive evidence	Areas of concern	Implication	Recommendation	Priority
	Project Cost Summary and an example of the UCL East Change Management Summary. A project highlight report is also provided for the two projects. In addition to the above reporting, the WSP team issue a monthly report covering progress on design, commercial and procurement, risk and mitigation, planning and pending decisions. This is the source from which information for the project highlight report is extracted. There is clear evidence that reporting is produced on a periodic basis to support the relevant meetings.	March and April, and moved to amber in May suggesting a correction closer to baseline; and • There is limited focus on the specific stage the project is in. For example, the current most important activity on the UCLE project is how they are progressing with the brief and the associated activities around design and RIBA approval. The report does not confirm whether this is behind target, on target, or ahead of target. Our view is that historic reporting around the highlight reports has been over-optimistic. For example; the forecast for key milestones are shown to be on target (IPB 48) and the programme RAG was Green for three months (March, April & May) despite prolongation risk being recognised.	There is over-reliance on verbal updates in the absence of adequate reporting.	progress can then be monitored and measured. 2(a)(ii) Define the RAG status on a monthly / report-by-report basis. The narrative should support the explanation of the any change and corrective action required. The use of 'Amber' should be clearly explained.	Essential
2b	**Reporting Timing – UCLE dashboard and Project Highlight reports** These reports are supplemented by risk and cost reports. Whilst the actual date was not noted, they appeared to be in line with the reporting cycle.	The UCL East dashboard and Project Highlight reports submitted to the June IPB were three weeks old. (31st May paper submitted for 19th June Board). It is assumed that the magnitude of this delay is reflective in other monthly reports. We were advised that the timing with papers being submitted to the IPB resulted in rating of Amber being given for the project when it should have been Red.	The Project is unable to make effective decisions or take corrective action if the information presented is out of date and is no longer a reflection of the current position of the project.	2(b) Align the reporting timetable to ensure that where practical the most current information is reported. Include the date that the report was produced on the report itself, to ensure the reporting timeline is understood. Include a section within the project manager's part of the meeting agenda where changes since the previous reporting cycle are highlighted / presented.	Essential

Ref	Positive evidence	Areas of concern	Implication	Recommendation	Priority
2c	**Board Meetings** Agenda and minutes are used to set out and capture the content and outcomes of project board meetings.	It is not evident that the minutes of the monthly IPB meeting for March, April and May reflect the difficulties that the project is facing. The difficulties are implied, but it is not explicit that the problems and challenges were being verbally communicated, understood and acted upon.	Decisions are ill-informed and there is limited understanding of the current position of the project by key stakeholders.	2(c) Where decisions are required, clearly state this in the papers going to the meeting. Key decisions made, and actions required, should be documented and highlighted in minutes or a decisions and action log. All actions should be SMART (Specific, Measurable, Attainable, Realistic and Timely).	**Essential**
2d	**Project Execution Plans (PEP) – project controls** PEPs were evidenced for PSW and MG1. The purpose of this document is to describe the agreed strategy and project procedures to be adopted by the project team for the successful control and delivery. This is the only document provided to the review that summarises the controls. The PEP includes the roles and the structure of the professional advisors that have been engaged to deliver the project across a number of disciplines namely; project management (WSP), cost management (Aecom), risk management (Arcadis), planning (Deloitte) and design, (Stanton Williams – lead for multi-disciplined team). This team is complemented by the internal UCL an Estates function; made up of an internal project manager,	The PEPs for MG1 and PSW have been produced and are updated by WSP in their role as project manager for UCL East. Overall, we obtained feedback that PEPs are the documents where projects controls are defined, however the documents are not being referred to in practice. Given the number of different organisations / professional advisors that are involved in the programme, a programme definition document which sets out project controls and practice is needed to support effective communication and collaborative practice. We identified the following challenges and concerns around the contents and use of the PEPs: • The contents are in part drafted from WSP's commercial perspective (early warnings, compensation events) rather that specifically for each project.	There is no shared definition and understanding of what the key project controls are across the programme. Project controls are not being applied effectively in practice. Weak controls definition may be leading to weaknesses and inconsistencies in project management practice. There may be gaps between the commercial obligations of professional advisors and the, roles, responsibilities and accountabilities ascribed in the PEPs. Incorrect reference project control document. Controls not adequately captured.	2(d) The programme should define and agree a core set of controls. The updated controls should: • Reflect the current needs of both projects e.g. update the PSW PEP in line with the procurement strategy; • Recognise the agreed controls being applied in practice by professional advisors; • Set out the roles and responsibilities of the professional advisors to ensure delivery is integrated; • Set out how project controls are aligned to wider UCL project controls; • Ensure that key functions, roles and accountabilities of key individuals are included, as well as terms of	**Critical**

Ref	Positive evidence	Areas of concern	Implication	Recommendation	Priority
	programme manager, and PMO Manager.	• The documents do not adequately reflect how project controls relate to wider programme controls. It is not evident that they have been reviewed against the wider programme controls being adopted and do not describe the interface or project controls with the UCL East programme. • Both documents contain limited information about what the controls are and how they will be applied to the project. For example, change control (see 1b). The PSW PEP dated February 2018 currently reflects the DBFO strategy that is now understood to have reverted to a Design Build Procurement strategy. As a result, the content is incorrect, including the procurement strategy, programme activities and timeline. The PEP for MG1 does not fully reflect how the project is operating in practice. In particular: • WSP have a role to co-ordinate the input of the other professional advisors. An example of this coordination is the compilation of reporting. • It is understood that WSP have a contract administration role that is not captured in the PEP. These contracts are directly with UCL. A federated PM structure inherently makes this more difficult – we challenged previously whether the contractual agreements in place supports discharge of what	Diminished ability to hold advisors to account. The document is not a reflection of what is going on in practice. Lack of transparency across the governance structure risks impacting effective decision-making. s.43 ███████████ ███████████ WSP are working to a contract which may not be congruent with fulfilling the ever-changing needs of the programme.	reference for boards and project working groups; • Ensure that controls reflect the commercial obligations of advisors and can be aligned to the assessment of their contribution and performance; • Be communicated and implemented; and • Periodically be reviewed and monitored by both the PMO and second line assurance functions.	

Ref	Positive evidence	Areas of concern	Implication	Recommendation	Priority
		UCL need from a project management role and whether there is sufficient commercial tension to allow the WSP project manager to say 'no'. (See section 3). It is therefore unclear who is accountable for what and how an integrated solution, which it is assumed UCL think they have brought, will be provided. • s.43 ████████████ ████████████ ████████████ ████████ • The roles and responsibilities between WSP and client project manager are not defined. • It is unclear what the demarcation is between the roles and interfaces of the professional advisors, and the internal and client team. This is not captured in the PEP. • The process and controls for risk management are not included in the PEPs.			
2e	**Project reporting – WSP internal project report** A regular reporting process is established across the project. WSP compile a monthly report based on a collection of narratives covering the professional advisor's engagement. The report covers six topic areas Design, Commercial (cost), Programme	The report provides a detailed narrative of what has happened in the reporting period. However, the content does not adequately capture progress / performance made against plan for the different areas of the project in way that allows the reader to understand what is urgent, critical or important. For example, we noted that there were no RAG statuses used or overall assessment on whether things were on track. In addition,	The project reports are being acted upon by the project team. It doesn't aid the understanding of the projects performance. For example, it does not highlight any variations against baseline or provide any recommendations	2(e) Review the WSP internal project report and agree the content and purpose, including: • It's role in terms of commercial and contract reporting between WSP, other professional advisors and UCL.	**Critical**

Ref	Positive evidence	Areas of concern	Implication	Recommendation	Priority
	& Procurement, Risks and Mitigation, and Planning.	no assurance, opinion or recommendations were provided in the three report examples shared. There is no direct relationship between information contained in this report and the project highlight report, also compiled by WSP, and the UCL East dashboard produced by the Estates PMO. It is unclear from the reporting whether it served an additional purpose in terms being WSP's formal advice to the client on project performance.	or corrective actions if in a variance. Relevant project level information may not be reaching the IPB. WSP project management would appear to be focused on operational aspects i.e. 'how are things progressing', rather than 'managing the performance and escalating issues as required'. A key part of the role of the UCL Estates project manager is to protect the commercial position of UCL i.e. ensure the project is delivered to time costs, quality and budget. This was not evident.	• Introduce a defined RAG status and a narrative that sets out the project position. • The capture and tracking of recommendations and SMART actions. • Alignment to established baselines and controls. See 2a.	
2f	**Risk Management – schedule** Risk management is undertaken by Arcadis. This is reviewed by the internal UCL project team and reported to the Infrastructure Project Board on a monthly basis. This includes Quantitative Risk Analysis (QRA) based on Expected Monetary Value (EMV).	In our view, the risk management controls and reporting do not adequately communicate the time risk impact to the schedule. It is assumed the cost of the time impact is included with the risk contingency although this is unclear from a review of the risk register. We noted from the previous third line assurance review of MG1 that the project team opted to not adopt a more formal QSRA approach as the team was satisfied that the time impact of risk i.e. the float had been built in to the overall programme and activity schedules. However, given the increased pressure	The impact on programme of risks and issues not being understood or mitigated is on time, cost and potential quality of the project.	2(f)(i) s.43 ▮▮▮▮▮▮▮▮▮▮▮▮▮▮▮▮▮▮ ▮▮▮▮▮▮▮▮▮▮▮▮▮▮▮▮▮▮▮▮ ▮▮▮▮▮▮▮▮▮▮▮ 2(f)(ii) Introduce Quantitative Schedule Risk Assessment to challenge the assumptions and provide additional intelligence and project management information to the relevant governance structures.	**Essential** **Recommended**

Ref	Positive evidence	Areas of concern	Implication	Recommendation	Priority
		on schedule as a result of delays, QSRA information may be needed to assess the extent to which any future plans are feasible. Without the visibility of the planning assumptions made or the outputs from QSRA the necessary understanding and attention to programme risks may be missing. See section 3 regarding previous recommendations on risk management.			
2g	**Risk Management – general** Risk information is captured in a risk register controlled by Arcadis. This is reviewed and updated on a regular basis. Risks are reported by Arcadis on a monthly basis and are included within the project highlight report and the UCLE project dashboard. The Arcadis report is on occasion included with the project reports for IPB. From the packs reviewed it was included in April.	We made the following observations about the risk management process and contents of the risk log shared: The risk of a delay and or clarity of design is recognised in the MG1 risk register and is included with the project reports. It is however unclear what mitigation was undertaken and by whom and whether this risk was escalated or discussed at the IPB. s.43	No coordination of risks between risk register and reporting. No client-side risk owner to ensure risks get the attention they need. Not evidenced how risk is being managed.	2(g)(i) Review risk input into the UCLE project dashboard and highlight reports in line with recommendation 2a. 2(g)(ii) Capture the risk management process and controls in the PEP or other alternative controls document. 2(g)(iii) Consider the appointment of a project risk manager within UCL Estates. s.43	**Essential** **Essential** **Recommended**

Ref	Positive evidence	Areas of concern	Implication	Recommendation	Priority
		For example, despite the prolongation risk being recognised, the MG1 project was green on scope and programme for three months. (The risk manager, planner, and project managers all have responsibility to escalate.)			
		We obtained feedback that Arcadis are contracted to conduct one risk review a month. This may not be sufficient for the level of risk management needed going forward.			
		From a review of the risk register it is unclear how proximity is assessed, reviewed and used. The document is quite difficult to read even following the guidance notes.			

3	The extent to which relevant recommendations from previous reviews have been implemented.

As part of this review, we considered previous UCL-specific recommendations made in RSM assurance reports and the extent to which there was congruence between them, and the findings from this review. The previous recommendations we considered date from August 2017 onwards. Whilst RSM carried out reviews prior to this date, we are cognisant of the fact that reports issued before this time would have been contextually different on the basis that the East Bank Programme (previously the CED Programme) was re-set.

The recommendations that we consider to be pertinent to this review of programme controls are listed at Appendix B. Of the eight recommendations listed, all are described as being 'complete' or 'closed' i.e. the work needed to fulfil the recommendation has been carried out by UCL. As our findings from this review are aligned with these eight recommendations, it suggests that the work required has either not been sufficient in nature to solve the root cause of the challenge or has not been carried out as stated.
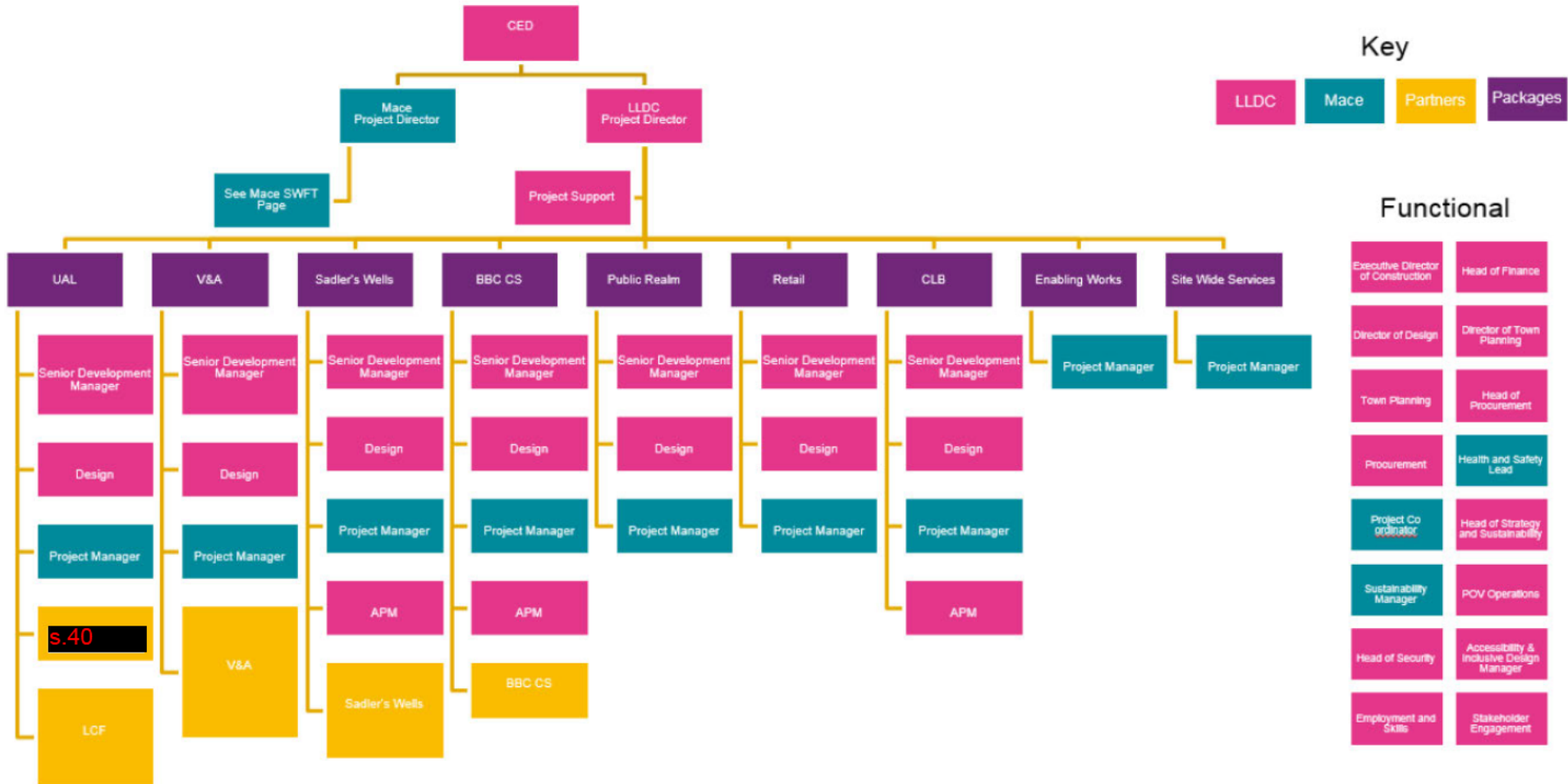
In summary, the recommendations cover the following areas of challenge:

- UCL's approach to adopting schedule risk analysis;
- The development of a sub-schedule that sets out the critical path for the project;
- Resource requirements for the project, including the need for permanent internal project team members;
- Definition of RAG rating criteria and communication of definitions through the governance structure;
- Clarity on roles and responsibilities across all input to the project, internal and external;
- Alignment of commercial agreements with professional advisors with the needs of the project; and
- Project reporting to include activities that have not been completed and the impact of that on schedule.

APPENDIX A – GOVERNANCE DIAGRAMS

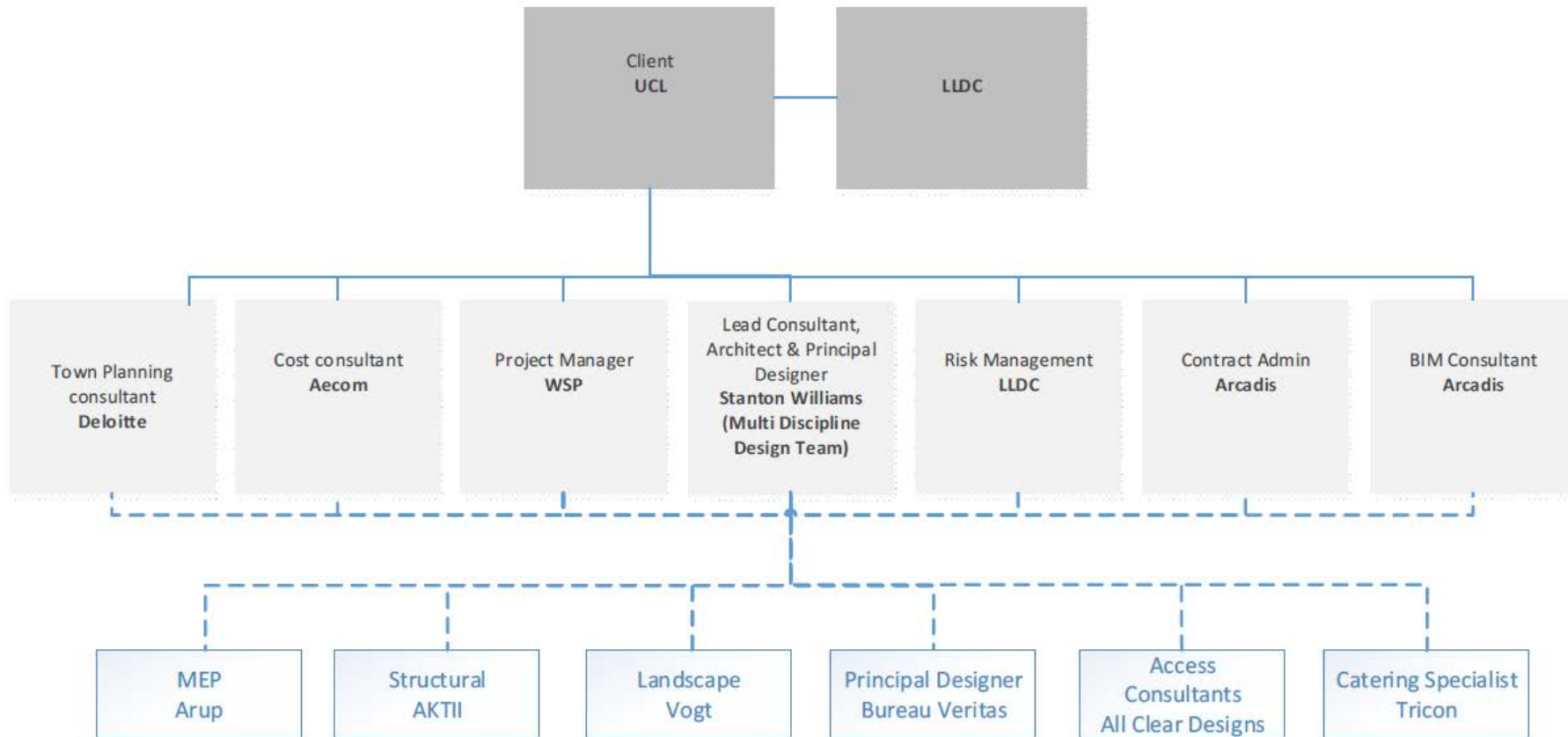## Stratford Waterfront Project

Project Team Structure

UCL East Project

1. Programme Work Structure:

2. Marshgate Team Structure:

Client
UCL

LLDC

Town Planning consultant
Deloitte

Cost consultant
Aecom

Project Manager
WSP

Lead Consultant, Architect & Principal Designer
Stanton Williams (Multi Discipline Design Team)

Risk Management
LLDC

Contract Admin
Arcadis

BIM Consultant
Arcadis

MEP
Arup

Structural
AKTII

Landscape
Vogt

Principal Designer
Bureau Veritas

Access Consultants
All Clear Designs

Catering Specialist
Tricon

APPENDIX B – STRATFORD WATERFRONT PREVIOUS RECOMMENDATIONS

Ref	Original Recommendation	Client status	RSM Comment
3	**The extent to which relevant recommendations from previous reviews have been implemented.**		
3a	Develop and implement a detailed plan defining the scope and timeline to show how the various activities and tasks needed to deliver the MPS based procurement strategy. Specifically link to the output of the T&T report. **SWF Procurement Strategy Project Healthcheck - January 2018**	*Complete*	It is noted that work to implement the Target Operating Model (TOM) is in progress, therefore the recommendations identified here will be ongoing until this work is complete. It is important that implementation of the TOM supports defined roles and responsibilities for the relationship between MACE as the Construction Management Partner (CMP), and LLDC. In particular, the extent to which MACE are managing LLDC's risks in terms of quality of project outputs.
3b	Develop a target operating model to support the MPS and CM approach. **SWF Procurement Strategy Project Healthcheck - January 2018**	*Complete*	
3c	Change reporting to include the proximity of risks and key interim milestones, particularly where they are aligned to the critical path. **SWF Procurement Strategy Project Healthcheck - January 2018**	*Complete*	Whilst proximity is considered at the Programme-level in the East Bank Programme risk register, it is not included in the SWF project-level risk register. Key interim milestones are also not included.

APPENDIX C – UCL EAST PREVIOUS RECOMMENDATIONS

Ref	Original Recommendation	Client status	RSM Comment
3	**The extent to which relevant recommendations from previous reviews have been implemented.**		
3a	Clarify and communicate the approach adopted to schedule risk analysis for Pool Street and the UCLE programme and embed understanding and reporting of "P" (probability) ratings for key milestones. **Stage Gate 2: UCLE Pool Street West August 2017**	*Complete*	From discussions during this review it is noted that schedule risk analysis (QSRA) has not been adopted to date across the UCLE Project. This may mean the project is not informed in terms of its ability to focus attention in the right place at the right time. A similar recommendation around agreeing the tools to be put in place to support QSRA was also made in the October 2017 Stage Gate 2 review of Marshgate.
3b	Produce and maintain a sub-schedule that indicates the critical path for approvals by LLDC/UCL. **Stage Gate 2: UCLE Pool Street West August 2017**	*Complete*	We were not able to validate whether there is a critical path that is visible to all stakeholders at the project level. Further, the WSP External PM monthly report does not set out the critical path where there is an opportunity for it to do so. It is acknowledged from discussions with UCL staff that Stanton Williams have produced timelines and process diagrams that are clear; however, it is not evident how widely shared or accessible these are.
3c	There is a need for an overall resourcing plan at sufficient level to give comfort on the timing of appointments and the capability of resources matched against the resource requires to deliver the activity in the project schedule. <u>As part of this consideration should be given to appointing a more permanent resource to ensure continuity and reduce costs as appropriate.</u> **Stage Gate 2: UCLE Marshgate October 2017**	*Complete*	There has been inconsistency of staffing on the UCLE project in terms of the internal 'Project Manager' role. The internal Project Manager was not involved in the project for 3 months, during which time, core risks were still attributable to him. Continuity of staffing and a developed understanding of resource requirements is crucial to ensure costs are managed as far as possible.
3d	Standardise and improve clarity of schedule performance reporting in PSRs and WSP UCL reporting. Agree common RAG criteria. **Stage Gate 2: UCLE Marshgate October 2017**	*Complete*	The subjectivity of RAG statuses may cause variances in project reporting and the true status of the project may not be accurately reflected in Board level reporting. Common RAG criteria based on impact on time and cost, for example, will allow for a standardised view across the project.

Ref	Original Recommendation	Client status	RSM Comment
3e	Update the PEP, to ensure that it covers all aspects of the project and adequately sets out the separate roles, accountabilities and dependent nature of the contributions from specialist / external organisations alongside those from the academic community who contribute significantly to the project. **Stage Gate 2: UCLE Marshgate** **October 2017**	*Complete*	Roles and responsibilities are not defined in any detail in the PEPs provided for review. There is a need for clarity around the contribution required for external advisors, particularly where there is a gap in capability in the internal project team. s.43 ███████████████████████████
3f	Review the approach to the management of the contract with WSP to ensure UCL are fully aware of the role of the schedule and the implications of changes. **Stage Gate 2: UCLE Marshgate** **October 2017**	*Complete*	s.43 ██████████████████████████████
3g	Agree a standard set of reporting metrics and methodology for reporting to include; RAG status criteria and risk selection. In particular, reporting should adequately capture the difference between planned activity against baseline, highlight what activities had not been achieved and their impacts on schedule, cost and quality at project and programme level. **Stage Gate 2: UCLE Marshgate** **October 2017**	*Complete*	Whilst it is important to capture activities that have been completed in project reporting, it is also vital to understand the gaps and actions that have not been achieved. The impact of these gaps may be substantive in terms of schedule and programme and reporting on them will allow decisions to be made and actions to be prioritised and the appropriate levels of governance.
3h	Define objectives for the Estates Lead Project Manager role to include the reporting line for professional advisors. **Stage Gate 2: UCLE Marshgate** **October 2017**	*Complete*	There are both internal and external project management roles involved in the project, however it is not clear where the responsibilities and accountabilities lie between these.

APPENDIX D – DOCUMENTATION

The team received the following documentation:

Organisation	Document description	Document name	Date sent to RSM
UCL	Infrastructure Project Board papers	UCLE IPB 46 Pack UCLE IPB 47 Pack UCLE IPB 48 Pack	10/07/2018
UCL	UCLE QEP Risk Register	3. June 18 UCLE QEP Risk Register 0618	10/07/2018
UCL	Marshgate Procurement Strategy Report	Marshgate Procurement Route Rev P02 – stage3 v1.0	10/07/2018
UCL	Marshgate External Project Manager Monthly Report June 2018	MGT - PM Monthly Report June 2018 v1.1	10/07/2018
UCL	UCL East Phase 1: Marshgate Plot 1 Project Execution Plan	MP014-UCLE-MGT-ZZZZ-J-PEP-XXX-XXXX-0001	10/07/2018
UCL	UCL East Infrastructure Change Control Strategy	UCLE Change Control Strategy	10/07/2018
UCL	UCLE Marshgate Delivery Programme - D&B 2 Stage Contract (Rev 19)	UCLE Marshgate 19 (a3)	10/07/2018
UCL	UCLE Risk Management Strategy	UCLE Risk Management Strategy	10/07/2018
UCL	UCL East Update to UCL Council 23 November 2017	Council Paper November 2017 V9	12/07/2018

Organisation	Document description	Document name	Date sent to RSM
UCL	UCLE Marshgate Fit Out Stage Gate 2 Review Meeting, February 2018	Marshgate SG2 FO Review Meeting Minutes	12/07/2018
UCL	UCLE Pool Street West Stage Gate 3(b) Review Meeting, March 2018	UCLE Pool Street West Stage Gate 3 Review Minutes	12/07/2018
UCL	UCLE Marshgate Shell & Core Stage Gate 3 Review Meeting, March 2018	UCLE Marshgate Shell and Core SG3 Review Minutes	12/07/2018
UCL	Marshgate External Project Manager Monthly Report April 2018	MGT - PM Monthly Report April 2018	12/07/2018
UCL	Marshgate External Project Manager Monthly Report May 2018	MGT - PM Monthly Report May 2018	12/07/2018
UCL	WSP Change Log for Marshgate	WSP - Marshgate Summary CE register v47.3	17/07/2018
UCL	UCL East Phase 1 Pool Street West Project Execution Plan February 2018	MP003-UCLE-XXX-XX-J-PEP-XXX-0009-0001.P03	18/07/2018
UCL	UCL Phase 1 Pool St West Procurement Strategy Report & Appendices	20180720 - PS - Procurement Strategy Rev 0.3 UCLE Pool Street Procurement Strategy - Appendix B UCLE Pool Street Procurement Strategy - Appendix C UCLE Pool Street Procurement Strategy - Appendix E	18/07/2018
UCL	Presentation - Master Programme; Key Milestones and Dependencies	UCLE_Prsentation on programme_050118v1	19/07/2018
LLDC	SWF Project risk register	2018 06 25 SWFT Risk Register v2 - NP.xls	12/07/2018

Organisation	Document description	Document name	Date sent to RSM
LLDC	Monthly QRA movement	QRA Movement between May and June.xls	12/07/2018
LLDC	SWF Project risk review presentation	SWFT Project Risk Review 28.06.18 (Draft).pptx	12/07/2018
LLDC	EB Programme risk register		05/07/2018
LLDC	EB Programme risk heat map		05/07/2018
LLDC	Monthly risk review minutes	180517_SWFT Monthly Risk Review v2.doc	12/07/2018
LLDC	SWF PSR June 2018	SWFT PSR - May 2018_Final Draft.pdf	12/07/2018
LLDC	Mock Up of Construction monthly report	SWFT PSR - June 2018_Final Draft.pdf	12/07/2018
LLDC	SWF PSR July 2018	Mockup_Monthly SWF Construction Report.pdf	17/07/2018
LLDC	East Bank Programme-wide reports	CED ProgrammeWide report_Apr18_v0.2.pdf CED ProgrammeWide report_May18_v0.2.pdf CED ProgrammeWide report_June18_v0.1.pdf	17/07/2018
LLDC	Baseline SWF Programme	Overall SWFT_Baseline Programme.pdf	12/07/2018

Organisation	Document description	Document name	Date sent to RSM
LLDC	Latest SWF forecast programme (rev. 5)	Rev 5 Overall Programme 06 Jul 18.pdf	12/07/2018
LLDC	Programme swim lanes	East Bank Swim Lanes_v5.0.pptx	12/07/2018
LLDC	SWF Residential Cost Report	RESI Cost Report - May 2018_Final.pdf	12/07/2018
LLDC	SWF Cost Report	SWFT Cost Report - June 2018_Final.pdf	12/07/2018
LLDC	RIBA Stage 2 process overview	SWF and RESI RIBA Stage 2 sign off process_v6.xls	12/07/2018
LLDC	Draft RIBA Stage 3 process overview	SWF RIBA Stage 3 sign off assurance and viability_v2.pptx	12/07/2018
LLDC	Final End of RIBA Stage 2 Assurance Report	FINAL LLDC SWFT Stage 2 REPORT 250518 ISSUE.pdf	12/07/2018
LLDC	SWF RIBA Stage 2 LLDC Internal queries	Final Comments -TandT Stage 2 Assurance Report.xls	12/07/2018
LLDC	Notes and actions from RIBA Stage 2 Assurance Report Review Meeting	Minutes - Stage 2 Review 07022018.doc	12/07/2018
LLDC	SWF Processes and Procedures	MP001-CED-XX-XX-J-PRO-XXXX-XXXX-0001.pdf	12/07/2018
LLDC	SWF Baseline Report	2.0 Stratford Waterfront Stage 2 Interim Baseline Report.pdf	12/07/2018

Organisation	Document description	Document name	Date sent to RSM
LLDC	SWF PEP	MP001-SW02-XX-XX-J-PEP-XXXX-XXXX-0001.pdf	12/07/2018
LLDC	SWF Target Operating Model		13/06/2018
LLDC	Integrated Assurance Strategy	CED_IntegratedAssuranceStrategy_v1-5.pdf	12/07/2018
LLDC	Assurance Framework	LLDC_ProjectAssuranceFramework_v0-8.pdf	12/07/2018
LLDC	SWF Construction Assurance Model and Reporting	SWFConstructionProjectAssuranceFramework_2018 v3.pptx	27/06/2018
LLDC	Change Board Terms of Reference & process	CED Change Control Board - Terms of Reference v10.pdf	19/07/2018
LLDC	Assurance Controls matrix		
LLDC	June 2018 East Bank Board	East Bank Board - 26 June 2018.pdf	12/07/2018
LLDC	May 2018 CED Board - Agenda	Culture and Education District Board - Agenda.pdf	12/07/2018
LLDC	May 2018 CED Board - Collaboration Charter Paper and Appendices	Item 6 - Collaboration charter incl appendices.pdf	12/07/2018
LLDC	Minutes from November 2017 meeting	171114 CED Board DRAFT Minutes v0.1.pdf	12/07/2018

Organisation	Document description	Document name	Date sent to RSM
LLDC	East Bank Programme Board ToR	June 2018 East Bank Programme Board Terms of Reference_v3.doc	17/07/2018
LLDC	July 2018 Project Board Agenda	SWFT Project Board Agenda July 18.pdf	12/07/2018
LLDC	May 2018 Project Board Agenda	Stratford Waterfront Project Board - Agenda.pdf	12/07/2018
LLDC	May 2018 Project Board Minutes	180516 - Stratford Waterfront Project Board_FINAL.doc	12/07/2018
LLDC	April 2018 Project Board minutes	180418 - Stratford Waterfront Project Board_v2.doc	12/07/2018
LLDC	April 2018 Project Board Papers: Procurement Strategy	SWFT CED Procurement Strategy_v0.9.pdf	12/07/2018
LLDC	April 2018 Project Board Agenda	Stratford Waterfront Project Board - Agenda April 2018.pdf	12/07/2018
LLDC	PSR, issued June 2018	RESI PSR - May 2018_Final Draft.pdf	12/07/2018
LLDC	PSR, issued May 2018	RESI PSR - Apr 2018_Final.pdf	12/07/2018
LLDC	PSR, issued April 2018	RESI PSR - Mar 2018_Final Draft.pdf	12/07/2018
LLDC	Execview report	SWF Shadow ManCo Monthly Report_July 2018.pdf	12/07/2018

Organisation	Document description	Document name	Date sent to RSM
LLDC	Minutes, Marketing & Comms working group	20180703 East Bank Marketing and Comms working group minutes.doc	16/07/2018
LLDC	Development Protocol	171207_DevelopmentProtocol - V10 Clean.doc	19/07/2018
LLDC	LLDC Obligation Tracker	LLDC Obligation_Issued Tracker.xls	19/07/2018
LLDC	Tender Event Schedule	MP-CC-FM-044 Tender Event Schedule - SW02 04-07-18 PARTNER.pdf	19/07/2018
LLDC	Stage 2 procurement schedule, full detail	Procurement 0407 Full.pdf	19/07/2018
LLDC	Stage 2 procurement schedule, high level detail	Procurement 0407 HL.pdf	19/07/2018
LLDC	CLB Partner Approvals Tracker	SWFT Partner approvals Tracker (CLB) Rev01.pdf	19/07/2018
LLDC	Public Realm Partner Approvals Tracker	SWFT Partner approvals Tracker (PPRR) Rev01.pdf	19/07/2018
LLDC	UAL Partner Approvals tracker	SWFT Partner approvals Tracker (UAL) Rev01.pdf	19/07/2018
LLDC	SWF Working Group Terms of Reference	170509 SWFT Working Group ToR r1.0.doc	24/07/2018
LLDC	MACE Contract Admin Report for April 2018	Contract Admin Report - April Final.pdf	24/07/2018

Organisation	Document description	Document name	Date sent to RSM
LLDC	Contract Admin Meeting Minutes, April 2018	MP001-CED-XX-XX-J-MIN-XXXX-XXXX-0009 (April).pdf	24/07/2018
LLDC	MACE Contract Admin Report for June 2018	Contract Admin Report - June Final.pdf	24/07/2018
LLDC	Contract Admin Meeting Minutes, June 2018	MP002-SW02-XX-XX-J-REP-XXXX-0009-0518.pdf	24/07/2018
LLDC	Delegated Authority Register	EACE 00013.pdf	24/07/2018
LLDC	Delegated Authority Register	EACE 00014.pdf	24/07/2018
LLDC	Delegated Authority Register	EACE 00017.pdf	24/07/2018
LLDC	SWF Month End Summary report May 2018	MP002=SW02-XX-XX-J REP -XXXX-0009-0518	19/07/2019
LLDC	SWF Month End Summary report June 2018	MP002=SW02-XX-XX-J REP -XXXX-0009-06-18	19/07/2019
LLDC	V&A Reference Brief - 5th July 2018	04.07.2018 V&A Reference Brief V&A East - 'Stage'	19/07/2019
LLDC	MPS Strategy SWF	MP001 -SW02-07-XX-J-PRE-XXXX-0015-0001_P01 6th June	19/07/2019
LLDC	Design Team Stage 3 Brief compliance Tracker	MP101-SW02-10-XX-A-TRC-XXXX-0100-001	19/07/2019

Organisation	Document description	Document name	Date sent to RSM
LLDC	Design Team Stage 3 Brief compliance Tracker	MP101-SW02-10-XX-A-TRC-XXXX-0100-001	19/07/2019
LLDC	London College of Fashion - Design Team Meeting minutes 3 July 2018	MP101-SW02--03-XX-A-MIN-XXXX-0100-0039_P01	19/07/2019
LLDC	V&A Partner Progress meeting No 10	MP101-SW01-07-XX-A-MIN-XXXX-0100-0029	19/07/2019
LLDC	LLDC Short Procurement Plan SWF- Tower Cranes Works Package WP 1310/10	V0.3 14 May 2018 Third Draft	19/07/2019
LLDC	SWF RIBA Stage 3: End of Stage Process	11 July 2018 Updated following 10 July Implementation Review	19/07/2019
LLDC	CED Procurement Strategy Progress Meeting	Meeting Minutes 11/07/2108	19/07/2019
LLDC	Tender Event schedule	(Master Prog Stage 2 Rev5) Revision V16 18/07/18	19/07/2019
LLDC	Stage 3 Report - Time for submission to LLDC - Draft	Stage 3 Report - Time for submission to LLDC - Draft	19/07/2019
LLDC	Partner Approvals SWFT (Master Tracker)	Partner Approvals SWFT (Master Tracker)	19/07/2019

APPENDIX E – INTERVIEWEES

The team interviewed the following people:

Programme Management, LLDC

- Rosanna Lawes, Executive Director of Development (East Bank SRO)
- Oliver Shepherd, Senior Programme Manager (East Bank programme risk management)
- s.40 Senior Programme and Assurance Manager
- Stephen Moore, Head of Finance, East Bank and Development

UCL East Project Management, UCL

- s.40, Deputy Director, UCL Estates
- s.40, Assistant Director UCL Estates
- s.40, Senior Project Manager, UCL Estates
- s.40, Programme Manager
- s.40, PMO Manager
- s.40, PMO Manager Portfolio Services, UCL Estates
- s.40, Project Manager (Marshgate), WSP

SWF Project Management, LLDC and MACE

- s.40, MACE Operations Director
- Greg Smith, LLDC Project Director Stratford Waterfront
- s.40, MACE Commercial Manager and PMP controls
- s.40, MACE Project Controls Manager
- s.40, Programme Planner
- s.40, Risk Manager

Other Partners

- s.40, UAL Programme Director, Major Capital Projects
- s.40, Sadler's Wells Chief Operating Officer
- s.40, BBC
- s.40, V&A East Project Manager

DISCLAIMER

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The matters raised in this report are only those which came to our attention during the course of our review and are not necessarily a comprehensive statement of all the weaknesses that exist or all improvements that might be made.

Recommendations for improvements should be assessed by you for their full impact before they are implemented. This report, or our work, should not be taken as a substitute for management's responsibilities for the application of sound commercial practices. We emphasise that the responsibility for a sound system of internal controls rests with management and our work should not be relied upon to identify all strengths and weaknesses that may exist. Neither should our work be relied upon to identify all circumstances of fraud and irregularity should there be any.

This report is supplied on the understanding that it is solely for the use of the persons to whom it is addressed and for the purposes set out herein. Our work has been undertaken solely to prepare this report and state those matters that we have agreed to state to them. This report should not therefore be regarded as suitable to be used or relied on by any other party wishing to acquire any rights from RSM UK Consulting LLP for any purpose or in any context. Any party other than the Board which obtains access to this report or a copy and chooses to rely on this report (or any part of it) will do so at its own risk. To the fullest extent permitted by law, RSM UK Consulting LLP will accept no responsibility or liability in respect of this report to any other party and shall not be liable for any loss, damage or expense of whatsoever nature which is caused by any person's reliance on representations in this report.

This report is released to our Client on the basis that it shall not be copied, referred to or disclosed, in whole or in part (save as otherwise permitted by agreed written terms), without our prior written consent.

We have no responsibility to update this report for events and circumstances occurring after the date of this report. RSM UK Consulting LLP is a limited liability partnership registered in England and Wales no. OC397475 at 6th floor, 25 Farringdon Street, London EC4A 4AB.

FOR FURTHER INFORMATION CONTACT

RSM
14th Floor
20 Chapel Street
Liverpool
L3 9AG

rsmuk.com