

Investment Appraisal Process Guidance Document

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1. Introduction

The University of Leeds Investment Appraisal Process is the key governance process for the approval of investment for initiatives. Sound decision-making is fundamental to good governance and management. The Investment Appraisal Process provides a framework to ensure that high quality, consistent investment information is provided at the appropriate time to support sound decision making about investments.

Templates have been developed to drive a consistent process across different types of projects – they are applicable to Estates projects and Business Change projects.

2. Purpose of this Document

This document sets out the principles of the Investment Appraisal Process, confirms the process steps including roles and responsibilities, provides information relating to the governance of the process and provides guidance for the completion of the templates.

Further detailed guidance, specific to each section of the template, is provided within the templates.

3. Investment Appraisal Process Governance

The outline scheme of delegation is set out in the Secretariat documents and can be accessed at: [Investment Appraisal Process Governance](#)

3.1 Governance Bodies

The Investment Appraisal Process is governed by the following bodies:

- Capital Group
- University Executive Group (UEG)
- Strategy and Investment Committee (SIC)
- Council

A summary of each groups terms of reference are available on the staff website in the governance section at: <https://www.leeds.ac.uk/forstaff/homepage/374/governance>

3.2. Governance Levels

Table 3.2: Delegated Levels of Authority for each Approval Body

Governance Delegation	Governing Body	Value of Delegation
Estates strategy and capital programme	Council	
Acquisition, construction, refurbishment and disposal of buildings (and acquisition and disposal of land) within estates strategy	Council	> £5m
	UEG	£2m to £5m
	Capital Group	£500k to £2 m
	Director of Facilities Management	< £500k
Acquisition, construction refurbishment and disposal of buildings (and acquisition disposal of land) outside estates strategy	Council	> £3m
	UEG	< £3m
Leasing of properties by and from the University	Council	> £5m or >10 years
	UEG	£2m to £5m
	Capital Group	£500k to £2m
	Director of Facilities Management	< £500k
Approval of building contracts	Director of Estates	< £5m
	Director of Facilities Management	> £5m
Approval of increase in approved budget for capital projects for increases up to 10% of original cost	Director of Facilities Management	< £500k
	Capital Group	£500k to £2m
	UEG	£2 to £5m
Approval of increases over 10% of original cost or over £5 million	Body with authority to approve total value of scheme	As above

* Delegated levels of authority correct as of March 2018

3.3 Governance of Approvals

The different governing bodies have delegated authority for approving initiatives up to the values set out in section 3.2. While the delegated body is ultimately accountable for approving the business case, the approval documents associated with the earlier phases of the lifecycle (Strategic Outline Case and Prima Facie Business Case) may not require review. Table 3.3 below confirms which approval body approves specific documents.

Table 3.3: Bodies Responsible for Approving Business Case Documents

Value of Initiative	Approval Document	Approval Body			
		Capital Group	UEG	SIC	Council
£0.5m to £2m	Short Form Business Case	Approve			
£2m to £5m	Strategic Outline Case	Approve			
	Prima Facie Business Case	Approve	Report		
	Full Business Case	Endorse	Approve		
£5m	Strategic Outline Case	Approve			
	Prima Facie Business Case	Endorse	Endorse		
	Full Business Case	Endorse	Endorse	Review if required	
	Council Business Case			Endorse	Approve
	Post Investment Review	Review	Review	Review	Approve

*Approve: The document is approved by the Approval Body.

*Endorse: The document is endorsed by the Approval Body to progress to the next stage of approval.

*Review: The document is reviewed by the Approval Body and comments/ recommendations provided.

*Report: The outcome of the sub group's approval is reported to the Approval Body.

While table 3.3 provides best practise, there may be occasions where further consultation is required. The Director of Facilities Management or his team (Director of Estates, Head of Programme Management Office, Head of Finance Facilities Directorate, Head of Estates Planning and Information) will be able to advise.

3.4 Approval Body Submission Dates

Papers for approval bodies are formally submitted for circulation ahead of the relevant meetings; each approval body's requirement are set out in table 3.4 below.

Table 3.4: Submission Dates for Approval Bodies

Approval Body	Requirement for Submission of Papers
Capital Group	Two weeks in advance to reviewers (see section 3.5), 10 days in advance to Capital Group secretary
University Executive Group	One week in advance
Strategy and Investment Committee	Two weeks in advance
Council	Two weeks in advance

3.5 Review of approval documents

Before any case is presented to an approval body, it is important to ensure that all senior stakeholders are consulted about the proposal. Adequate time should be factored into the process to ensure that reviewers

are properly consulted. For projects greater than £500,000 in capital value, signatures are required before submitting the proposal to the relevant approval body (see table 3.5.1):

Table 3.5.1: Signatures Required Before Submission

Value of Initiative	Approval Document	Reviewer					
		Sponsor	Faculty Finance Manager	Head of Management Accounting	Head of Finance FD	Head of PMO FD	Director of Estates
£0.5m to £2m	Short Form Business Case	Required	Required	Required	Required	Required	Required
£2m to £5m	Strategic Outline Case	Required	Required	Required	Required	Required	Required
	Prima Facie Business Case	Required	Required	Required	Required	Required	Required
	Full Business Case	Required	Required	Required	Required	Required	Required
£5m	Strategic Outline Case	Required	Required	Required	Required	Required	Required
	Prima Facie Business Case	Required	Required	Required	Required	Required	Required
	Full Business Case	Required	Required	Required	Required	Required	Required
	Council Business Case	Required	Required	Required	Required	Required	Required
	Post Investment Review	Required	Required	Required	Required	Required	Required

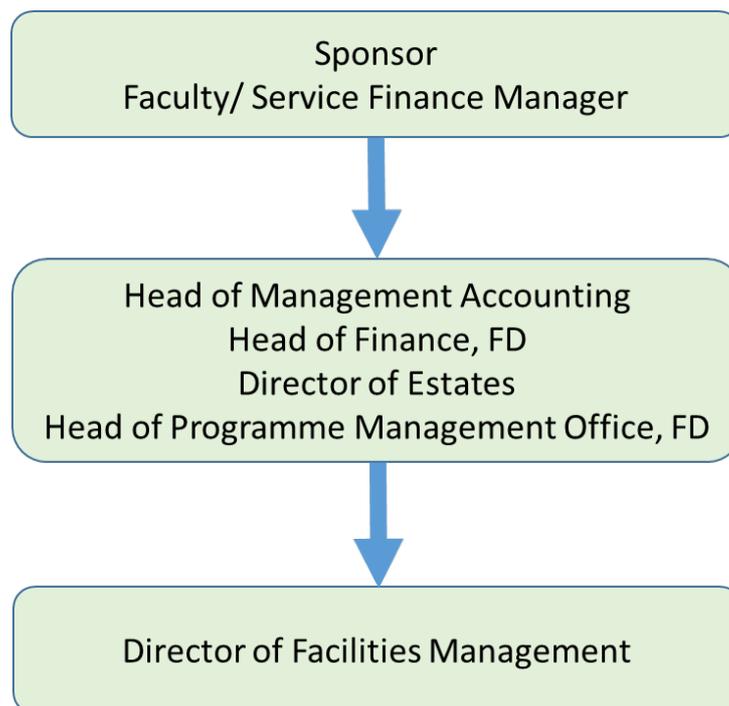
In addition to the reviewers above, the document is to be copied into the Head of Planning and Space Management.

Table 3.5.2: Role of Reviewer

Approver	Role in approval process
Sponsor	Signs off the academic case and confirms the business case meets the Sponsors requirements
Faculty or Service Finance Manager	Signs off the financial information in the business case
Head of Management Accounting	Signs off the overall academic business case, the financial benefits of the initiative and the relationship to Internal Planning Exercise (IPE)
FD Head of Finance	Signs off affordability of the initiative, the Estates capital costs and recurrent costs
Director of Estates	Signs off the Estates capital development and link to Estates strategy
FD Head of Programme Management Office (PMO)	Signs off the quality of the document and formatting

The Business Lead should gain internal acceptance of the document first from the Sponsor and Faculty or Service Finance Manager before sending the business case to the Head of Management Accounting, Head of Finance FD, Director of Estates and Head of Programme Management Office FD. Following comments from reviewers, agreed changes are incorporated into the business case and signed off by the reviewers. The final copy is submitted to the Director of Facilities Management.

Diagram 3.5.1: Flow Diagram Illustrating Approval Process

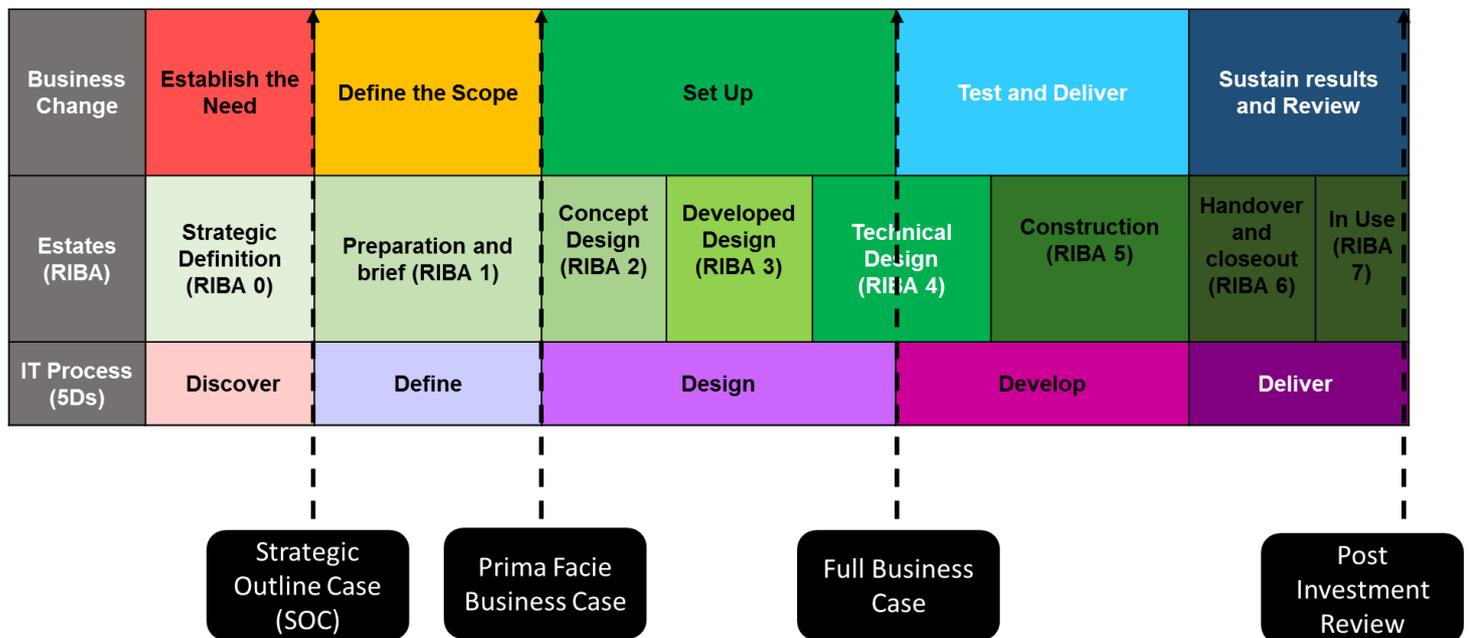


4 Principles of the Process

4.1. Project Management Processes within the University

Various project management processes are used at the University of Leeds. While the stages and phases often have different titles, they are all ultimately designed to deliver a project of the desired quality, cost and to time. As such, there are many common processes and tools, and they all link to the University Investment Appraisal Process. Diagram 4.1 illustrates the processes for Business Change, Estates and IT, where the stages of each process align. The diagram also shows the approximate point at which the approvals take place.

Diagram 4.1. Phases of Different Types of University of Leeds Initiatives



4.2. Overview of Investment Appraisal Process

These guidelines relate to all University capital projects. This excludes minor works and maintenance projects.

For all projects costing over £500,000, the University undertakes an evaluation process to ensure they are financially viable and fit both the estates strategy and the longer-term academic direction of the University. The four stages of the process are applied to different project values. The four stages of the process are detailed in section 5 and include the following:

1. Strategic Outline Case (SOC)
2. Prima Facie Business Case
3. Full Business Case (FBC)
4. Post Investment Review (PIR)

For building and refurbishment projects costing up to £500,000 Estates Services will complete a Short Form Business Case (<£500k). The completed sheet is signed by the Faculty Dean or Service Director, to evidence their agreement, and approval is given by the Director of Facilities Management. Approval levels for projects less than £500k vary and are not covered by this document.

For building and refurbishment projects costing between £500,000 and £2m, a Short Form Business Case is prepared by the faculty/ service sponsor in conjunction with Estates Services. This should include the academic case (including a consideration of the University’s strategic priorities), an appraisal of the build options (including net present value (NPV)), and details of the preferred option. The completed case is signed by the Faculty Dean or Service Director as project sponsor, to evidence their agreement, before

going to Capital Group. However, if the Director of Facilities Management considers that a particular project warrants a full evaluation, it is treated the same as those over £2m (see below).

For projects over £2m, a Strategic Outline Case (SOC) is required. This is presented at an early stage in the process before design development and ensures that the strategic need for the project is justified before committing to the design development stage. Ideas for future projects can arise through a number of routes: the faculty IPE process, regular Faculty - Estates liaison meetings, internal faculty capital or business planning processes. These require support from an executive sponsor to progress to SOC stage.

The templates for Prima Facie Business Case and Full Business Case (FBC) have been consolidated into a single document. The Prima Facie Business Case provides an early opportunity for the Approval Body to comment on a business case and to provide direction on its development. Its main focus will be on the consideration of options and the rationale for selecting a preferred option. The Prima Facie Business Case will outline the preferred solution, considering the best information available at that stage. However, it should be acknowledged that costs and programme detail will carry significant risk at this point because the design is not fully developed. The Full Business Case considers the same information relating to the preferred solution as the Prima Facie Business Case, but the project details and financial analysis will be refined better defined.

For all projects that require Council approval (greater than £5m in value for initiatives identified in the Estates strategy) a Post Investment Review (PIR) is required two years after completion. The focus of the PIR is to review if the assess if the benefits identified in the business case have been delivered and to identify any corrective actions required.

5 Business Process

5.1 Purpose of Each Stage

Stage 1: Strategic Outline Case (SOC)

The University of Leeds has one of the largest estates portfolios of any university in the UK and as such there are always significant demands on the capital programme for investment. The University needs to ensure that capital investment is targeted on the projects that will meet its greatest needs. This mainly translates to meeting the University's strategic priorities, maintaining the existing estate and complying with legislation.

The SOC confirms that there is a strategic need for investment, examines the external market that supports the case and provides an initial assessment of the benefits of the investment (financial and non-financial). Risks should also be identified, so they can be addressed at the feasibility and design development stages.

The purpose of SOC is to confirm that there is a strategic need for the investment. It approves funding to develop the initiative through to Prima Facie Business Case and Full Business Case.

Stage 2: Development of the Prima Facie Business Case

The Prima Facie Business Case comprises two essential elements: building on the academic case set out in the SOC and appraisal of options. It is developed within the faculty or service area in conjunction with Estates Services and other stakeholders. The Faculty Dean or Service Director (or their nominee) "champions" the project and is referred to as the Sponsor (the role of the Sponsor is described in section 5.3).

The Prima Facie Business Case reconfirms the strategic need for the project, its objectives and benefits. The need should have been identified in the SOC however, if there have been changes or a greater definition of the need then these should be highlighted here.

The main focus of the Prima Facie Business Case is to consider the options that could deliver the project objectives. It is important to consider as wide a range of options for delivery as possible, including a “do nothing” option as the “base case”. The use of the existing estate should always be considered before a new build option is identified. All options should be presented in the Prima Facie Business Case including details of capital cost, other non-capital project delivery cost, recurrent cost, income, net present value (NPV), risks and benefits. The values should be realistic and objectively assessed; being over-optimistic (or overly pessimistic) about values or dates can lead to the wrong conclusion. Estates Services should lead on the identification of the various build options in conjunction with the Project Sponsor.

The Prima Facie Business Case presents the preferred option, including all financial and non-financial detail available at the time, along with the rationale for selecting it. The procurement options to deliver the preferred solution should also be set out.

Stage 3: Development of the Full Business Case (FBC)

The Project Sponsor is accountable for the Full Business Case, with support from Estates and others. Its purpose is to present all the information relating to strategic need, option selection and recommended solution to enable the approval body to make a decision. The FBC should be presented at a stage where the project is at an advanced stage and provide a confident assessment of the projects outturn values.

The FBC should set out the logic underpinning the choice of preferred solution, and the associated risks and sensitivities associated with it. It should clearly describe the need or problem to be solved, which project option represents the best value and whether that option is affordable. If, after approval, any of the assumptions are invalidated, the approval committee should be informed, as this may alter the decision reached.

As a general rule the Project Sponsor should not bid for external funding until the FBC has been approved. However, it is recognised that the timescales involved do not always allow production of the FBC in advance of a bid. Subject to reporting to Council, the Pro Chancellor, as chair of Council, can approve such a bid. The FBC must follow and be approved prior to announcement of funding, in the event of a failed bid, there is no supposition that the University will fund the gap.

Stage 4: Post Investment Review

In order to understand whether an investment is delivering the expected result, it is essential to carry out a review of funded initiatives. A Post Investment Review is mandatory for all projects costing more than £5m and the project sponsor should initiate this within two years of completing the project or as determined by Council. The review will assess whether the expected benefits have been delivered and provide recommendations and corrective action where they have failed to do so. Learning from the review is incorporated into the Investment Appraisal Process and project management processes to ensure that continuous improvement is embedded.

A review is presented two years after completion, assuming that a project is delivering benefits as ‘business as usual’. If realisation of project benefits extends beyond two years, a second review should be planned at an appropriate point, within five years, after the benefits have been fully realised. This stage should not be confused with a Post Project Review which is undertaken when the project is completed and forms part of the project management process.

5.2 Roles and Responsibilities

Throughout the life of an initiative, it is critical that the people working on the project understand their role to ensure that it is delivered successfully. The tables below (5.2.1, 5.2.2, 5.2.3) outline key project roles and responsibilities and provide a RACI (responsible, accountable, consult and inform) for the completion of the SOC template and Prima Facie Business Case / FBC.

Further guidance is provided in the practical guide to delivering results website at:

[Roles and Responsibilities](#)

Table 5.2.1: Key Initiative Roles and Responsibilities

This table has been derived from the Delivering Results, roles and responsibilities guidance:

Role	Description of Duties
Sponsor	<p>Owns the vision for the initiative and is accountable for its success.</p> <p>Accountable for the initiative’s oversight and decision making; chairs the overseeing body.</p> <p>Ultimately accountable for delivery of the initiative, ensuring it realises the expected outcomes.</p> <p>Provides direction and leadership throughout the initiative’s lifecycle.</p> <p>Oversees the identification and mitigation of key strategic risks arising from the initiative.</p> <p>Accountable for the business case.</p> <p>Accountable for securing internal and external funds and key initiative resources.</p> <p>Manages the interface with key senior stakeholders, keeping them engaged and informed.</p> <p>Ensures the alignment of the initiative with the university’s strategic direction.</p> <p>Is the face of the initiative – visibly champions it.</p> <p>Is accountable for ensuring a clear governance structure is in place</p> <p>Accountable for ensuring that income opportunities are explored and optimised.</p>
Business Change Project Manager	<p>Holds primary responsibility for planning the successful delivery of the outputs and capabilities.</p> <p>Supports Academic/ Service lead and Sponsor in determining oversight structure and helps set it up. Ensures that good oversight and assurance takes place throughout lifecycle of the initiative.</p> <p>Plans and designs the initiative.</p> <p>Monitors progress and identifies mitigation actions/interventions to get back on track.</p> <p>Ensures that issues are resolved and project risks have action owners for mitigating the risk.</p> <p>Manages dependencies and third party contributions, where not managed by the Estates Project Manager.</p> <p>Manages the initiative budget with support from Finance Manager and Academic / Service Lead.</p> <p>Manages the resource allocation with support from HR Manager and Business Lead.</p> <p>Supports academic lead and sponsor in the compilation and authoring of the business case.</p>
Estates Project Manager	<p>Holds primary responsibility for planning the successful delivery of the Estates outputs and capabilities.</p> <p>Plans and designs the Estates Services initiative.</p>



Role	Description of Duties
	<p>Monitors progress and identifies mitigation actions/interventions on the Estates project to get back on track.</p> <p>Ensures that issues are resolved and project risks are mitigated.</p> <p>Manages dependencies and third party contributions.</p> <p>Manages initiative budget with support from Finance Manager and Academic / Service Lead.</p> <p>Manages the interface with consultants and contractors to ensure the successful delivery of the initiative.</p> <p>Manages resource allocation.</p>
<p>Academic/ Service Lead</p>	<p>Acts as delegated sponsor on day to day basis.</p> <p>Provides day-to-day steer.</p> <p>Responsible for benefits definition and realisation to the desired outcome.</p> <p>Advises Project Manager on risks and issues.</p> <p>May act as author on the business case.</p> <p>Responsible for the initiative planning and prioritisation of deliverables to achieve the initiative's outcomes.</p> <p>Oversees activity of Senior Users and Suppliers.</p>
<p>Faculty/ Service Finance Manager</p>	<p>Completes the net present value (NPV) calculation to ensure that the optimum solution is selected.</p> <p>Compiles the financial data for capex, recurrent costs (across all relevant areas) and income.</p> <p>Requests the asset write off value.</p> <p>Validates the scale of the initiative.</p> <p>Assesses financial risk and sensitivity</p>
<p>Head of Finance, Facilities Directorate</p>	<p>Validates the financial data for capex, including risk contingency and recurrent cost of space.</p> <p>Provides the asset write off values after consultation with Treasury.</p> <p>Responsible for Investment Appraisal Process being fit for purpose (for Capital Group and Council).</p> <p>Reviews proposal for adherence to Investment Appraisal Process standards.</p>
<p>Head of Management Accounting</p>	<p>Tests business case for alignment with IPE and validates the case for income.</p> <p>Responsible for ensuring that NPV methodology is correct (e.g. discount rates, duration, relevant cash flows etc.).</p> <p>Review the business cases for overall quality ahead of submission to approval body.</p>
<p>Estate Planning and Information</p>	<p>Supports the optioneering phase through identifying potential options within the existing estate.</p> <p>Assists in identifying assets for write off.</p> <p>Supports the capex solutions with estimates of space usage relating to options and solutions.</p>
<p>Faculty/ Service Facilities Manager</p>	<p>Supports the development of options.</p> <p>Supports the development of the preferred solution.</p> <p>Confirms condition and performance of existing facilities.</p> <p>Contributes towards the business case development.</p>

Table 5.2.2: Strategic Outline Case Roles and Responsibilities

The table below shows the key roles and responsibilities when completing each section of the Strategic Outline Case:

Strategic Outline Case Section		Accountable	Responsible	Consulted	Informed
	Executive Summary	Sponsor	Academic/ Service Lead		
1	Outline of Strategic Need	Sponsor	Academic/ Service Lead		
1.1	University Strategic Alignment	Sponsor	Academic/ Service Lead	Business Change Project Manager	
1.2	Market Rationale and Competitive Context	Sponsor	Academic/ Service Lead	Business Change Project Manager, Faculty/ Service Finance Manager	Management Accounting
1.3	Drivers for Change	Sponsor	Academic/ Service Lead	Business Change Project Manager	
1.4	Vision Statement	Sponsor	Academic/ Service Lead	Business Change Project Manager	
1.5	Objectives	Sponsor	Academic/ Service Lead	Business Change Project Manager	
2	Success Criteria and Benefits	Sponsor	Academic/ Service Lead	Business Change Project Manager	
2.1	Benefits	Sponsor	Academic/ Service Lead	Business Change Project Manager, Faculty/ Service Finance Manager	
2.2	Success Criteria	Sponsor	Academic/ Service Lead	Business Change Project Manager Faculty/ Service Finance Manager	
3	Assumptions, Constraints & Dependencies	Sponsor	Academic/ Service Lead	Business Change Project Manager, Faculty/ Service Finance Manager	
3.1.	Assumptions	Sponsor	Academic/ Service Lead	Business Change Project Manager, Faculty/ Service Finance Manager	
3.2	Constraints	Sponsor	Academic/ Service Lead	Business Change Project Manager, Head of Estate Planning and Information	
3.3	Dependencies	Sponsor	Academic/ Service Lead	Business Change Project Manager	
4	Impact of the Change	Sponsor	Academic/ Service Lead	Business Change Project Manager, Faculty/ Service Finance Manager, Head of Finance FD Faculty Facilities Manager, Head of Estate Planning and Information	
5	Scope of High Level Outline Solution	Sponsor	Academic/ Service Lead	Business Change Project Manager, Faculty/ Service Finance Manager, Head of Finance FD Head of Estate Planning and Information	Director of Estates
6	High Level Cost Estimates	Sponsor	Faculty/ Service Finance Manager	Business Change Project Manager, Academic/ Service Lead, Head of Management Accounting, Head of Finance FD Head of Estate Planning and Information	Director of Estates

Strategic Outline Case Section		Accountable	Responsible	Consulted	Informed
6.1.	Funding Estimates	Sponsor	Faculty/ Service Finance Manager	Academic/ Service Lead, Head of Management Accounting, Head of Finance FD	
6.2.	High level Financial Estimates	Sponsor	Faculty/ Service Finance Manager	Business Change Project Manager, Academic/ Service Lead, Head of Management Accounting, Head of Finance FD Estate Planning and Information	Director of Estates
7	High Level Timescales	Sponsor	Academic/ Service Lead	Business Lead, Head of Management Accounting	Director of Estates
8	Appendices	Sponsor	Faculty/ Service Finance Manager	Academic/ Service Lead	

Table 5.2.3: Prima Facie Business Case / Full Business Case Roles and Responsibilities

The table below shows the key roles and responsibilities when completing each section of the Prima Facie Business Case/ Full Business Case.

Full Business Case Section		Accountable	Responsible	Consulted	Informed
	Executive Summary	Sponsor	Academic/ Service Lead	Estates Project Manager, Business Change Project Manager, Head of Finance FD, Faculty/ Service Finance Manager	Director of Estates
1	Strategy, Vision & Objectives and Market Rationale	Sponsor	Academic/ Service Lead		
1.1	University Strategic Alignment	Sponsor	Academic/ Service Lead	Business Change Project Manager Faculty/ Service Finance Manager	
1.2	Market Rationale and Competitive Context	Sponsor	Academic/ Service Lead	Business Change Project Manager Faculty/ Service Finance Manager	
1.3	Drivers for Change	Sponsor	Academic/ Service Lead	Business Change Project Manager Faculty/ Service Finance Manager	
1.4	Vision	Sponsor	Academic/ Service Lead	Business Change Project Manager	
1.5	Objectives	Sponsor	Academic/ Service Lead	Business Change Project Manager	
2	Success Criteria	Sponsor	Academic/ Service Lead	Business Change Project Manager Faculty/ Service Finance Manager	
3	Option Appraisal	Sponsor	Academic/ Service Lead	Estates Project Manager, Business Change Project Manager Faculty/ Service Finance Manager	
3.1	Proposed Options	Sponsor	Academic/ Service Lead	Estates Project Manager, Business Change Project Manager, Faculty/ Service Finance Manager, Head of Finance FD Faculty Facilities Manager, Head of Estate Planning and Information	Director of Estates



Full Business Case Section		Accountable	Responsible	Consulted	Informed
3.2	Key Benefits of Options and How they are Delivered	Sponsor	Academic/ Service Lead	Business Change Project Manager, Faculty/ Service Finance Manager, FD Head of Finance Head of Management Accounting	Director of Estates
3.3	Financial Comparison of Options	Sponsor	Faculty/ Service Finance Manager	Estates Project Manager, Business Change Project Manager, Faculty/ Service Finance Manager, Head of Management Accounting Head of Estate Planning and Information	Director of Estates
3.4	Strategic Risk Profile of Different Options	Sponsor	Academic/ Service Lead	Faculty/ Service Finance Manager, Head of Management Accounting, Head of Finance FD	Director of Estates
3.5	Sustainability Consideration of Options	Sponsor	Academic/ Service Lead	Sustainability Team, FD	
3.6	Preferred Option	Sponsor	Academic/ Service Lead	Estates Project Manager, Business Change Project Manager, Faculty/ Service Finance Manager, Head of Management Accounting, Head of Estate Planning and Information	Director of Estates
4	Financial Analysis of Preferred Option	Sponsor	Faculty/ Service Finance Manager	Business Lead, Head of Management Accounting	
4.1	Financial Forecasts	Sponsor	Faculty/ Service Finance Manager	Academic/ Service Lead, Head of Management Accounting, Head of Finance FD Estates Project Manager, Business Change Project Manager	Director of Estates
4.2	Benefits	Sponsor	Academic/ Service Lead	Faculty/ Service Finance Manager, Head of Finance FD	
4.3	Sensitivity and Risk Analysis	Sponsor	Faculty/ Service Finance Manager	Faculty/ Service Finance Manager, Head of Finance FD	
4.4	Sources of Funding and Affordability	Sponsor	Faculty/ Service Finance Manager	Academic/ Service Lead Head of Finance, FD	
4.5	Assumptions	Sponsor	Academic/ Service Lead	Faculty/ Service Finance Manager, Estate Project Manager, Business Change Project Manager	
5	Delivery of the Investment and Benefits	Sponsor	Academic/ Service Lead		
5.1	Key Enablers				
5.2	Changes to Key Ways of Working	Sponsor	Academic/ Service Lead	Faculty/ Service Finance Manager, Business Change Project Manager	
5.3	Constraints and Dependencies	Sponsor	Academic/ Service Lead	Faculty/ Service Finance Manager, Estate Project Manager, Business Change Project Manager	
5.4.	High Level Timescales	Sponsor	Estates Project Manager	Faculty/ Service Finance Manager, Business Lead	Director of Estates

Full Business Case Section		Accountable	Responsible	Consulted	Informed
5.5	Oversight and Governance	Sponsor	Academic/ Service Lead	Business Change Project Manager, Faculty/ Service Finance Manager,	
5.6	Other Delivery Considerations	Sponsor	Academic/ Service Lead	Business Change Project Manager, Faculty/ Service Finance Manager,	
6	Conclusions and Recommendations	Sponsor	Sponsor		
7	Appendices	Sponsor	Academic/ Service Lead	Faculty/ Service Finance Manager	

6. Template Guidance

6.1 Attaching Documents to Approvals

The templates have been designed to meet the requirements of the Approval Body whilst rationalising the number of templates required. The templates consist of a main paper that is compliant with the University's committee house style, summarising the key points of the initiative and a detailed document containing the case for the initiative.

The house style for committee papers is located at:

http://www.leeds.ac.uk/secretariat/committee_papers_guidelines.html

Key documents that support the main paper should be presented as an Annex to the main paper. Any supplementary papers referenced in the detailed document should be appended. The following documents are typically annexed to the main paper:

- Financial Appraisal for Capital Cases (NPV)
- Financial KPIs
- Key Criteria Scoring Matrix
- Risk Register

6.2 File Naming Convention

When using a template to create a project specific document, the file must be renamed to ensure it complies with the Approval Bodies requirements. The following naming convention is recommended for files submitted to the approval body:

<Document description><title of project>

e.g. Main Paper Including Annex 1 Detailed FBC - Library Refurbishment Project

If the document is an annex to the main paper then it should be named as follows:

<ANNEX No.><Document description><title of project>

e.g. ANNEX 2 - FBC Financial Appraisal for Capital Projects (NPV) - Library Refurbishment Project



6.3 Contacts and Support

If you have questions relating to the process or how to progress a proposal the following contacts can provide advice and support:

Advice Category	Name	Role	Contact Number
Development of proposals and options	Michele Troughton	Head of Estate Planning and Information	0113 34 35937
IAP process	James Robson	Head of Programme Management Office	0113 34 32679