Department of Education

Capital Works Programme

Governance Framework
for
School Construction Projects

Revision October 2025

CM REF:
ED1/21/112139

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1 Introduction

Project governance is the management framework within which project decisions are made. It gives the Department of Education (DE) the required internal controls, while externally it provides reassurance to stakeholders that projects are being progressed in a controlled and consistent manner and that spend is justified. The benefits of good governance includes the optimisation of investment, avoidance of common reasons for failure, and motivation of staff through better communication. The application of good governance minimises risks arising from change and maximises the benefits.

Construction projects are complex and their successful delivery is dependent upon a number of critical factors as follows:

- Clear leadership and commitment from the Department's Investment Decision Maker who is responsible for ensuring the overall success of the Department's Capital Programmes.

- Good communication between all project team members and a clear communication plan.

- Roles and responsibilities clearly understood by everyone involved in the project with each team member taking accountability for their role in the success of the project.

- Planning and Design that delivers on the Department's brief as defined in the project Schedule of Accommodation and to the specification as detailed in the Department's Building Handbooks.

- Department Handbooks can be accessed via the following link:

  https://www.education-ni.gov.uk/building-handbook

- Adherence to the RIBA Plan of Work Stages and compliance with Education Advisory Branch Stage Reporting requirements.

- Engagement of all key stakeholders throughout the project lifecycle to include but not restricted to EA School Meals Service, EA School Cleaning Service, EA Maintenance Service and the Quality Safety Health and Environment (QSHE) Team.

- Compliance with Procurement and Contract Strategies which align with best practice Value for Money (VFM) solutions in line with NI Public Procurement Policy.

- Compliance with all Statutory Regulations and Legislation.

- Compliance with appropriate financial control systems, for example Managing Public Money
  https://assets.publishing.service.gov.uk/government/uploads/system/uploads/attachment_data/file/1174979/Managing_Public_Money_-_May_2023_.pdf

- Risk and Value Management that involves the entire project team and is actively managed throughout the project delivery programme.

- Commitment towards continuous improvement throughout the delivery programme.

- Commitment towards best practice on social economic and environmental objectives.

In order that the Department's capital programmes are delivered to a consistently high standard across all sectors, this governance framework should be adhered to on all programmes and projects.

This framework sets out the governance processes for all programmes and projects, and is the first in a suite of four documents which are summarised as follows:

- **Governance Framework (this document)** – First reference point for the set-up of the Project governance arrangements. This document sets out the governance steps which should be followed for a project, immediately following the announcement of the school under one of the Department's major capital funding streams.

- **Project Initiation Document (PID)** – Sets out the background, scope and management structure for a project as well as setting out the aims, outputs, activities and resources necessary for its successful delivery. The PID is prepared by the Integrated Consultant Team (ICT) and approved by the Department, in line with the Business Case and should act as a base document, against which the project can be effectively managed.

- **Project Execution Plan (PEP)** – This is a guide to assist the project team members in the performance of their duties and their interaction with other team members. The document is prepared by the ICT and owned by the Project Sponsor (PS) and its key objectives are to achieve the Department's requirements in terms of time, cost and quality via:

  - Guiding the Project Team members in the performance of their duties.

  - Monitoring and controlling project programme and delivery.

  - Maintaining an adequate and timely flow of critical information.

- **Handbook Assurance Document for ICT Submissions** – This sets out the requirements for Stage Submissions at specified DE Review Points. See Annex D

Please also refer to the Revised Policy and Guidance on best practice in project delivery:

[DAO (DoF) 02/20 - Revised Policy and Guidance on best practice in project Delivery](#) .

2 Project Inception & Delivery Process

A step-by-step lifecycle description of the decision points and processes involved in the management of construction projects is detailed at **Annex A**. It explains what should be done and when, who is involved and the information required to manage the project.

This model has been adopted as a tool for the delivery of school projects and is tailored to suit the needs of individual projects and procurement routes.   The model is also underpinned by the management of the Business Case, which is maintained throughout the life of the project to check that there continues to be a business need for the facility and that the project remains within business case tolerances.

This project lifecycle introduces the concept of 'Approval Stages' at which reviews must be carried out, which are aligned with RIBA Plan of Work Stages as follows:

- Stage 0 - Strategic Definition (Project Announcement)
- Stage 1 - Preparation and Briefing (Technical Feasibility and Business Case Completion)
- Stage 2 - Concept Design
- Stage 3 - Spatial Co-ordination and Developed Design
- Stage 4 - Technical Design & Pre-Tender
- Stage 5 - Construction
- Stage 6 - Handover
- Stage 7 - Use

See Annex C for further information.

At each Approval Stage, the project's Value For Money (VfM) should be confirmed. Approval Stages occur at key planning stages to ensure, inter alia, that risks are being managed and that the project remains affordable.

The Approval Stages represent points along the project planning route, beyond which the project should not proceed without specific management and funding activities having been completed. At each decision point, the Capital Programme Investment Decision Maker (IDM) evaluates the business case and investment proposals and, if justified, gives approval for the project to proceed to the next Stage. Recommendations from reviews undertaken at the Approval Stages may need to be addressed before the next stage of the project is approved.

The Approval Stage process complements the Gateway Review Process which is integrated within the process set out in Annex A. Further information on the Gateway Review Process is detailed at Section 5.

3   Key Roles and Responsibilities

3.1 Overview

A key principle for effective project governance is the clear establishment of roles and responsibilities within the team. The documented project management procedures must identify the individuals who will undertake the key client roles of:

- DE Capital Programme Investment Decision Maker
- Programme and Portfolio Manager
- Senior Responsible Owner (SRO)
- Investment Decision Maker Representative (IDM Rep)
- Project Sponsor (PS)
- Client Advisor/Project Manager (CA/PM) – if appointed they will undertake the role of Project Sponsor and a separate Project Sponsor will not be appointed
- Trustee Representative – to advise of site and school ownership matters as required.
- School Designated Lead (SDL)
- Senior Stakeholder

These roles are distinct from the key private sector provider roles. For each project an Integrated Consultant Team (ICT) will be appointed, which includes architects, engineers, quantity surveyors and project managers to develop the design for the school, procure the contractor and manage the construction works; and where appropriate, the Integrated Supply Team (IST) which includes the main contractor, their design team, subcontractors and their supply chain who will construct the school.

It is recognised that if a project is to be successful the individuals appointed to lead the project in the role of Senior Responsible Owner, Investment Decision Maker Representative, Project Sponsor, School Designated Lead and Client Advisor/Project Manager need to have the right skills and capabilities and the time to devote to the project. In particular, the ICT needs to be managed to ensure that the project is delivered on time, on budget and delivers the objectives as identified in the project Business Case

3.2 Capital Programme Investment Decision Maker (IDM)

The Capital Programme IDM is the DE Investment and Infrastructure Director.

The Capital Programme IDM decides whether or not proposed investment in a project should be forwarded for relevant approvals within DE and/or DoF. The IDM (or respective Grade 6) is responsible for the approval of each of the relevant RIBA Stages on individual projects, and for maintaining visible and sustained commitment to the delivery of projects and capital programmes.

While the IDM may delegate some of their day-to-day duties to an IDM representative, they remain responsible for the investment.

The Capital Programme IDM will attend the Capital Programme Oversight Group and Capital Maintenance and Investment meetings.

The Capital Programme IDM will oversee programmes and strategic budget investment.

3.3   Programme and Portfolio Manager

Typically, the Programme and Portfolio Manager will be the relevant IID Grade 6 (controlled and non-controlled projects).

This Manager will oversee the delivery of all projects within the funding stream, that is projects being delivered under the Major Capital Works Programme, Fresh Start Agreement and School Enhancement Programme.

The Programme and Portfolio Manager is supported by the relevant Head of DE Programme and EA Head of the Major Capital Delivery Service. The EA Head of Major Capital Delivery Service will provide technical advice and input to all projects as required and provide updates to the Programme and Portfolio Manager on all design reviews undertaken by MCDS.

The Programme and Portfolio Manager will have oversight of all Risk Potential Assessments and will be responsible for their sign off on behalf of the Department.

The Programme and Portfolio Manager will oversee all capital programme development and delivery.

The EA Head of Major Capital Delivery Service will:

- Provide a written report to the Programme and Portfolio Manager to include project dashboards regarding all projects on a weekly basis.
- Sign off on the EA financial returns submitted to the Department on a monthly basis for controlled projects.
- Manage the allocation of Senior Responsible Owner and Project Sponsor roles for major capital projects.
- Ensure Gateway Review completion and provide the Department with quarterly updates.
- Jointly chair Major Senior Team Design Reviews for all major capital projects along with the Head of Education Advisory Branch – Lead Architect.

The Head of MCDS will also liaise with other Departments within the EA to provide best practice advice and recommendations for change to the Building Handbooks as necessary. They will also oversee the completion of Post Project Evaluations and periodically provide a Lessons Learned Report to the Programme and Portfolio Manager.

To ensure that the SRO and IDM Rep are provided with appropriate support, Project Sponsors will also be appointed to individual projects.

The day-to-day administration of individual projects will be undertaken by the Project Sponsor and IDM Rep.

The Programme and Portfolio Manager will report to the Capital Programme IDM.

Specific Responsibilities of the Programme and Portfolio Manager

- Ensure that projects are subject to review at appropriate stages within the delivery life cycle in line with Gateway Review principles - Risk Potential Assessments are to be completed by the Project Sponsor.

- Ensure that projects meet the Department's Business Plan objectives.

- Meet monthly with Department of Finance representatives to discuss capital budget and matters arising.

- Liaise with other Government Departments and local Government including Councils, Planning Authorities and Statutory Consultees.

- Liaise with Managing Authorities and Governing Bodies regarding the Department's Capital Programmes, as necessary.

- Broker relationships with stakeholders to the Department's Capital Programmes.

- Meet fortnightly with the EA Head of Major Capital Delivery Team and Head of the Major Capital Implementation Team.

- Meet monthly with CCMS to review project progress.

   The Programme and Portfolio Manager will delegate the following meetings to the respective Head of Team, however will attend meetings as necessary:

- Meet fortnightly with EAB and EAU Representatives for Capital Progress Reviews.

- Meet quarterly with Land and Property Service.

3.4   Senior Responsible Owner

The SRO is the named individual responsible for ensuring that a successful project is delivered which meets the needs of the school and is within the budget allocated by DE.

The SRO will be a member of the DE or EA Major Capital Team. The SRO will have considerable experience in delivering new build projects within the education sector. As a key contributor to the development of the Business Case the SRO will have knowledge and experience of the operation of the five-case model Business Case and provide technical input as required.

The SRO will act on behalf of the Department to manage risks and ensure that that the project maintains focus. This individual must take personal responsibility for successful delivery of the project along with project board members. The SRO should be prepared to take decisions and should be proactive in providing leadership and direction throughout the life of the project. The SRO is accountable to the Programme and Portfolio Manager and to the Capital Programme IDM for the successful delivery of the project and the project budget.

The SRO should be committed to encouraging good team working practices with all stakeholders involved with the project, to ensure that the whole project team is integrated.

Specific responsibilities of the SRO

The SRO is responsible for:

- Ensuring that an appropriate project brief and business case is approved and that the project is delivered within the tolerances set out in that approval.
- Ensuring the project has clearly defined scope and that its objectives are approved and understood by everyone involved in the project.
- Ensuring the project meets its objectives and delivers projected benefits, taking remedial or alternative action as necessary where required.
- Ensuring all team members are appropriately supported and provided with the training required to deliver their role.
- Obtaining commitment from stakeholders to the delivery of the benefits.
- Ensuring the project is subject to review at appropriate stages.
- Ensuring that Gateway reviews are undertaken at key decision points identified in the NI Gateway Review Process.
- Ensuring that any recommendations or concerns from Gateway reviews are met or addressed before progressing to the next stage.

Monitoring and control of progress

The SRO must:
- Monitor and control the progress of the project.
- Deal with issues as they arise requiring the SRO's advice, decision-making and communication with senior stakeholders

- Chair the Project Board, this duty may be delegated to the Project Sponsor.

Formal programme or project closure

At the closure of the project the SRO must:
- Formally close the project, ensuring that lessons learned are documented as part of the post project evaluation report
- Formally sign off that the project aims and objectives have been met and that lessons learned are documented and disseminated.
- Plan the post project review, including assessment of the benefits realisation process.

Skills and attributes of the SRO

The SRO should be able to:

- Have sufficient experience and training to carry out SRO responsibilities.

- Provide advice and guidance to the PS and IDM Rep as necessary.

- Resolve issues with members of the team and other stakeholders that cannot be resolved by the project IDM Rep or Project Sponsor.

- Take responsibility - including putting things right when they go wrong.

- Have a good understanding of the business issues associated with projects.

- Be aware of the broader perspective and how it affects projects.

- Acknowledge their own skill/knowledge gaps and structure the project board and project management team accordingly.

- Give the time required to perform the role effectively.

- Negotiate well and influence people.

The SRO must be formally appointed to a project in writing using the template letter set out at Annex A of DAO (DoF) 02/20.

3.5 Investment Decision Maker Representative (IDM Rep)

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The IDM Rep is appointed by and reports to the Programme and Portfolio Manager.

The IDM Rep is the key Department contact who will liaise with the Education Advisory Branch and Department Economists to progress the project.

The IDM Rep is responsible for the day-to-day administration of the project, within the Department.

The IDM Rep is the named individual responsible for ensuring that the project is delivered within the budget allocation.

The IDM Rep should be committed to encouraging good team working practices with all stakeholders involved with the project, to ensure that the whole project team really is integrated – client and supply teams working together as an integrated project team.

Specific Responsibilities of the IDM Representative

Stage 1 – Technical Feasibility Report and Business Case Preparation Stage

- Attend Steering Group meetings monthly and assist with the development of the Business Case.

- Ensuring that all options for meeting the business needs have been evaluated, together with the risks and the consequences of their occurrence associated with each option.

- Ensuring that a viable and affordable Business Case exists for the project and ensure that it remains valid throughout the project.

RIBA Stage 2 (Concept Design) to RIBA Stage 7 (In Use)

- Own the project brief and ensure it remains within the scope of the Business Case.

- Ensuring that named individuals have been appointed into project roles.

- Ensuring an appropriate management structure (lines of accountability and delegated authority) is in place.

- Ensuring an appropriate communication plan is in place to inform stakeholders.

- Ensuring that the business need and expected benefits have been established with stakeholders.

- Identifying the risks clearly, together with their potential impact on the project in terms of quality, cost and time.

- Monitor progress of the project against the programme.

- Submit any essential changes to the scope of the project to the Programme and Portfolio Manager for approval, ensuring that any impact on quality, cost or time is assessed and reported on.

- Continually monitoring the estimated project costs against Business Case approval. Notifying EAU, DE Finance and DoF immediately if circumstances arise which would constitute a risk to breaching Business Case approval conditions.

- Regularly reviewing the project, to identify at an early stage any emerging issues on which investment decisions may be required.

- Reviewing progress reports and programme progression.

- Review monthly cost profiles as submitted by ICTs and the EA and provide a challenge role as necessary.

- Attend quarterly Project Board meetings and attend Project Team meetings as necessary.

- Produce Stage Submissions for consideration by the Capital Programme IDM, or relevant Programme and Portfolio Manager.

- Issue Department approvals for payments.

- Lead a post implementation review.

3.6 Project Sponsor (PS)

The Project Sponsor is the key member of the Steering Group and Project Team and is the interface between the school, DE and other bodies which are external to the project delivery team.

DE is required to comply with The Public Contracts Regulations and Northern Ireland Public Procurement policy (NIPPP). This requires DE to engage with a Centre of Procurement Expertise (CoPE) – either CPD or EA on all procurement activities.

The Project Sponsor will assist DE to implement NIPPP as set out in the Procurement Policy Notes (PPNs) and Procurement Guidance Notes (PGNs) and the Gateway Review process as a condition of grant for school projects in order to secure best VFM. They will also provide guidance on compliance with the Public Contracts Regulations which governs public procurement.

The Project Sponsor will therefore be provided by CPD or the EA.

The Project Sponsor attends the Project Board and updates the Board on project progress against programme, risk management, and cost management.

The PS is responsible for ongoing management of the project on behalf of the SRO, to ensure that the project objectives are delivered, within agreed time, quality and cost constraints. The PS will report to the SRO and be empowered to take decisions and have clearly defined delegations. The PS is also the focal point for stakeholders for the construction phase and is responsible for developing and implementing an effective Stakeholder Engagement Plan, with a strong focus on community engagement.

The principle tasks of the PS are to manage School and DE's interests and to represent those to the supply members of the integrated consultant team. The PS must be able to articulate the school and DE's needs. This requires an understanding of the business area.

The PS is responsible to the SRO and the IDM Representative for the whole of the project and should expect to stay with the project until its completion. Continuity is an essential feature of this role.

The PS will take the lead role on engaging with the school end user group and SRO and IDM Rep to set and manage the project requirements and the budget. The project sponsor will focus on managing the ICT and ensuring the ICT manages the IST in accordance with the conditions of contract.

Specific responsibilities of the PS

- Managing the school's interests by co-ordinating the user input.

- Preparing the project brief.

- Controlling changes and ensuring that change control procedures are adhered to.

- Ensuring appropriate risk management procedures are in place.

- Managing the project budget, including the risk allowance.

- Ensuring the project is managed in accordance with the PEP.

- Establishing formal reporting arrangements on project progress.

- Providing a focal point for all school and DE contacts with the supply team.

- Providing approvals and decisions as necessary.

- Management of the project budget and providing feedback to the IDM Rep.

- Obtaining necessary approvals, and organising Gateway Reviews/Internal Peer Reviews.

- Representing DE's interests within the procurement processes for the engagement of the ICT and IST.

- Assisting in the development of procurement and contract strategies.

- Exercising the authority delegated to them by the SRO to meet the above responsibilities, provide approvals and take decisions as necessary and to manage the project budget.

- Carrying out a post project review with the integrated project team. Post occupancy information gathering and BREEAM and NZEB outcomes.

- Co-ordinate the completion of a post project evaluation by an independent person.

- Secretariat to the Project Board. The Secretariat role includes:

  ➢ Co-ordinate all meetings of the Project Board.

  ➢ Co-ordinate the membership of and where/when appropriate chair any sub-committees thereof, ensuring that Terms of Reference for all such groups

including IT, F&E, SMA and maintenance are established from the outset and that progress is regularly monitored.

➢ Foster good relations by creating and maintaining productive working relationships with all stakeholders.

➢ Arrange and chair meetings of the project team and any sub-committees thereof.

➢ Oversee the preparation of all agendas and minutes of all project board meetings and sub-committees.

Managing the ICT includes monitoring the following ICT activities to:

- Ensure compliance with their obligations under the CDM Regulations (Health and Safety).
- Ensure that progress is maintained against the agreed programme and is reported monthly.
- Ensure that estimated costs are updated and reviewed monthly.
- Ensure that design development is progressing satisfactorily and reported monthly.
- Administer the ICT professional services contact, including certification of payments and NEC change control protocols.
- Ensure that the ICT completes and submits formal Project Reports at each RIBA key stage for approval by DE.
- Overseeing the ICT's procurement of the IST
- Ensure that the ICT prepares PQQ and ITT information for procurement of IST.
- Advise on the procurement and award of IST contract by the ICT.
- Agree the technical design proposals and construction costs with IST in conjunction with the PS.
- Ensure that the ICT administers the IST contract appropriately, including certification of payments and NEC change control.
- Ensure that the IST final account is agreed promptly.

• Leading on change control and risk management and reporting on performance of all aspects of the project.

• Ensuring that the RIBA Stage reports submitted by the ICT at each identified review milestone include all information required to facilitate a full technical analysis of the developing scheme and costs for approval by DE.

• Liaising with the CPD advisors throughout each stage of the handbook compliance review of the developing scheme proposals and associated costs.

- Liaising with the EA Procurement Team/CPD and providing independent advice to the SRO and IDM Rep on NI Public Procurement Policy, project appraisal, cost control and value for money.

3.7   Client Advisor/Project Manager (CA/PM)

If a CA/PM is appointed they will undertake the roles and responsibilities of the Project Sponsor, and a separate Project Sponsor will not be appointed. See the roles and responsibilities of the Project Sponsor as detailed above.

3.8 School Designated Lead (SDL)

The SDL has a key role to ensure that the needs of the school are fully communicated to the ICT in order that the project will ultimately meet the needs of pupils, teachers and wider community and is likely to be the Chair or Vice-Chair of the Board of Governors. The SDL will provide such information and support to the Project SRO as reasonably required for the Project SRO to fulfil the role set out in section 3.4. The SDL will also communicate progress on the project back to the school community to keep them informed.

Skills and attributes of the SDL

The SDL must have a strong background and ongoing operational responsibilities in the school. He or she should have a good understanding of the management structure, politics, and culture of the school, and possess good change management skills and enough experience to manage very complex situations while maintaining focus on the project objectives. The SDL should also have good negotiation skills, interpersonal skills, chaos management skills, and prioritization skills.

Specific responsibilities of the SDL:

- Keeping pupils, staff, parents and wider community updated on progress.
- Managing expectations as to what is essential and affordable.

The SDL will be a member of the Project Board.

3.9 School Principal/Senior Stakeholder

The School Principal/Senior Stakeholder is responsible for liaison with teaching, catering, caretaking and other staff to provide answers to the ICT on issues such as classroom layouts, sport requirements, layout preferences, transport, security, etc. This flow of information will be critical to the success of the project and the timeframe in which it is delivered.

The Principal/Senior Stakeholder will need to lead the project within the school and manage expectations. There is a finite budget for all schools and the DE handbook defines the areas and the standards to be provided and this must be adhered to. This means that in practice additional, albeit desirable, requirements which are not essential will not be funded by DE – see Derogations Paper published on the DE Website for further information https://www.education-ni.gov.uk/publications/derogation-paper. That said, there is plenty of scope to work with the ICT to arrange the agreed schedule of accommodation in a way which is optimal for the particular school site, its management approach and ethos.

The School Principal/Senior Stakeholder will be a member of the Project Team which meets monthly throughout Stages 2-6

Specific responsibilities of the School Principal/Senior Stakeholder:

- Arranging payment of the ICT and IST to the value agreed with the PS.
- Establishing a school user group to represent the different user groups (such as teachers, Board of Governors, Trustees, staff, parents, pupils) and gather information about user requirements as well as communicating progress.
- Engaging with the ICT to convey the needs of the school within the scope of the schedule of permissible accommodation set out in the DE Handbook.
- Reviewing the proposed design at key stages and confirming to the PS that it will meet the needs of the school.
- Managing the logistics of the school site, if construction is to be on the same site.
- Managing the transfer to the new school when it opens.

3.10 School Designated Lead Support – If required

(Sector Support – Controlled Schools Council/CCMS/InaG/NICIE

Where the SDL does not have the skill basis to fulfil the SDL role in full he/she will be offered support through the school's managing authority or sectoral support organisation. An individual with a suitable skill set will be allocated to the project to advise and support the nominated SDL. A key element of this role will be to assist the SDL fulfil the duties set out above and to assist the SDL in implementing and leading the changes required.

Specific responsibilities of the individual allocated to support the SDL include but are not limited to:

- Attendance at Project Board Meetings;
- Regular meetings with the SDL to assist with project governance and change management; and
- General support and liaison with the SRO as required.

3.11 Education Advisory Branch (EAB)

EAB Representatives to individual projects will be allocated by the EAB Grade 7s.

The EAB Senior Team will attend fortnightly Capital Programme meetings with IID and EAU to discuss Programmes and identify any issues which may impact on individual projects or programme delivery.

EAB Representatives will attend Steering Group meetings as necessary to observe the development of options and provide Building Handbook advice and guidance during the development of the Business Case. EAB Representatives attend Project Team meetings following approval of the Business Case to oversee the development of the design in line with the Building Handbook and oversee adherence to the DE approved cost envelope.

EAB representatives also attend Design Review meetings with EA Major Capital Delivery Team representatives.

EAB provides a Quality Assurance Role to the project.

EAB undertakes a full review of the design and costs at each RIBA Stage and provides the IDM Rep with a written report providing recommendations as to whether the project should be progressed and identifying any issues to be resolved. As such the role is key to ensuring that the project continues to represent best VFM and remains within business case tolerances.

Specific responsibilities include:

- ➢ Reviews at Approval Stages – compliance with DE Building Handbook & assessment of costs.
- ➢ Communicates directly with the ICT and project IDM Rep in respect of clarifications and queries in respect of Approval Stage submissions.
- ➢ Provides advice on Compensation Events in relation to VFM.

3.12 Economist Role and Analytical Services Unit (ASU)

The ASU Grade 7 will attend fortnightly Capital Programme meetings with IID and EAB to discuss Programmes and identify any issues which may impact on Programmes.

The appointed Economist will attend Steering Group meetings to observe the development of options and provide guidance regarding Business Case completion. The Economist will conduct the non-monetary workshop with key stakeholders. The Economist will be responsible for drafting the project Business Case based on the approved Technical Feasibility Report, and will be responsible for liaising with DE Finance and Department of

Finance as necessary regarding the Business Case. The Economist will also draft Business Case Addendums if required.

ASU will provide advice and assistance in relation to queries regarding Business Cases and Addendums as necessary.

ASU will monitor the completion of Post Project Evaluations and will liaise with DoF regarding completion of PPEs.

ASU provides a governance role with regard to Business Case compliance.

4 Project Governance

4.1 Governance Models

How these key roles and responsibilities are executed on a particular project will depend to some extent on the sector to which the school belongs, the organisations from which the key individuals originate and the CoPE responsible for procurement activity.

However, although there are three governance models for different scenarios as shown in Appendix B, their basic structure is the same.

- **Scenario 1 – Controlled School – EA is the CoPE**

- **Scenario 2A – Non-Controlled School – CPD is the CoPE**

- **Scenario 2B – Non-Controlled School – EA is the CoPE**

The object of the three models is to set out clearly the relationships within the governance structure when different organisations are undertaking the primary roles. In all cases, DE holds the role of IDM Representative with the other roles being taken by the school, CPD or the EA.

Within each scenario the individuals will come together to form various structures and forums to deliver the project.

4.2 Project Steering Group

The early stages of a project can be manged through a steering group in advance of moving to the formal structures of a project board and project team. The purpose of the Steering Group is to direct a project through its initial stage of the preparation and delivery of the Business Case, on approval of the Business Case the Steering Group will be replaced by the more formal structure of a Project Board and Project Team, which will take forward and deliver the project.

The Steering Group once established will be responsible for progressing the project through the following RIBA Work Stages;

    STAGE 0 – Strategic Definition
    STAGE 1 – Preparation & Brief

It is important to find the right mix of expertise and the right size of Steering Group. Research would suggest that 5-10 persons is an optimum number of members and after which there may be diminishing returns on how much people will input. However there is recognition of the fact that the best number of people is driven by the specific project and by the roles each person plays.

The Steering Group must provide support to the identified SRO, IDM Rep and Project Sponsor in their respective roles of responsibility for developing the scheme through the early project stages up to Business Case approval. (Typically RIBA Stage 0 & 1)

If required by the Project Steering Group, a Working Group can be established at any time to provide assistance with the development of key activities i.e. Design Development, cost input, legal matters/agreement etc. The Working Group will report directly to the Project Sponsor who is directly responsible to the Senior Responsible Owner. It is expected that the Steering Group would meet monthly to progress the development of the Business Case.

Steering Group Membership

The Steering Group membership should include the following;

- Senior Responsible Owner (SRO),
- Investment Decision Maker Representative - Lead funder (DENI) responsible for approving the project and maintaining senior management commitment to its delivery.
- Project Sponsor (PS)
- EAB Representatives
- School Designated Lead
- Senior Stakeholders – Supporting role, representing the interests of the School/Client i.e.
  - o Senior Stakeholder - Education Authority, Development Officer – 'Project Need' or DE Economist
  - o Senior Stakeholder - Trustee
  - o Senior Stakeholder - School Principal

Technical support on matters relating to procurement and project delivery will be provided by an assigned Client Advisor, where this role is undertaken by the EA it will form part of the responsibilities of the Project Sponsor.

Steering Group - Key Responsibilities

Key responsibilities of the steering Group are as follows:

- Confirming and communicating the Project Vision; how the Project vision is to be achieved and the means of achieving it.
- Establishing good governance and providing strategic guidance for the project in its initial stages.
- Development of the Business Case.
- Development of a Project Initiation Document, in line with the Business Case.

- Engaging with the Gateway Review Process via the Completion of a 'Risk Potential Assessment.

- Monitoring identified project related risks.

- Agreeing all major plans (in association with DENI representatives) including project related briefing information, procurement route and delivery, design development and acceptance criteria.

- Agreeing the project tolerances in respect of time, quality and cost.

- Signing off on the completion of the Business Case.

- Resolving deviations from plans or escalating as necessary.

- Communicating project related information to all key stakeholders following approval of the Business Case.

- Ensuring the required resources are available to support all strands of the client/employer and user group deliverables.

- Resolving any conflicts raised by the project steering group/users groups.

- Reviewing the quality assurance of the project.

- Completing end stage report following Business Case approval.

- Responsible for Identifying/appointing the Project Board members to take the project forward to completion, following Business case approval.

4.3 Project Board

The purpose of the Project Board is to provide support to the SRO, PS and IDM Rep in their respective role of responsibility for ensuring that the project meets its objectives and delivers the projected benefits. Project Boards should be advisory only, addressing strategic issues and major points of difficulty. If a major issue cannot be resolved with the SRO or IDM Rep, Project Board members have recourse to the Programme and Portfolio Manager. The Board should be chaired by the SRO which may be delegated to the Project Sponsor.

The membership of the Project Board will typically include:

- SRO
- IDM Representative
- PS
- School Trustee (non-controlled schools)
- School Designated Lead
- ICT (by invite for specific agenda item on ICT's monthly update report)
- Sectoral representative (if applicable)

The SRO should ensure that the membership of the Board has the right mix of skills and that key stakeholders are represented. From time to time the Board may also have a requirement to call on persons with specific expertise. However, it is equally important that the total number of Board members remains manageable and should not normally exceed

eight. As projects progress, it may be appropriate for board membership to change to reflect the stage reached, but there is a tendency for Board membership to grow over time and at key stages the constitution of the Board should be reviewed.

It is expected that all board members attend the Project Board meeting. Where this is not possible (e.g. through annual leave, sickness or other circumstances) an appropriate representative may be asked to attend. They should be empowered and have the autonomy to make a positive contribution at the meeting. For approvals and decision making the IDM Rep, PS and at least one other Board member should be in attendance.

Board meetings will initially be scheduled to take place every 3 months until project closure, but may vary at the discretion of the IDM Rep and PS.

Secretariat to the Project Board will be provided by the Project Sponsor.

The agenda and all papers will be distributed by email to Board members. The actions to be taken will be recorded in the Project Board's minutes which will be circulated to all Board members.

The Chairperson is responsible for ensuring that the minutes of meetings accurately record the decisions taken, and, where appropriate, that the views of individual Board members have been taken into account. Minutes will be formally approved at the subsequent meeting (or by email where this would be more than one month later).

The Project Board agenda, with attached meeting papers will be distributed at least 3 working days prior to the next scheduled meeting.

Specific Responsibilities of the Project Board

The main responsibilities of the Project Board are:

- Providing advice, support and direction to the SRO, IDM Rep and PS for the duration of the project programme.
- Providing strategic guidance for the project.
- Signing off the Project Execution Plan.
- Engaging with the Gateway Review Process.
- Monitoring identified project related risks.
- Agreeing all major plans in association with DE including project related briefing information, procurement route and delivery, design development and acceptance criteria.
- Agreeing the project tolerances in association with DE in respect of time, quality and cost.

- Agreeing the detail of any separate school funded additional accommodation provisions which are not grant funded by DE – note the Derogation Paper.

- Authorising in association with DE any major deviations from the agreed / approved stage plans.

- Signing off on the completion of each stage, including deliverables, and giving approval in association with DE to commence the subsequent stage.

- Engaging with DE to review / authorise project related Compensation Events for both ICT and IST contracts.

- Communicating project related information to all key stakeholders.

- Ensuring the required resources are available to support all strands of DE, school and user group deliverables.

- Resolving any conflicts raised by the Project Team

- Reviewing the quality assurance of the project.

- Approving the end of project report and lessons learned report.

- Authorising project closure.

- Ensuring that the post project and implementation reviews are scheduled and take place.

4.4   Project Team

Building design is typically multi-disciplinary, involving a number of different designers, such as architects, engineers, quality surveyors and project managers, working together to create a single, holistic solution. Design teams typically start as a relatively small group, but as the design progresses, there is an ever-greater need for specialist input, and so ICT teams can develop to become large and complex. This is increasingly the case given the complexity of the supply chain in the modern construction industry.

It is important therefore that the ICT is properly managed and this process of organisation and co-ordination will generally include the need for regular Project Team meetings.

Project Team meetings should be distinctly different from the Project Board meetings. The Project Board should deal with strategic issues, whereas the Project Team should deal with more detailed issues and have an active focus on moving the project forward by providing direction and information to the ICT and solving problems as they arise. Project Team meetings will typically be held monthly and should be arranged at least 10 days in advance of a Project Board meeting in order that any issues that need to be escalated to the Project board can be identified and papers issued to the Project Board in good time.

Project Team meetings will be chaired by the Project Sponsor who will provide the secretariat.

The membership of the Project Team will typically include:

- Project Sponsor (Chair)
- School Principal/Senior Stakeholder
- SDL Support
- Education Advisory Branch Representatives
- Other advisors (when required)
- ICT members as appropriate

The IDM Rep may attend project team meetings at their discretion.

Typically Project Team meetings should consider the following issues:

- Development of the brief.

- Project progress.

- Design development.

- Client's requirements.

- Site information, surveys and constraints.

- Feedback from consultations.

- Reports from designers.

- Specific technical issues.

- Coordination issues.

- Reporting.

- Approvals: DE stage approvals, Planning permission, Building Regulations.

- Legal issues.

5 Gateway Review Process

The information below has been extracted from the Department of Finance website:

https://www.finance-ni.gov.uk/articles/northern-ireland-gateway-review-process

The NI gateway review process is a series of independent peer reviews at key stages of a programme or project lifecycle, aimed at ensuring its successful delivery.

Strategic context

The gateway review process is a key assurance mechanism designed to provide an objective view of the ability of a programme or project to deliver on time and to budget. It is not part of the programme or project management process. Gateway reviews are managed in NI by the Centre of Expertise for Programme and Project Management (CoE) within Construction and Procurement Delivery (CPD), the local authorised hub.

Risk Potential Assessments (RPAs) must be completed for all programmes and projects. These should be validated by CoE or the head of the departmental programme office and should be sent to the departmental assurance co-ordinator (DAC) at least 12 weeks ahead of an expected review. The DE DAC information can be viewed at: https://www.finance-ni.gov.uk/articles/learn-about-centre-expertise-programme-and-project-management

Departments may decide on a de minimis cut off point, below which an RPA may not be required, but must do so on the basis of a full understanding of the implications and be accountable for their action. De minimis limits should be approved by the departmental accounting officer in consultation with the head of the appropriate centre of procurement expertise. Where a programme or project is above the de minimis limits an RPA should be completed and forwarded to the DAC for agreement.

RPA forms should be refreshed and resubmitted to CPD at each gateway milestone.

Assessment meeting
If a risk level of medium or high is indicated in the RPA, the DAC will make arrangements, on behalf of the SRO for a gateway review to take place. The first step will be for the DAC to meet with the SRO and members of the programme or project team. This assessment meeting, typically lasting between one and two hours, will:

- agree the risk assessment as detailed on the RPA
- determine the readiness of the programme or project for a review
- identify necessary skills for potential reviewers
- establish suitable dates for the planning meeting and the actual Review.

Following the assessment meeting, the DAC will appoint an independent and impartial review team to carry out the review.

Planning meeting

The planning meeting is an opportunity for the review team and the programme or project team to meet for the first time. The review team will agree a code of conduct for the review and then agree this with the SRO.

The key outputs from the planning meeting are:

- the list of stakeholders to be interviewed
- the list of documents to be made available to the review team

The DAC (or an appointed representative) will attend the planning meeting to ensure compliance with gateway principles and to support both the review team and programme or project team through the process.

Gateway review

A review typically lasts three days. Some high risk reviews will last four days and, where the stakeholder list is unusually short, a two day review may suffice.

For a project, reviews take place at:

- gateway 1 - business justification
- gateway 2 - delivery strategy
- gateway 3 - investment decision
- gateway 4 - readiness for service
- gateway 5 - operations review and benefits realisation

For a programme a series of gateways will be carried out. These typically reflect the programme start, programme delivery and programme close but may vary depending on circumstances. Workbooks are provided for gateway review team members to inform questioning, highlighting areas to probe during each review.

The review is evidence-based and involves interviews with key stakeholders culminating in a report, delivered to the SRO on the final day of the review. This report is confidential to the SRO, containing recommendations based on the review team's findings. In light of the recommendations, a delivery confidence assessment (DCA) is awarded, indicating the potential for successful delivery.

Delivery confidence assessment

The DCA will range from green to red, defined as:

- Green; successful delivery of the programme or project to time, cost and quality appears highly likely and there are no major outstanding issues that, at this stage, appear to threaten delivery significantly.

- Amber; successful delivery appears feasible but significant issues already exist requiring management attention; these appear resolvable at this stage and if addressed promptly, should not present a cost or schedule overrun.

- Red; successful delivery appears to be unachievable; there are major issues on programme or project definition, schedule, budget required, quality or benefits delivery, which at this stage do not appear to be manageable or resolvable

A gateway review is designed to provide the SRO with real time information so that action can be taken to address live issues and redirect the programme or project towards successful delivery.

Roles and responsibilities

The main roles and responsibilities associated with gateway reviews are:

Senior responsible owner.

The programme or project SRO is responsible for initiating the gateway review process, making contact with the DAC and for submitting a completed RPA. They are also responsible for overseeing the provision of all relevant documentation to the review team.

Departmental assurance co-ordinator

The DAC is responsible for administering and arranging gateway reviews and for managing the NICS pool of gateway reviewers.

Gateway review team leader

The RTL will lead an independent team, typically accompanied by two review team members, and is responsible for carrying out the gateway review.

Health checks

Gateway style health checks may also be carried out. Health checks are supplementary to formal gateway reviews. They provide additional assurance to SROs where, for example, a programme or project is between key stages or where engagement with the gateway process has occurred late.

Low risk

Where the RPA for a programme or project is designated low risk and where this is agreed by the DAC, an internal peer review should be undertaken. This should be in line with gateway principles and conducted by an independent team appointed by the department.

It is important to note that an internal peer review is not a gateway review and an IPR team must not be described as having carried out a gateway review under these circumstances.

Further information on the gateway review process is available from the departmental assurance co-ordinator in the Centre of Expertise for Programme and Project Management.

6.   Grant Recovery

Capital grants are paid in respect of voluntary schools under the Voluntary Schools Building Grant Regulations (NI) 1993. The Legislation, i.e. regulations 9 to 13 gives provision for the Department of Education (DE) to determine conditions of payment of grant and, when required 'grant recovery' or 'clawback' of grants paid.

The Department is required to ensure that public money is properly managed and funds received in clawback are then used to support capital works in other schools across the education estate.

The procedures for grant recovery and the Regulations can be found on the Department's website as follows:

https://www.education-ni.gov.uk/articles/disposals-and-grant-recovery-following-closure-schools

Should you have any further queries regarding grant recovery please contact the Department's site and legal team at:

Site.legal@education-ni.gov.uk

7.   Post Project

The Department seeks to make the major capital works process straightforward for school representatives and we strive to keep school representatives well informed and involved throughout the development of the project through to conclusion, we also seek to cause as little disruption as possible to the operation of the school throughout the process. However, we recognise that there is always room for improvement.

To enable meaningful data to be collected regarding the project a number of forms require completion by the school. Please ensure these are completed and returned to DE when requested as these help us assess the success of the project as well as helping the Department to review our processes, and where possible implement changes to improve our service.

In conclusion the Department would like to thank you for your participation in the project and wishes your school every future success.

Annex A – Project Lifecycle – Design and Build
Annex A – Project Lifecycle – Traditional

DE Process

- DE Major Capital Selection Protocol
- Ministerial Announcement of school projects to be funded
- Identify stakeholders
- Appoint PS
- Appoint SRO
- Identification of Potential Sites
- Appoint CA/PM

RIBA 0 & 1 Strategic Definition & Preparation and Brief

- Ensure Design Quality is considered e.g. through engagement with Design Champion & Stakeholders
- Project Brief and Contract Document Preparation
- Procurement Process for Consultants team (ICT)
- DE Approval to proceed
- Appoint Integrated Consultant Team
- Initial meeting with ICT*
- Options and cost estimates
- Feasibility Study
- DE Review

- DE Approval to proceed
- DE Approval to proceed
- DE Approval to proceed

RIBA 3 Developed Design — Developed Design
RIBA 2 Concept Design — Concept Design

- Contract Preparation
- DP1
- G2
- Business Case (BC)

- Review Business Case
- Project Evaluation CPD Education Advisory Review
- Project Evaluation CPD Education Advisory Review
- Project Evaluation CPD Education Advisory Review

*Participants
DE – IID
DE - Economist
CPD – CA
CPD – EAB
PM of ICT
ICT team

- Procurement Process for Contracting Team (IST)

RIBA 4 Technical Design — Detailed Design by IST
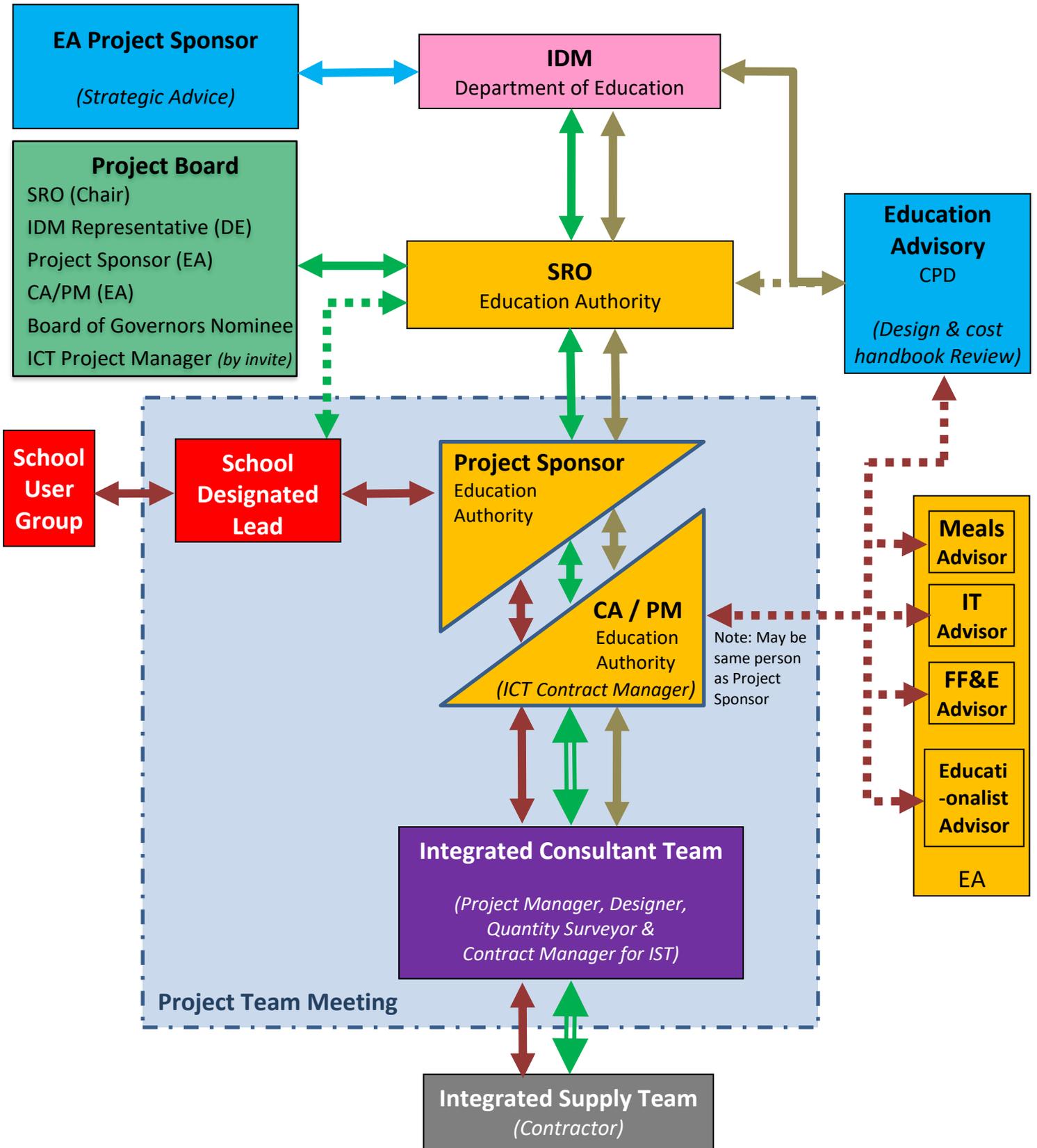**RIBA 5 Construction** — Construction
RIBA 6 Handover — Utilisation / Occupancy

- DE Approval to proceed
- DE Approval to proceed
- Approval to Occupy / Utilise
- Agree final account

- G3
- Award contract to IST
- DP2
- G4
- G5

- Project Evaluation CPD Education Advisory Review
- Project Evaluation CPD Education Advisory Review
- Project Evaluation CPD Education Advisory Review
- PPR / PIR

SRO *Senior Responsible Owner;* **PS** *Project Sponsor;* **CA** *Client Adviser;* **PM** *Project Manager;* **IST** *Integrated Supply Team;* **ICT** *Integrated Consultants Team;* **PPR** *Post Project Review;* **PIR** *Post Implementation Review;* **DPx** *Investment Decision Point*

DE Process

- DE Major Capital Selection Protocol
- Ministerial Announcement of school projects to be funded
- Identification of Potential Sites
- Identify stakeholders
- Appoint PS
- Appoint SRO
- Appoint CA/PM

RIBA 0 & 1 Strategic Definition & Preparation and Brief

- Ensure Design Quality is considered e.g. through engagement with Design Champion & Stakeholders
- Project Brief and Contract Document Preparation
- Procurement Process for Consultants team (ICT)
- DE Approval to proceed
- Appoint Integrated Consultant Team
- Initial meeting with ICT*
- Options and cost estimates
- Feasibility Study
- DE Review

RIBA 3 Developed Design
- Developed Design
- DE Approval to proceed

RIBA 2 Concept Design
- Concept Design
- DE Approval to proceed

- Contract Preparation
- DP1
- G2
- Business Case (BC)
- Review Business Case
- Project Evaluation CPD Education Advisory Review
- Project Evaluation CPD Education Advisory Review
- Project Evaluation CPD Education Advisory Review

*Participants

DE – IID
DE - Economist
CPD – CA
CPD – EAB
PM of ICT
ICT team

- Procurement Process for Contracting Team (IST)

RIBA 4 Technical Design
- DE Approval to proceed
- G3
- Award contract to IST
- DP2
- Project Evaluation CPD Education Advisory Review
- Project Evaluation CPD Education Advisory Review

RIBA 5 Construction
- Construction
- DE Approval to proceed
- Approval to Occupy / Utilise
- G4
- Agree final account
- Project Evaluation CPD Education Advisory Review

RIBA 6 Handover
- Utilisation / Occupancy
- G5
- PPR / PIR

Scenario 1 – Controlled School (Education Authority is the CoPE)

EA Project Sponsor *(Strategic Advice)*

IDM Department of Education

Project Board
SRO (Chair)
IDM Representative (DE)
Project Sponsor (EA)
CA/PM (EA)
Board of Governors Nominee
ICT Project Manager *(by invite)*

SRO Education Authority

Education Advisory CPD *(Design & cost handbook Review)*

School User Group

School Designated Lead

Project Sponsor Education Authority

CA / PM Education Authority *(ICT Contract Manager)*

Note: May be same person as Project Sponsor

Meals Advisor

IT Advisor

FF&E Advisor

Educationalist Advisor

EA

Integrated Consultant Team *(Project Manager, Designer, Quantity Surveyor & Contract Manager for IST)*

Project Team Meeting

Integrated Supply Team *(Contractor)*

Legend
Primary — Secondary ·······
Governance | Contract Management | Advice | Formal Stage Report | Design Information

Scenario 2A – Non-Controlled School (EA is the CoPE)

EA Project Sponsor
(Strategic Advice)

IDM
Department of Education

Project Board
SRO/IDM Rep (DE)
Project Sponsor (EA)
CA/PM (CPD)
Trustee and Board of Governors Nominee
ICT Project Manager *(by invite)*

SRO
DE

Education Advisory
CPD

(Design & cost handbook Review)

School User Group

School Designated Lead

Project Sponsor
EA Secondee

CA / PM
CPD

(ICT Contract Manager)

Meals Advisor

IT Advisor

FF&E Advisor

Educati-onalist Advisor

EA

Integrated Consultant Team

(Project Manager, Designer, Quantity Surveyor & Contract Manager for IST)

Project Team Meeting

Integrated Supply Team
(Contractor)

Legend

——— Primary ·········· Secondary

Governance

Contract Management

Advice

Formal Stage Report

Design Information

Scenario 2B – Non-Controlled School (Education Authority is the CoPE)

Education Client Advisory
CPD
(Strategic Advice)

IDM
Department of Education

Project Board
SRO/IDM Rep (DE)
Project Sponsor (EA)
CA/PM (EA)
SDL
Trustee and Board of
Governors Nominee
ICT Project Manager *(by invite)*

SRO
DE

Education Advisory
CPD

(Design & cost handbook Review)

School User Group

School Designated Lead

Project Sponsor

EA Secondee

CA / PM
Education Authority

(ICT Contract Manager)

Note: May be same person as Project Sponsor

Meals Advisor

IT Advisor

FF&E Advisor

Educati-onalist Advisor

EA

Integrated Consultant Team

(Project Manager, Designer, Quantity Surveyor & Contract Manager for IST)

Project Team Meeting

Integrated Supply Team
(Contractor)

Legend

	Primary	.... Secondary
Governance	Contract Management	Advice	Formal Stage Report	Design Information

RIBA Plan of Work 2020

ICT SUBMISSIONS
FOR DEPARTMENT OF EDUCATION
HANDBOOK ASSURANCE ON
TRADITIONAL CONTRACT PROJECTS

RIBA (2020) Stage "1" Feasibility – Preparation and Brief
Background – Economic Appraisals / Business Cases
The (DE) Department of Education require Economic Appraisals to be carried out for Capital projects. The EA/BC will be completed by the Department of Education in line with the DFP Northern Ireland Guide to Economic Appraisals and Evaluations (NIGEAE). To assist DE in the preparation of an EA the ICT is asked to prepare a Feasibility Study and Report to indicate feasible Options for the development of a scheme.
Options to be considered will be established by DE.

The ICT will be expected to consider only initial Capital costs. **The Objectives of the Feasibility Study will be established by DE and this must be rigidly adhered to.**

Contents

DE Review Point 1 RIBA Stage "1"

RIBA Stage "1" Feasibility - Deliverables to DE	ICT Sign	
1	**A fully completed DE Review Point 1, Stage 1 Cost Submission** • The Stage 1 cost submission is based on level 1 codes and prepared in accordance with the RICS new rules of measurement: Order of cost estimating and cost planning for capital building works (including measured quantities and unit rates where applicable). • Abnormal items to be identified. • This includes option specific costed Project Risk Registers. • Estimated costs associated with carbon reduction strategy		
2	**Site location maps for each option** at an appropriate level of detail; equivalent to 1:1250 scale, including a North point.		
3	**Sufficient drawings, in line or block form and to scale as appropriate showing clearly existing and new buildings without extraneous detail should be submitted to establish feasibility and to indicate the planning concept.** **Drawings should include but not be limited to:** **Site plan drawing** at an appropriate level of detail; equivalent to 1:500 or 1:200 scale, as appropriate, to include: • Outline of site development, including a North point. • Contours to show existing and proposed levels. • Play facilities and pitches where appropriate. • Proposed floor levels • Proposed pitch levels • Existing buildings to be clearly distinguished from new accommodation. • Existing temporary accommodation to be shown • Proposed **Decanting and Phasing** where required. • Car Parking, road infrastructure and fencing		
4	**Site Sectional drawings** at an appropriate level of detail; equivalent to 1:500 or 1:200 scale showing typical existing and proposed sections through the site.		
5	**For "Extend and Refurbish" options Building Floor plans at 1:100 showing proposals.** The requirement for 1:100 scale drawings is essential to enable the Department to establish whether or not it is feasible to extend and refurbish existing accommodation. **For the avoidance of doubt 1:100 scale is <u>only</u> required for the "Extend and Refurbish" options.**		
6	**Consultations/Surveys – the following consultations should be undertaken:** I. **Consultations with key stakeholders – school Trustees, Board of Governors and Principal.**		

	II. **Pre- Application Discussion with local Planners on all options.** (for SEP Projects only this may be delayed to Stage 2)
	III. **Geotechnical Preliminary Sources Study Report (PSSR)**
	• The content of the PSSR should be primarily a desk top exercise including a site walkover assessment where all available information on the site is analysed to
	    o assess the general suitability of the site,
	    o compare alternative sites, if relevant,
	    o estimate changes that may be caused by the works,
	    o consider potential for contamination,
	    o plan and design detailed Ground Investigation works to inform detailed design stage.
	    o report on any other relevant site specific issues encountered.
	• The report should consider, but not be limited to
	    o historical land use,
	    o superficial / structural geology,
	    o ground water,
	    o topography,
	    o existing services,
	    o existing structures/buildings,
	    o aquifers, etc,
	    o identify both the Geotechnical and H&S risks and assess the vulnerability of the project to these issue and any associated hazards,
	    o determine if any preliminary intrusive GI is required to inform the selection of the site – CPD to carry out intrusive GI to confirm ground conditions if required by ICT.
	IV. **Preliminary M&E Report**
	    The Preliminary M&E Report should contain:
	• An initial project brief, including; initial design programme for the project as a whole;
	• Details of consultations with local statutory bodies/utilities providers regarding existing services potentially affecting the proposed site and accessibility of services within the locality (water, electricity, gas, telecommunications etc.). Potential issues should be highlighted at this stage.
	V. **A Preliminary Risk Assessment (PRA)** following the model procedures set out in Contamination Land Research (CLR 11) shall be completed for the site(s).
	The ICT shall develop outcome recommendations from both the PSSR and the PRA and include these within the scope for the detailed Ground Investigations.
	    Drawings, details and specifications should include, but not be limited to
	• Scheduled depths and number of boreholes, trial pits, etc.
	• Site plan indicating location of all investigation points and their coordinates.
	• Geotechnical samples to be recovered from each investigation point.
	• Environmental samples to be recovered from each investigation point.
	• Insitu testing requirements.
	• Ground water and ground gas installations.
	• Anticipated geotechnical testing requirements for each		

	investigation point. • Anticipated geo-environmental testing requirements for each investigation point. • A Schedule of Rates, sufficient to allow the preparation of cost estimates. **VI. Acoustic Constraints – identify any potential noise impact on the suitability of the sites, such as roads, railways etc** **VII. All surveys required by BREEAM at feasibility Stage** **VIII. Detailed survey of existing buildings to establish existing building performance including energy consumption**		
7	**BREEAM** **Consideration of any constraints to achieve the required BREEAM certification i.e. "Very Good" for Extend and Refurbishment options or "Excellent" for New Build options.** **Carry out and record any Surveys and consultations required by BREEAM at RIBA Stage 1.** The Feasibility Study does not require a full BREEAM report or costs, as these will be provided for within the EA.		

8	# Stage "1" (RIBA 2020) Report to include, as a minimum::
	
	 Background Information – the report should contain the following background information on the **existing school/s.**
	     i. **Date built and the gross internal area** of the school, if applicable subdivided into different phases with dates built and relevant areas.
	     ii. **Temporary accommodation should be shown separately**. The number and type of permanent and temporary teaching spaces should be separately stated.
	     iii. **The area of existing site**
	     iv. **The number and type of playing facilities should be separately stated.**
	     v. **Gross Internal Areas of School Meals should be stated**
	     vi. **The number of staff and visitor parking spaces should be stated.**
	
	 Existing Accommodation Analysis
	     i. **Appendix (1) should be completed to indicate**
	     ii. The Department's **Schedule of Accommodation (which will be issued to the ICT by DE)**
	     iii. **Existing Permanent accommodation**
	     iv. **Shortfall/ over provision of permanent accommodation**
	
	     School Meals Accommodation
	 I. MG/07 Form (provided by DE
	 II. Appendix (1) to be completed including SMA in accordance with MG/07
	 III. Existing Permanent Accommodation
	 IV. Shortfall/over provision		

Detailed Solutions for each Option
   i)   **The Department's Schedule of Accommodation (SOA) to be included in the report.**
   ii) **Various Options to address the Brief will be set out by the Department and these will be the options for development in the Feasibility Study.**
   iii) **In the case of an existing building the ICT should plan the most economic solution to the layout of the accommodation.**
   iv) **Each option should indicate in tabular form, separately the following floor areas of buildings;**
        - New Build
        - Extension/s
        - Existing buildings
        - Buildings demolished
   (v) **The Site area of each option shown in <u>Hectares</u>**

Reports and recommendations on the outcome of Consultations and Surveys with Risk/Costs clearly set out:
   I.   **Pre- Application Discussion with local Planners on all options.**
   II.   **Geotechnical Preliminary Sources Study Report (PSSR)**
   - The content of the PSSR should be primarily a desk top exercise including a site walkover assessment where all available information on the site is analysed to
        o   assess the general suitability of the site,
        o   compare alternative sites, if relevant,
        o   estimate changes that may be caused by the works,
        o   consider potential for contamination,
        o   plan and design detailed Ground Investigation works to inform detailed design stage.
        o   report on any other relevant site specific issues encountered.
   - The report should consider, but not be limited to
        o   historical land use,
        o   superficial / structural geology,
        o   ground water,
        o   topography,
        o   existing services,
        o   existing structures/buildings,
        o   aquifers, etc,
        o   identify both the Geotechnical and H&S risks and assess the vulnerability of the project to these issue and any associated hazards,
        o   determine if any preliminary intrusive GI is required to inform the selection of the site – CPD to carry out intrusive GI to confirm ground conditions if required by ICT.
   III. **A Preliminary Risk Assessment (PRA)** following the model procedures set out in Contamination Land Research (CLR 11) shall be completed for the site(s).
       The ICT shall develop outcome recommendations from both the PSSR and the PRA and include these within the scope for the detailed Ground Investigations.
   IV.   **Acoustic Constraints – identify any potential noise impact on the suitability of the sites, such as roads, railways etc**
   V.   **All surveys required by BREEAM at feasibility Stage**

	IX. **Net Zero report including:** • Completed Stage 1 Net Zero Matrix • Detailed survey of existing buildings to establish existing building performance including energy consumption • A carbon reduction strategy containing a list of low carbon options, demonstrating potential carbon savings to inform the design. • Measurement and Verification strategy		
9	The completed Report to be uploaded to CPD 'box' in **two** parts, the main body of the report and the appendices uploaded separately.		
10	**Provide any further information required to allow Department of Education to complete the EA.**		

DE Review Point 2 RIBA Stage "2" Concept Design

	Deliverable to Department of Education for Approval to proceed to next stage.	ICT Sign	

	RIBA Stage "2" Concept Design		
1	**A fully completed DE Review Point 2, Stage 2 Cost Submission** • The Stage 2 cost submission includes a Formal Cost Plan 1 based on level 2 codes prepared in accordance with the RICS new rules of measurement: Order of cost estimating and cost planning for capital building works including measured quantities and unit rates. • M & E services outline specification and associated cost estimates, including identified abnormal items. • Abnormal items to be identified, including items associated with achieving BREEAM "Excellent". • A costed Project Risk Register. • Breakdown of costs associated with carbon reduction strategy		
2	**Site location map** at an appropriate level of detail; equivalent to 1:1250 scale, including a North point.		
3	**Site plan drawing** at an appropriate level of detail; equivalent to 1:500 or 1:200 scale, as appropriate, to include: • Proposed site development, including a North point and taking into consideration daylight, orientation and any acoustic issues. • Contours to show existing and proposed levels. • Play areas and access levels/falls in relation to finished floor level. • Existing buildings to be clearly distinguished from new accommodation. • Proposed **Decanting and Phasing**		
4	**Site Sectional drawings** at an appropriate level of detail; equivalent to 1:500 or 1:200 scale showing typical existing and proposed sections through the site.		

5	**Building Floor plans, elevations and sections** at an appropriate level of detail; equivalent to 1:100 or 1:200 scale, as appropriate, to include:
	• Proposed accommodation and building developments; the drawings should distinguish clearly between existing and proposed accommodation.
	• The plans, with correlated North points, should show wall thickness, individual room/space areas, the area of each floor level, roof forms, doors, windows, high-level windows, roof lights, external stores and fuel and waste storage.
	• Included on the Floor Plans; indicated on each Room should be **Proposed Room area and Handbook/Schedule of Accommodation area.** should be included on the floor plans
	• Rooms should be identified both by reference and by proposed class years/usage, all as per the SOA.
	• **LIA Reconciliation**. Floor plans, with a red line enclosing LIA, to contain a schedule of the following areas and clearly shown on the plan:
	1. TIA (Total Internal Area proposed) Excluding:
	    (i) School Meals Accommodation (SMA)
	    (ii) School funded areas		

	(iii) Vertical circulation in Primary Schools. 2. School Meals Accommodation (SMA) 3. School funded areas 4. Vertical circulation areas in Primary Schools. **M&E Drawings –** Drawings to be based on the Concept Design Model in accordance with BSRIA Guide "A design Framework for Building Services" (BG 6/2014), and should include (as a minimum): - Locations of plant and switchgear (outline/block diagrams are sufficient at this stage) - Primary services routes, including primary pipework, ductwork and electrical containment routes - Existing services should be indicated on site plan drawings		
6	**Stage "2" (RIBA 2020) Report** giving outline proposals for the scheme to include, as a minimum:: **ICT** confirmation that the scheme is designed in accordance with the **Handbook and Schedule of Accommodation**. - Any **Proposed Derogations** from the **Handbook or Schedule of Accommodation** to be listed. - Confirmation that the proposals have been discussed and have been agreed with Stakeholders. - Description of the outline proposals for the development of the design and layout. - Evidence that, as a minimum, **Outline Planning permission** has been sought or a **Pre – Application Discussion** has taken place - Description of the site location, topography, ground conditions, relationship of the site to its surrounding environment, including other buildings and sites and transport infrastructures etc. - Preliminary consideration of ground conditions and description of proposals for site development including Site Investigations and Land Quality Assessments. - Preliminary description of site development, including buildings, pitch usage and orientation, pedestrian and vehicular routes, car and bus parking, parent set-down/pick-up arrangements, external play and sports provisions. - Outline description of proposed building form and materials, and the consultant Structural Engineer's initial report on structural solutions and other specialist reports as necessary. - Preliminary Landscaping Proposals. - Any **non-grant aided provisions** should be clearly identified and a reconciliation of floor areas provided as necessary. - Confirmation that the design is in compliance with DDA and SENDO requirements and legislation. - RIBA Stage 2 BREEAM **Pre- Assessment Report.** ICT to develop and outline a strategy to achieve a BREEAM "Excellent" rating. Proposals to achieve a BREEAM "Excellent" rating (sustainable technology etc.) are to be presented as abnormal costs. **Security Strategy Report –** outline proposals. **Fire Strategy Report –** outline proposals. - Comment on any phasing or decanting measures necessary to permit development of the site. - On refurbishment schemes, a condition report on existing		

	buildings.
	• Initial Acoustic Consultants Report.
	• Brief report on initial consideration of proposed M & E environmental services, including confirmation of the adequacy and availability of all required utilities including electricity, gas and water supplies and drainage runs.
	• Programme
	• **Net Zero report demonstrating that the design is on track to meet the targets including:**
	    • Completed Stage 2 Net Zero Matrix
	    • Baseline LCA model and carbon reduction strategy containing list of low carbon options, demonstrating potential carbon savings expressed in $kgCO_2e/m^2$
	
	M&E
	The M&E Section of the Stage 2 Report should contain the following:
	• The extent of M&E systems to be provided under the contract, including confirmation of compliance with the DE Buildings Handbook;
	• Descriptions of regulatory compliance with regards to concept design including fire strategy, DDA compliance, energy and metering strategies etc;
	• Predicted load and utility requirements for electric power, mechanical energy loadings, telecoms etc. Information at this stage should be generated using generic criteria based on building size and type.
	• Availability of services in the area based on consultations with utilities providers and predicted load requirements. Potential issues or risks relating to provision should be highlighted at this stage;
	• Physical restrictions that may influence the design philosophy or the development of design. This includes any physical issues that could arise that may impede proposed services design. This information shall be based on site visits/surveys.
	• Any arrangements to be made for special investigations or tests (intrusive or non-intrusive). The extent of testing should be defined, and tests should be carried out in a timely fashion in order to enable proposed concepts to be finalised at this stage;
	• Review and report on the condition/status of existing services and systems (refurbishment/extension projects). Comment should be made on the suitability of extending systems to be incorporated within the new build where required.		

7	The completed Report to be uploaded to CPD 'box' in **two** parts, the main body of the report and the appendices uploaded separately.		
8	**Assist the Employer by providing any further information required to obtain Department of Education approval to move to RIBA Stage "3" Spatial Coordination & Developed Design.**		

DE Review Point 3 RIBA Stage "3" Spatial Coordination & Developed Design

	Deliverable to Department of Education for Approval to proceed to RIBA Stage 4 and Pre-Tender.	**ICT Sign**	
	RIBA Stage "3" Spatial Coordination & Developed Design		
1	**A fully completed DE Review Point 3, Stage 3 Cost Submission** • The Stage 3 cost submission includes a Formal Cost Plan 2 based on level 3 codes prepared in accordance with the RICS new rules of measurement: Order of cost estimating and cost planning for capital building works including measured quantities and unit rates. • M & E environmental services, estimates should be updated accordingly as the design progresses. Issues arising that may conflict with DE Target Costs should be raised and reviewed, Forms shall include associated M&E costs as per the BCIS element references. • Abnormal items to be identified including items associated with achieving BREEAM "Excellent". • A costed Project Risk Register. • Breakdown of costs associated with carbon reduction strategy		
2	**Site location map** at an appropriate level of detail;1:1250 scale, including North point.		
3	**Site plan drawing** developed from Stage 2 Concept Design at an appropriate level of detail; 1:500 or 1:200 scale, as appropriate, to include: • Proposed site development, including a North point and taking into consideration daylight, orientation and any acoustic issues. • Contours to show existing and proposed levels. • Play areas and access levels/falls in relation to finished floor level. • Existing buildings to be clearly distinguished from new accommodation. • Proposed **Decanting and Phasing** • Proposed outline **Planting/Landscaping**		
4	**Site Sectional drawings** developed from Stage 2 Concept Design at 1:500 or 1:200 scale showing typical existing and proposed sections through the site.		
5	**Building Floor plans, elevations and sections** developed from Stage 2 Concept Design at 1:50, 1:100 or 1:200 scale, as appropriate, to include: • Proposed accommodation and building developments; the drawings should distinguish clearly between existing and proposed accommodation.		

| | | The plans, with correlated North points, should show building fabric detail, individual room/space areas, the area of each floor level, roof forms, doors, windows, high-level windows, roof lights, external stores and fuel and waste storage, fixed furniture and equipment, sanitary fittings, modesty screening and locker provision. Included on the Floor Plans; indicated on each Room should be **Proposed Room area and Handbook/Schedule of Accommodation area.** should be included on the floor plans Rooms should be identified both by reference and by proposed class years/usage, all as per the SOA. **Room Layout Drawings demonstrating compliance with Handbook.** Where Building Control pre-application discussions specifically influence the design, issues should be identified on the drawings. Outline Finishes Schedule. School Meals kitchen layout with schedule of fixed (contract) and loose (non contract) equipment lists. **LIA Reconciliation**. Floor plans, with a red line enclosing LIA, to contain a schedule of the following areas and clearly shown on the plan:
1. TIA (Total Internal Area proposed) Excluding:
   (i) School Meals Accommodation (SMA)
   (ii) School funded areas
   (iii) Vertical circulation in Primary Schools.
2.School Meals Accommodation (SMA)
3. School funded areas
4. Vertical circulation areas in Primary Schools.
M&E Drawings – Drawings to be based on the Developed Design Model in accordance with BSRIA Guide "A design Framework for Building Services" (BG 6/2014), and should include (as a minimum):
Electrical: Primary containment routes and sizes (including risers), primary plant locations and sizes (including LZC related plant), locations of distribution and metering switchgear; Indicative room layouts for room types (e.g. classroom, office etc. indicating services layouts demonstrating Handbook compliance; Detailed schematics for proposed systems; Mechanical: Main duct, flue and pipe routes around each floor and to and from risers shall be identified; Plant room layout shall be provided; Plant room schematics shall be provided; Indicative radiator and AHU locations to be identified Public Health: Determine main pipe and drain routes around floors to and from risers; Confirm main below-ground drainage routes and manhole locations. | | |

6	**Comprehensive Stage "3" (RIBA 2020) Report** on the proposed scheme. This should be a development and an elaboration of the report approved by DE at Stage "2" The **Report** should include, as a minimum:		
	• Development of the issues covered in the **Stage"2" Report**		
	• Confirmation that the scheme is designed in accordance with the **Handbook and Schedule of Accommodation**.		
	• Any **Proposed Derogations** from the **Handbook or Schedule of Accommodation** to be listed.		
	• Confirmation that the proposals have been discussed and have been agreed with Stakeholders.		
	• Any **non-grant aided provisions** should be clearly identified and a reconciliation of floor areas provided as necessary.		
	• Confirmation that the design is in compliance with DDA and SENDO requirements and legislation.		
	• Description of the development of the design and layout.		
	• Description of the site location, topography, ground conditions, relationship of the site to its surrounding environment including other buildings and sites, transport infrastructures and geographical features etc.		
	• Report on ground conditions and description of proposals for site development.		
	• Description of site development including buildings, pitch usage and orientation, pedestrian and vehicular routes, car and bus parking, parent set-down/pick-up arrangements, external play and sports provisions.		
	• Detailed comment on any phasing or decanting measures necessary to permit development of the site.		
	• Description of proposed building form and materials, and the consultant **Structural Engineer's report** on structural solutions and **other specialist reports** as necessary.		
	• Acoustic Consultants Report.		
	• Consideration of environmental and associated acoustic conditions		
	• Details of any energy saving or carbon reduction measures supported by a full detailed business case and written evidence of any co-funding arrangements.		
	• Outline Specification, and Schedule of Finishes		
	• Report on the M & E Environmental Services proposed including confirmation of the adequacy and availability of electricity, gas and water supplies and drainage runs		
	• Description of proposed M & E environmental service strategies for heating, light, power, ventilation, IT, communication and security systems etc to include drawings and Design Performance Specification.		
	• Proposed Building Energy Management Strategy. (BEMS)		
	• Report on progress obtaining **Planning Permission**.		
	• Confirmation that the local **Building Control Authority** has been consulted about the design and that they are satisfied with the proposals including fire safety issues.		
	• Where appropriate a certificate signed by the **Education Authority Meals Organiser/Advisor** endorsing the plans		

	for School Meals Accommodation.
	• RIBA Stage 3 BREEAM **Pre- Assessment Stage Report** outlining progress regarding strategy to achieve a BREEAM "Excellent" rating.
	• **Security Strategy Report –** developed proposals.
	• **Fire Strategy –** developed proposals.
	• Developed Landscaping Proposals
	• Programme for appointment of the IST and delivery of the works.
	• **Net Zero report demonstrating that the design is on track to meet the targets including:**
	    • Completed Stage 3 Net Zero Matrix
	    • Developed LCA model and in depth carbon reduction strategy and analysis containing list of low carbon options, demonstrating potential carbon savings expressed in $kgCO_2e/m^2$
	
	M&E
	The M&E Section of the Stage 3 Report should contain the following:
	• Confirmation of supply arrangements with utility providers including adequacy of service provision in the locality and interface requirements with generating and LZC technologies (where required). Incoming points/points of connection and spatial requirements associated with supplies should be indicated on M&E drawings;
	• Confirmation of performance specifications and design criteria for M&E systems including design parameters, technical standards, regulatory guidelines etc. Room data sheets should be provided for each particular area type, detailing design parameters, equipment quantities and equipment descriptions (e.g. luminaire type);
	• Provide developed design performance specifications on specialist M&E systems (including renewable technologies) including loads, schedules etc. Estimated sizes of plant and equipment (including generating systems) should be defined at this stage;
	• Confirmation of access routes and plant size and weight in relation to future plant removal and replacement;
	• Review architectural and structural designs to identify existing or potential conflicts with plant location and service routes.		

7	The completed Report to be uploaded to CPD 'box' in **two** parts, the main body of the report and the appendices uploaded separately.		
8	**Assist the Employer by providing any further information required to obtain Department of Education approval to move to Technical Design and Pre-Tender.**		

DE Review point 4 RIBA Stage "4" Technical Design and Pre-Tender

	Deliverable to Department of Education for Approval to proceed to Tender.	**ICT Sign**	
	The ICT must collate **Pre-Tender Design Report** to include, as a minimum:		
1.	• **ICT confirmation** that the **Technical Design** is in accordance with the **Handbook and Schedule of Accommodation**. • Any **Proposed Derogations** from the **Handbook or Schedule of Accommodation** to be listed. • **ICT confirmation that the detailed design fully meets the Employer's Requirements and complies with all statutory approvals.** • **Recommendation that the Construction Notice can be issued to allow the construction Works to commence.** • Confirmation from the school authority, EA advisors and specialist equipment advisors that they are content with the design.		
2.	**A fully completed DE Review Point 4, Stage 3 Cost Submission** • The Stage 4 (Pre-Tender Estimate) Formal Cost Plan 3 based on level 3 codes, prepared in accordance with the RICS new rules of measurement: Order of cost estimating and cost planning for capital building works including measured quantities and unit rates. • Option B Contract will provide Fully Priced (Pre- Tender Estimate (PTE)) BoQ in accordance with RICS' New Rules of Measurement. • M & E environmental services, estimates should be updated accordingly as the design progresses. Issues arising that may conflict with DE Target Costs should be raised and reviewed, Forms shall include associated M&E costs as per the BCIS element references. • Abnormal items to be identified including items associated with achieving BREEAM "Excellent". • A costed Project Risk Register. • Breakdown of costs associated with carbon reduction strategy • A Tender Activity Schedule.		
	Pre-Tender Design Report to include, as a minimum:		
3.	**Site plan drawings** developed at an appropriate level of detail; 1:500 or 1:200 scale, as appropriate, to include: • Detailed design for site development, including a North point and taking into consideration daylight orientation and any acoustic issues. • Contours to show existing and proposed levels. • Detailed design for play areas/PE provision and access levels/falls in relation to finished floor level.		

	• Existing buildings to be clearly distinguished from new accommodation. • Detailed design for **Decanting and Phasing** • Detailed design for **Planting/Landscaping**		
4.	Detailed design **Site Sectional drawings** at 1:500 or 1:200 scale showing typical existing and proposed sections through the site.		

5.	Detailed design **Floor plans, elevations and sections** developed at 1:50,1:100 or 1:200 scale, as appropriate, to include, as a minimum:
	• Proposed accommodation and building developments; the drawings should distinguish clearly between existing and proposed accommodation.
	• The plans, with correlated North points, should show building fabric detail, individual room/space areas, the area of each floor level, roof forms, doors, windows, high-level windows, roof lights, external stores and fuel and waste storage, fixed furniture and equipment, sanitary fittings, modesty screening and locker provision.
	• Included on the Floor Plans; indicated on each Room should be **Proposed Room area and Handbook/Schedule of Accommodation area.**
	• Rooms should be identified both by reference and by proposed class years/usage, all as per the SOA.
	• Room Layout Drawings in compliance with Handbook.
	• Finishes Schedule.
	• Blinds & Curtain Schedule.
	• School Meals kitchen layout with fixed and loose equipment listed.
	• **LIA Reconciliation.** Floor plans, with a red line enclosing LIA, to contain a schedule of the following areas and clearly shown on the plan:
	   1. TIA (Total Internal Area proposed) Excluding:
	     (i) School Meals Accommodation (SMA)
	     (ii) School funded areas
	     (iii) Vertical circulation in Primary Schools.
	   2.School Meals Accommodation (SMA)
	   3. School funded areas
	   4. Vertical circulation areas in Primary Schools.
	
	M&E Drawings – Drawings to be based on the Developed Design Model in accordance with BSRIA Guide "A design Framework for Building Services" (BG 6/2014), and should include (as a minimum):
	Electrical:
	• Primary containment routes and sizes (including risers), primary plant locations and sizes (including LZC related plant), locations of distribution and metering switchgear;
	• Indicative room layouts for room types (e.g. classroom, office etc. indicating services layouts demonstrating Handbook compliance;
	• Detailed schematics for proposed systems;
	
	Mechanical:
	• Main duct, flue and pipe routes around each floor and to		

	and from risers shall be identified; • Plant room layout shall be provided; • Plant room schematics shall be provided; • Indicative radiator and AHU locations to be identified Public Health: • Determine main pipe and drain routes around floors to and from risers; • Confirm main below-ground drainage routes and manhole locations;		
6.	**Comprehensive Stage "4" (RIBA 2020) Report** on the proposed scheme. This should be a development and an elaboration of the report approved by DE at Stage "3" The **Report** should include, as a minimum: • Development of the issues covered in the **Stage"3" Report** • **ICT** confirmation that the scheme is designed in accordance with the **Handbook and Schedule of Accommodation**. • Any **Proposed Derogations** from the **Handbook or Schedule of Accommodation** to be listed. • Any **non-grant aided provisions** should be clearly identified and a reconciliation of floor areas provided as necessary. • Confirmation that the design is in compliance with DDA and SENDO requirements and legislation. • Description of the development of the design and layout. • Detailed design for site development including buildings, PE courts and pitches, pedestrian and vehicular routes, car and bus parking, parent set-down/pick-up arrangements, external play and sports provisions etc. • Detailed design for any phasing or decanting measures necessary to permit development of the site. • Detailed design for environmental and acoustic works including any energy saving or carbon reduction measures. • Full specification and schedule of finishes • Detailed design for M & E external Environmental Services including electricity, gas and water supplies and drainage runs. • Detailed design for M & E building Environmental Services including heating, light, external lighting, power, ventilation, IT/data, communication, CCTV and security systems etc to include Pre-Tender drawings and design specification. • Confirmation that the **Building Control Authority** has been consulted about the design and that they are satisfied with the proposals including fire safety issues. • Where appropriate a certificate signed by the **Education Authority Meals Organiser/Advisor** endorsing the plans for school meals accommodation. • RIBA Stage 4 BREEAM Interim **(Design) Certification.** • **Security Strategy Report –** detailed proposals. • **Fire Strategy –** detailed proposals. • Detailed Landscaping design.		

	• Programme for delivery of the works.
	• **Net Zero report demonstrating that the design meets the targets including:**
	     • Completed Stage 4 Net Zero Matrix
	     • Optimised LCA model showing preferred low carbon strategy demonstrating potential carbon savings expressed in $kgCO_2e/m^2$
	
	M&E
	The M&E Section of the Stage 4 Report should contain the following:
	• Confirmation of supply arrangements with utility providers including adequacy of service provision in the locality and interface requirements with generating and LZC technologies (where required). Incoming points/points of connection and spatial requirements associated with supplies should be indicated on M&E drawings;
	• Confirmation of performance specifications and design criteria for M&E systems including design parameters, technical standards, regulatory guidelines etc. Room data sheets should be provided for each particular area type, detailing design parameters, equipment quantities and equipment descriptions (e.g. luminaire type);
	• Provide developed design performance specifications on specialist M&E systems (including renewable technologies) including loads, schedules etc. Estimated sizes of plant and equipment (including generating systems) should be defined at this stage;
	• Confirmation of access routes and plant size and weight in relation to future plant removal and replacement;
	
	    Review architectural and structural designs to identify existing or potential conflicts with plant location and service routes.		

7	The completed Report to be uploaded to CPD 'box' in **two** parts, the main body of the report and the appendices uploaded separately.		
8.	**Assist the Employer by providing any further information required to obtain Department of Education approval to Proceed to Tender**		

DE Review Point 5 Tender

	Deliverable to Department of Education for Tender Acceptance and Approval to Appoint IST.	ICT Sign	
1	**Tender Report** Tender Report to contain the following: • Confirmation from the **ICT** that the ITT documentation has been **solely** based on the approved pre-tender documentation. • Full details of tender process. (Dates, clarifications, withdrawals etc) • Details of tenders received. • Details of ICT assessment of tenders. (quality assessment, comparative analysis, assessment of Activity Schedules, MCE) • Reconciliation with Pre-Tender Estimate. • Tender package Contract Data Part 2 (TP-CD2) • A breakdown of the M & E Environmental Services Tender returns, including clarifications requested, received and agreed. • The M&E priced activity schedule shall be submitted and include costs as per the BCIS elemental references; • The Tender return forms shall reflect the element breakdown as per the previous stage submissions. • **ICT recommendation to appoint.** • BCIS Tender Index – tender price index compiled by BCIS (to be submitted after tender acceptance); • Tender Cost Analysis – on the basis of BCIS detailed Elemental Standard Form of Cost Analysis to be submitted immediately after tender acceptance. • Tender Activity Schedule. • Costed Risk Register		

RIBA Stage "5" Construction

	Deliverable	ICT Sign
1	**ICT to administer the construction phase of the Contract.**	
2	**Provide CAR reports to allow DE to monitor Compensation Events**	

DE Review point 6 RIBA Stage "6" Handover & Close Out

	Deliverables for submission to Department of Education for Release of Retentions / Final Grant Aid.	**ICT Sign**
	At **Handover** of the Works. The ICT must collate handover documentation including information from the Contractor Team and present complete packaged **Completion Report** to the school authority and where appropriate, Education Authority at completion of the works.	
1	**ICT to confirm to the Department of Education that the Completion Report has been issued.** The **Completion Report** should include, as a minimum: • **Completion Certificate** • **Outstanding Defects list.** • Health and Safety File. • ICT confirmation that all Planning conditions have been met. • Building Regulations completion certificate. • Acoustic Post-Construction Report and test results confirming requirements of BB93 have been met. • RIBA Stage 6 BREEAM **Construction Stage Assessment Review.** • Post-Construction Carbon Report, showing that the carbon reduction strategy as built meets the strategy as designed and lessons learnt to inform future projects. • Confirmation that all mechanical and electrical systems have been fully commissioned with operational training and demonstrations given to the school end user on each system. • Confirmation that a complete set of "as built" drawings, schedules, O&M manuals etc has been presented to the school and where appropriate, a second copy issued to the Education Authority. • All handover documentation to be provided in hard copy as well as electronic format. All drawings to be formatted in AutoCAD **and** PDF.	
2	At **Defects Date** or end of last **Defect Correction Period** whichever is later. • The **Supervisor (**ICT) issues the **Defects Certificate.** • The ICT presents a **Defects Report** to the school authority, Department of Education and where appropriate the Education Authority. • The **Defects Report** should include, as a minimum: **Defects list** of Defects which the contractor has not corrected. • **RIBA Stage 6 BREEAM <u>Final</u> (post construction) Certificate.**	
3.	**Final Account**	

	- Signed Final Account Statement of Account - Any **non-grant aided provisions** should be clearly identified. - Provide Final Account CAR form. (forms 1-3 NEC3 Options A&B, and forms 1-10 NEC3 Option C)	