



Doncaster and Bassetlaw
Teaching Hospitals
NHS Foundation Trust

Capital Process, Procedure & Quality Policy (Estates & Facilities)

This procedural document supersedes: - CORP/FAC 13 v.2 - Capital Process, Procedure & Quality Policy (Estates & Facilities)



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Amendment Form

Please record brief details of the changes made alongside the next version number. If the procedural document has been reviewed **without change**, this information will still need to be recorded although the version number will remain the same.

Version	Date Issued	Brief Summary of Changes	Author
Version 3	September 2026	- Updated to reflect dissolved RIT Directorate - Updated titles – Director of Infrastructure & Chief Finance Officer - Updated to reflect that Capital Business Cases are presented at the Capital Monitoring Committee (CMC) - Amend CPT –07-01 to updated version – Post Implementation Review (PIR)	S Eaton
Version 2	January 2024	- Amendment to policy to incorporate KPMG Backlog maintenance Report – Finding 2.1 Management Action - Updated to incorporate changes in roles and responsibilities and new RIT Directorate - Amended to the updated version of the APD template.	A White
Version 1	March 2021	This is a new procedural document, please read in full	A White

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The contents of this Policy refer to the Capital Process Map, which can be found in [Appendix 1](#).

The Capital Process Map provides an at a glance guide to the stages referenced in this document which are also linked into the RIBA stages of works.

1 INTRODUCTION

This procedural document highlights the Estates & Facilities Directorate (E&F) Capital Projects Unit (CPU) Process & Quality Process. It is intended to outline the requirements of the CPU roles and responsibilities in the delivery of strategic management and control of capital projects and associated quality requirements affiliated to the Trust financial processes and guidelines and wider NHSi/NHS England and Royal Institution of British Architects (RIBA)/Royal Institution of Chartered Surveyors (RICS) procurement and contractual guidelines.

2 PURPOSE

The purpose of the Capital Process and Quality Policy is to document and formalise the requirements of the CPU in the application of the capital programme and provide guidance and control mechanisms with regards to cost, quality and time in the carrying out of the Trust's capital programme.

The guidance contained within the associated processes are commensurate with Trust policy and Standing Financial Instructions (SFIs) and have been developed in line with RIBA plan of works as noted above. ([See Appendix 2](#))

There may be projects where Department of Health Procure 23 (Department of Health Procurement Framework for Major and Minor Capital works) is utilised and consequently where the stage references differ these will be referred to. The CPU requirements with regards to Quality, Cost and Time, still apply but the DoH P23 Framework do supply their own process forms which the Trust follows commensurate with the requisite New Engineering Contracts (NEC) contract protocols.

The purpose of this document is also to provide guidelines and expectations with regards to quality benchmarks.

3 DUTIES AND RESPONSIBILITIES

Whilst it is incumbent upon all staff within CPU, with responsibilities in connection with Capital Projects, to comply with the requirements of this Process, key personnel have particular responsibilities as follows: -

3.1 Head of Capital Infrastructure

To author and implement the process and determine appropriate resourcing in order that the requirements of the process can be achieved within the overall mission statement and goals of the team and the wider CPU function.

To carry out a periodic review of the process in order to update in connection with changes in delivery or any other financial or quality related issues.

3.2 Capital Project and Programme Team Members

Project management personnel are internally appointed to deliver capital schemes and carry out other support works, to deliver feasibility and cost advice to our Trust's Divisions and Departments.

3.3 Capital Project Support Teams – Externally Appointed Teams

The Head of Capital Infrastructure will appropriate the requisite staffing in order to deliver the schemes to include the appropriate design delivery teams, which will be chargeable to each project, including architect, mechanical and electrical design, quantity surveyors, structural engineers, principle designers and clerk of works etc.

The CPU is a project management function with limited internal design capability. The team is therefore made up of project management personnel and other external advisors dependent upon the stage of each project.

Funding will be set aside annually to assist in the delivery of feasibilities in connection with approved Capital Project Initiation Documents (CPIDs) including architectural support and cost advice (QS) for budgetary purposes.

Further QS support will also be required to assist with monthly cash flow and potentially accruals depending upon the volume of work at the time.

4 PROCEDURE

4.1 Capital Plan Prioritisation and Business Case Development

The 6 Facet Survey forms the 'core' estates information required by HBN 00-08 (NHS Estate code) which has always been regarded as the 'minimum data set' of information on which to base investment decisions regarding the future of the estate. The survey will be used to provide the baseline information for the Estate Strategy in association with the Trust Premises Assurance Model (PAM) and the updated ERIC returns and the Carter and Naylor Reviews.

The 6 Facet surveys are to be updated annually and are also linked to the Trust Risk Register in terms of the prioritised risks relating to the estate's portfolio and the relative likelihood and impact on the Trusts key areas of clinical and business need according to the following risk matrix:

	Consequence				
Likelihood	Insignificant	Minor	Moderate	Major	Catastrophic
Rare	1	2	3	4	5
Low/Unlikely	2	4	6	8	10
Possible	3	6	9	12	15
High/Likely	4	8	12	16	20
Almost Certain	5	10	15	20	25

The schedule of costed risks are then incorporated into a draft 3-to-5-year capital plan reflective of the limitations of the Trust Capital Departmental Expenditure Limit (CDEL), targeting the highest categories (15-25) which reflect the High and Critical risk elements. Not all prioritised risks will be identified as 15 to 25 as there will also be many pieces of work required which in themselves are not high risk but without which the prioritisation of a capital plan may not be possible (e.g.: Estate Plan)

The prioritised risks will be then identified by the Estates & Facilities Senior Management Team (SMT) and agreed before submission to the Board for ratification and approval within the approved CDEL envelope for that year. (Note: the plan may not reflect the true needs of the property portfolio, but the SMT will make the valued decisions with regards to prioritisation based upon, risk, condition and clinical need).

In addition, and within the Trust CDEL allocations, Divisional Priorities will be determined within the Trust Annual Business Planning process whereby each Division identify clinical priorities which need Capital Infrastructure support/intervention. The final prioritised lists will then be ratified at Corporate Investment Group (CIG)

Business Cases are required for projects of value of £10k or more and there is a different Business Case template for schemes above the value of £50k. Business Cases will be based upon the HM Treasury Green Book 5 Case Model, comprising:

- Strategic Case the strategic case – strategic fit and clear investment objectives.
- Economic case – optimising value for money
- Commercial case – attractiveness to the market and procurement arrangements.
- Financial case – affordability.
- Management case – deliverability and plans for delivery.

Once the capital plan has been approved, a business case must be written for schemes above the value of £10k for submission to the Estates Capital Infrastructure Committee, Capital Monitoring

Committee and the Corporate Investment Group (CIG) for approval to drawn down the capital allocation.

4.2 Strategic Definition (Stage 0) & Preparation & Brief (Stage 1)

Core Objectives (Stage 0): Identify Trust Division strategic and other core project requirements

Core Objectives (Stage 1): Develop Project Objectives including Quality Objectives and Project Outcomes, Sustainability aspirations, Project Budget, other parameters or constraints and develop initial Project Brief. Undertake Feasibility Studies and review of Site Information

The Trust's Division/Department will identify its corporate priorities and business planning requirements within the Annual Plan linked to National, Regional and DBTH objectives. At the appropriate time of the year in terms of planning, the Division/Department will identify its key priorities which have capital implications and complete a **Capital Projects Initiation Document (CPID)**. The CPID must be signed and approved by a member of the Division's senior management team and then sent electronically to the CPU administrator. The CPID will then be reviewed by the Executive Directors of Finance and Strategy & Transformation to validate that the request remains aligned to the Trusts strategic plans. If approved the CPU (CPU) lead will apportion resource to carry out feasibility with associated cost plan. (The CPU provide capital project and management support to the Trust and design team functions are externally sourced through architects, building surveyors, quantity surveyors, structural engineers, principal designers etc.)

The feasibility once approved may include Architect's proposals and Quantity Surveyor's cost plan.

Initial feasibilities must include reference to the Trust Division/Departmental objectives and also consider relevant impact on other divisions and departments where appropriate. Other key stakeholders must be considered as part of the initial feasibility although some will only need to be referred to as the scheme progresses. Initial reference at this stage must be made to the Estates Operational Team, to ensure that the proposal takes cognisance of Mechanical and Electrical elements as this will constitute a significant percentage of the cost of carrying out the works.

The cost plan must also include all extraneous elements of the project including the following: -

- Abnormal (Additional considerations peculiar to the location of the works. E.g.: contaminated land, poor loadbearing capacity of the sub-strata)
- IT and Data
- Contingency and optimism bias
- Inflation – pricing to mid-point of the proposed construction of the works
- Furniture, Fittings and Equipment (FF&E)
- Water Safety Risk Assessment
- Security
- E&F Systems update
- Fees
- VAT where applicable – allow the full 20% at feasibility stage but the project may be subject to discounted VAT elements once the scheme progresses. Refer to the Trust VAT liaison advisor, finance and Quantity Surveyor (QS) in making this assessment.

All allowances to be commensurate with BCIS schedule of rates and VAT allocations to ensure that requisite consideration has been taken of elements of reclaim where possible. Where this is not known at the time the budget to allow for the current rate of taxation as noted above.

All projects to be accompanied with a draft programme to ensure adequate time is allocated within the planning process and adjusted to allow for any changes within the approval process. The programme must also be agreed by the Trust division/department and Trust Executive.

Feasibilities will then be confirmed to the Trust Division/Department for inclusion within a Business Case which will be designated either above or below the £50k approval threshold.

Once a project is approved to the feasibility stage it becomes a 'Proposal' and allocated a 'P' reference number which is recorded within the CPU projects folder. This represents unfunded works at this stage and projects may be divided into minor (below £50k) and major projects (above £50k). The CPID must be stored within the requisite Proposals folder along with other significant and associated documentation including the Business Case to which the works relate, where appropriate.

In accordance with good practice, adequate time must be allowed to develop the scheme including agreeing the programme for overall delivery which allows for the requisite decision points within the Trust's financial planning regime, which allows the project to be delivered in time to achieve the Divisional/Departmental objectives and associated benefits realisation, Cost Improvement Programmes or other external targets affiliated to Care Quality Commission or JAG for example. The Trust Division/Department must communicate to the CPU their key deliverables in terms of timescales etc. which must be reasonable and achievable.

The CPU will provide the 'Estates Annexe' for each business case which will include the feasibility design, cost plan and consideration with regards to programme. The CPU must confirm that the proposals at this stage are both reasonable and achievable. The CPU will not comment on the clinical case of need and will not author the business case if it is clinical in nature.

The business case must include consideration of lifecycle costing and any revenue implications including pre-planned maintenance for new plant, prospective facilities costs and energy. The business case must also take cognisance of changes to the capital charges of the affected assets, valuation of the asset, depreciation and any impairment where appropriate.

Once completed the Business Case must be presented to the Estates Capital Infrastructure Committee (ECC), Capital Monitoring Committee (CMC) and then the Corporate Investment Group (CIG). The funding stream must be identified at this stage which will either be

- Current year's agreed capital programme
- Following year's agreed capital programme
- Care of Excellence Fund
- Contingency

Relevant Capital Projects Team Documentation and Process Forms:

- CPT 0 – 01 CPID

4.3 Concept Design (Stage 2)

Core Objectives: Prepare concept Design, including outline proposals for structural design, building services systems, outline specifications and preliminary Cost Information along with relevant Project Strategies in accordance with Design Programme. Agree alterations to brief and issue Final Project Brief.

Concept design will commence when the project has been approved by the Trust Board and funding stream agreed. The project will then be allocated a project number commencing with the year that it was approved, e.g.: 26001. The project folder will then be set up including the standard structure and including the relevant sub-folders and each project manager will ensure that this is kept up to date and current. In terms of Stage 2 the duties of the CPU will be as follows:

- Stakeholders
 - Agree the relevant stakeholder team with the Trust Division/Department
 - Check design against critical success factors, initial benefits realisation
 - Provide regular updates to stakeholders
 - Agree accommodation requirements with appropriate Space Utilisation strategy team and determine schedule of accommodation.
- Delivery
 - Budget sourced through the feasibility fund and recorded within the feasibility tracker, to include architects, Quantity Surveyor (QS) and other related fees.
 - Engage framework design team for Architect and QS and Mechanical & Electrical (M&E) if required.
 - Propose procurement route
 - Determine Project roles.
- Quality
 - Initiate discussions with Infection control, Fire Safety, Estates Operational teams, Health & Safety, Facilities etc.
 - Consider Dementia, Patient Led Assessment of the Care Environment (PLACE), Hospital Technical memorandum (HTM), Hospital Building Note (HBN), Building Regulations and best practice in design and appropriate application
 - Carry out measured surveys and topographical surveys where appropriate and obtain as built information where available from the Estates & Facilities Directorate.
- Risk
 - Initiate risk register to inform Business Case
- Cost
 - Advise Financial Accounts of likely cash flow requirements
 - Develop cost plans to determine initial pre-tender estimate

- Carry out value engineering where required as good practice during the evolution of the project design and initial feasibility
- Programme
 - Agree programme to reach tender and activity schedule.
 - Determine key aspirational programme dates which tie into business plans and key operational requirements/compliance etc.
 - Division/Department to approve initial feasibility design

This stage is critical to set out the boundaries of the scheme and the principles which will drive the design. Regular reference to a cost plan must be made to control scope and reference the budget within which the scheme must be delivered.

Establish the site information available to inform the design including topographical surveys, existing service drawings and establish standardisation of components and specific incumbent suppliers which need to be co-ordinated.

All design consultants to be encouraged to work with 'design integrity' which is defined as designing something that will work with regular on-site checks to reference design with installation.

Key considerations during design and which must be agreed and referenced include quality of component and installation, serviceability and ease of maintenance, innovation and sustainability. With regards to quality, it must also be noted that out of sight is not out of mind and the Trust require consistent standards throughout whether below or above the ceiling.

Relevant CPU Documentation and Process Forms:

- *In development*

4.4 Developed Design (Stage 3)

Core Objectives: Prepare Developed Design, including coordinated and updated proposals for structural design, building services systems, outline specifications, Cost Information and Project Strategies in accordance with Design Programme.

In terms of Stage 3 the duties of the CPT will be as follows:

- Stakeholders
 - Negotiate impact on other clinical areas, decants, shutdowns of electrical, water, gas, IT etc.
 - Keep all stakeholders informed of progress, impact and programme
 - Liaise with Operational Estates on design and specification
- Delivery
 - Procure works

- Monitor design progress against programme
- Check designers are engaging stakeholders
- Planning, Building Regulations and Building Research Establishment Environmental Assessment Method (BREEAM) applications
- Fire Safety Advisor and Authorising Engineer (AE)
- Ensure contractor includes training in commissioning etc.
- Quality
 - Check design delivers critical success factors
 - Chair and minute regular design meetings with designers and stakeholders
 - Write project execution plan
 - Include MiCAD* and Planet FM* requirements and updates
- Risk
 - Review and update risk register
- Services
 - Carry out services survey, measurement and quantify services work to be carried out
 - Carry out asbestos surveys
 - Carry out Fire Safety surveys
 - Determine extent of BIM requirements
- Cost
 - Prepare elemental pre-tender estimate for project with assistance from external cost advisor.
 - Carry out value engineering where required
- Programme
 - Set detailed programme including commissioning (Estates and Facilities and Operational) and project evaluation

Relevant Capital Projects Team Documentation and Process Forms

- *In development*

4.5 Technical Design (Stage 4)

Core Objectives: Prepare Technical Design in accordance with Design Responsibility Matrix and Project Strategies to include all architectural, structural and building services information, specialist subcontractor design and specifications in accordance with Design Programme.

In terms of Stage 4 the duties of the CPU will be as follows: -

- Stakeholders
 - Submit F10 to Health & Safety Executive (HSE)
 - Check H&S duties of Trust have been discharged

- Publicise works internally (The Buzz) and externally – media
- Provide regular updates to stakeholders
- Delivery
 - Ensure Construction Design & Management (CDM) services in place
 - Check tender package against project brief
 - Tender the works
 - Appoint contractors – Set up on the Contractor Management System
 - Provide monthly highlight reports to project boards and for the Monthly Capital Status Report which is prepared for the Capital Monitoring Committee.
- Quality
 - Engage site supervisors/clerk of works if works are of appropriate value
 - Develop detailed works information packages
 - Develop detailed specifications
 - Quality check drawings deliver critical success factors
- Risk
 - Evaluate risk level, mitigate and actions
 - Assign risks to Trust/contractor
 - Arrange insurance and warranties
 - Hold risk workshops
- Services
 - Ensure orders placed for all services and building items with long lead in periods
 - Carry out clash detection and other 3D modelling requirements
- Cost
 - Agree final tender value and alignment with budget
 - Evaluate tenders
 - Check affordability of tender returns against business plan budget
 - Carry out value engineering where required
- Programme
 - Check programme against critical success factors
 - Agree contract programme and activity schedule

Relevant Capital Projects Team Documentation and Process Forms

- *In Development*

4.6 Construction (Stage 5)

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

In terms of Stage 5 the duties of the CPU will be as follows:

- Stakeholders
 - Ensure planning and Building Regulation approval in place
 - Ensure Fire Safety approval in place
 - Regular liaison with stakeholders impacted by the works
 - Carry out stakeholder H&S briefing
 - Provide regular communications update with photos (The Buzz)
 - Include designated/appropriate stakeholders in site meetings
- Delivery
 - Check contract is executed before start on site
 - Monitor issue of design information
 - Ensure progression of contract deliverables
- Quality
 - Ensure contractors use the Contractor Management System to log on
 - Chair and minute regular project and monthly progress meetings on site with designers and contractor
 - Ensure project progress photographs are taken and issued
 - Receive and review Supervisor's/Clerk of Works reports and closes out issues arising
- Risk
 - Value risks and add to register
 - Discharge construction phase Trust's duties of CDM regulations Services
 - Complete any outstanding intrusive service's/structure/ asbestos surveys/ Fire surveys requiring access
 - Carry out asbestos abatement
 - Carry out Fire Safety works as required
- Cost
 - Monitor costs against budget
 - Provide cost report to Head of Capital and project boards each month
 - Agree any project variation cost with Chief Finance Officer via Head of Capital Projects
 - Issue Architects Instruction (AI's)/Compensation Events (CE's)
 - Escalate issues to Head of Capital Projects
- Programme
 - Agree contract programme
 - Monitor and manage construction progress against programme
 - Issue/Review early warnings/risks arising
 - Escalate issues to Head of Capital Projects

Relevant CPU Documentation and Process Forms:

- CPT 05-01 Project Directory
- CPT 05-02 Project Status Report

- CPT 05-03 Change Control

4.7 Handover and Close out (Stage 6)

Core Objectives: Handover and building and conclusion of Building Contract.

In terms of Stage 6 the duties of the CPU will be as follows:

- Stakeholders
 - Check all planning conditions discharged
 - Provide regular updates to stakeholders
- Delivery
 - Complete commissioning checklist and obtain signature of lead project sponsor
 - Carry out training of operations staff
- Quality
 - Ensure commissioning test data, operational and maintenance information, drawings and Revit model received
- Risk
 - Evaluate risk register is complete
 - Inform stakeholders of residual risks
- Services
 - Update MiCAD with as built services and building information
 - Update Fire Safety information
 - Ensure asset tagging has taken place
 - Ensure warranties in place

Relevant CPU Documentation and Process Forms:

- CPT 06-01 Commissioning Schedule
- CPT 06-02 Snagging Schedule

4.8 In use (Stage 7)

Core Objectives: Undertake In Use services in accordance with Schedule of Services.

In terms of Stage 7 the duties of the CPU will be as follows:

- Stakeholders
 - Carry out project evaluation (six months after hand over) and feedback to PM team.
 - Carry out further project evaluation 12 – 18 months after handover to measure user experience against critical success factors

- Quality
 - Review 12-month defects and issue completion notice
 - Inform Helpdesk that 12-month defects period is in place
- Programme
 - Review and release retention

Relevant CPU Documentation and Process Forms:

- CPT 07-01 Post Implementation Review
- CPT 07-02 Contractor Evaluation
- CPT 07-03 Consultant Evaluation

5 MONITORING COMPLIANCE WITH THE PROCEDURAL DOCUMENT

The ongoing performance of the CPU will be monitored and reported via the Estates Capital Committee and Capital Monitoring Committee which meet monthly.

Monthly Status reporting will be provided by the Head of Capital Infrastructure to include but not restricted to the following:

- | | |
|--|--------------------|
| • Reports on key schemes. | • Cost planning |
| • Status of current proposals and feasibility. | • Risk |
| • Business Cases | • Frameworks |
| • Cash flow | • Strategic Issues |
| | • NHSi bids |

6 DEFINITIONS

Procure 23 – Department of Health contractor framework for major capital projects.

* Product or Company naming convention

7 EQUALITY IMPACT ASSESSMENT

The Trust aims to design and implement services, policies and measures that meet the diverse needs of our service, population and workforce, ensuring that none are disadvantaged over others. Our objectives and responsibilities relating to equality and diversity are outlined within our equality schemes. When considering the needs and assessing the impact of a procedural document any discriminatory factors must be identified.

An Equality Impact Assessment (EIA) has been conducted on this procedural document in line with the principles of the Equality Analysis Policy (CORP/EMP 27), the Equality Diversity and Inclusion Policy (CORP/EMP 59) and the Civility, Respect and Resolution Policy (CORP/EMP 58).

The purpose of the EIA is to minimise and if possible, remove any disproportionate impact on employees on the grounds of race, sex, disability, age, sexual orientation or religious belief. No detriment was identified. ([See Appendix 3](#))

8 ASSOCIATED TRUST PROCEDURAL DOCUMENTS

CORP/EMP 27 Equality Analysis Policy

CORP/EMP 58 Civility, Respect and Resolution Policy

CORP/FIN 01 (A) Standing Orders – Board of Directors

CORP/FIN 01 (B) Standing Financial Instructions

CORP/FIN 01 (D) Fraud, Bribery and Corruption Policy and Response Plan

CORP/FIN 08 Charitable Funds Policy

CORP/PROC 08 (Procurement Policy) Policy and Guidance for the Procurement of Goods, Services and Works

ESOP02 RESET System Management

ESOP11 Contractor Management

ESOP12 Asbestos Management

ESOP13 Asbestos Capital Works

ESOP14 Safe Working in Ceiling voids & Risers

ESOP17 Asbestos Survey-Clearance Information

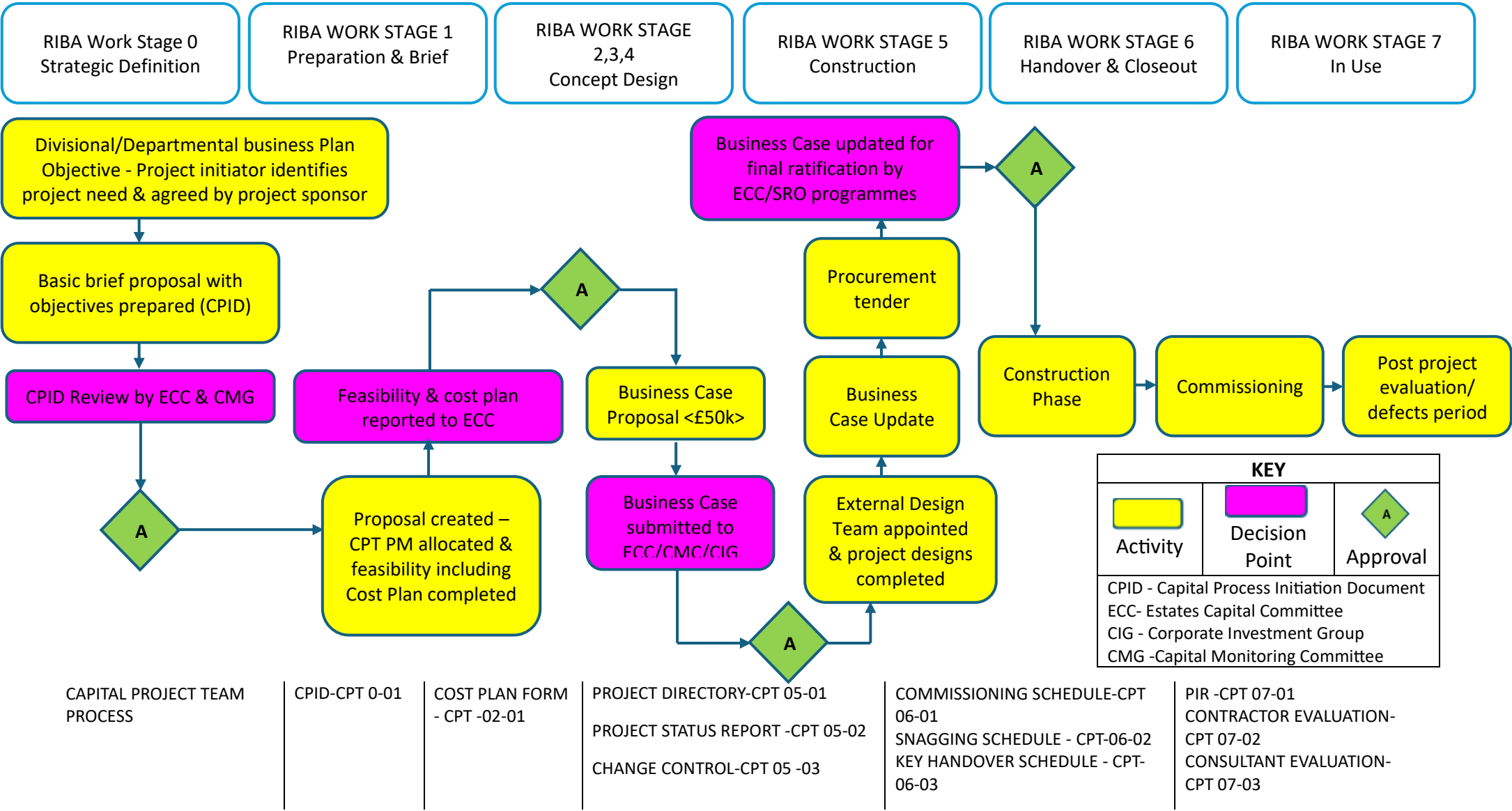
ESOP18 MICAD Asbestos Register

9 DATA PROTECTION

Any personal data processing associated with this policy will be carried out under ‘Current data protection legislation’ as in the Data Protection Act 2018 and the UK General Data Protection Regulation (GDPR).

For further information on data processing carried out by the trust, please refer to our Privacy Notices and other information which you can find on the trust website: <https://www.dbth.nhs.uk/about-us/our-publications/information-governance/>

APPENDIX 1 - CAPITAL PROCESS MAP



APPENDIX 2 – RIBA STAGES

 RIBA Plan of Work 2020 The RIBA Plan of Work organises the process of briefing, designing, delivering, maintaining, operating and using a building into eight stages. It is a framework for all disciplines on construction projects and should be used solely as guidance for the preparation of detailed professional services and building contracts.		0  Strategic Definition	1  Preparation and Briefing	2  Concept Design	3  Spatial Coordination	4  Technical Design	5  Manufacturing and Construction	6  Handover	7  Use
Projects span from Stage 1 to Stage 6; the outcome of Stage 0 may be the decision to initiate a project and Stage 7 covers the ongoing use of the building.									
Stage Boundaries: Stages 0-4 will generally be undertaken one after the other. Stages 4 and 5 will overlap in the Project Programme for most projects. Stage 5 commences when the contractor takes possession of the site and finishes at Practical Completion. Stage 6 starts with the handover of the building to the client immediately after Practical Completion and finishes at the end of the Defects Liability Period. Stage 7 starts concurrently with Stage 6 and lasts for the life of the building.	Stage Outcome at the end of the stage	The best means of achieving the Client Requirements confirmed If the outcome determines that a building is the best means of achieving the Client Requirements, the client proceeds to Stage 1	Project Brief approved by the client and confirmed that it can be accommodated on the site The brief remains "live" during Stage 2 and is derogated in response to the Architectural Concept	Architectural and engineering information Spatially Coordinated	All design information required to manufacture and construct the project completed Stage 4 will overlap with Stage 5 on most projects	Manufacturing, construction and Commissioning completed There is no design work in Stage 5 other than responding to Site Queries	Building handed over, Aftercare initiated and Building Contract concluded	Building used, operated and maintained efficiently Stage 7 starts concurrently with Stage 6 and lasts for the life of the building	
Core Tasks during the stage Project Strategies might include: - Conservation (if applicable) - Cost - Fire Safety - Health and Safety - Inclusive Design - Planning - Plan for Use - Procurement - Sustainability See RIBA Plan of Work 2020 Overview for detailed guidance on Project Strategies	Prepare Client Requirements Develop Business Case for feasible options including review of Project Risks and Project Budget Ratify option that best delivers Client Requirements Review Feedback from previous projects Undertake Site Appraisals	Prepare Project Brief including Project Outcomes and Sustainability Outcomes, Quality Aspirations and Spatial Requirements Undertake Feasibility Studies Agree Project Budget Source Site Information including Site Surveys Prepare Project Programme Prepare Project Execution Plan	Prepare Architectural Concept incorporating Strategic Engineering requirements and aligned to Cost Plan, Project Strategies and Outline Specification Agree Project Brief Derogations Undertake Design Reviews with client and Project Stakeholders Prepare stage Design Programme	Undertake Design Studies, Engineering Analysis and Cost Exercises to test Architectural Concept resulting in Spatially Coordinated design aligned to updated Cost Plan, Project Strategies and Outline Specification Initiate Change Control Procedures Prepare stage Design Programme	Develop architectural and engineering technical design Prepare and coordinate design team Building Systems information Prepare and integrate specialist subcontractor Building Systems information Prepare stage Design Programme Specialist subcontractor designs are prepared and reviewed during Stage 4	Finalise Site Logistics Manufacture Building Systems and construct building Monitor progress against Construction Programme Inspect Construction Quality Resolve Site Queries as required Undertake Commissioning of building Prepare Building Manual	Hand over building in line with Plan for Use Strategy Undertake review of Project Performance Undertake seasonal Commissioning Rectify defects Complete initial Aftercare tasks including light touch Post Occupancy Evaluation	Implement Facilities Management and Asset Management Undertake Post Occupancy Evaluation of building performance in use Verify Project Outcomes including Sustainability Outcomes Adaptation of a building (at the end of its useful life) triggers a new Stage 0	
Planning Note: Planning Applications are generally submitted at the end of Stage 3 and should only be submitted earlier when the threshold of information required has been met. If a Planning Application is made during Stage 3, a mid-stage gateway should be determined and it should be clear to the project team which tasks and deliverables will be required. See Overview guidance.	Core Statutory Processes during the stage: Planning Building Regulations Health and Safety (CDM)	Strategic appraisal of Planning considerations	Source pre-application Planning Advice Initiate collation of health and safety Pre-construction Information	Obtain pre-application Planning Advice Agree route to Building Regulations compliance Option: submit outline Planning Application See Planning Note for guidance on submitting a Planning Application earlier than at end of Stage 3	Review design against Building Regulations Prepare and submit Planning Application Submit Building Regulations Application Discharge pre-commencement Planning Conditions Prepare Construction Phase Plan Submit form F10 to HSE if applicable	Carry out Construction Phase Plan Comply with Planning Conditions related to construction	Comply with Planning Conditions as required	Comply with Planning Conditions as required	
Procurement: The RIBA Plan of Work is procurement neutral – See Overview guidance for a detailed description of how each stage might be adjusted to accommodate the requirements of the Procurement Strategy. ER Employer's Requirements CP Contractor's Proposals	Procurement Route Traditional Design & Build 1 Stage Design & Build 2 Stage Management Contract Construction Management Contractor-led	Appoint client team	Appoint design team	ER Appoint contractor	Pre-contract services agreement	Tender Appoint contractor CP Appoint contractor CP Appoint contractor	CP Appoint contractor	Appoint Facilities Management and Asset Management teams, and strategic advisers as needed	
	Information Exchanges at the end of the stage	Client Requirements Business Case	Project Brief Feasibility Studies Site Information Project Budget Project Programme Procurement Strategy Responsibility Matrix Information Requirements	Project Brief Derogations Signed off Stage Report Project Strategies Outline Specification Cost Plan	Signed off Stage Report Project Strategies Updated Outline Specification Updated Cost Plan Planning Application	Manufacturing Information Construction Information Final Specifications Residual Project Strategies Building Regulations Application	Building Manual including Health and Safety File and Fire Safety Information Practical Completion certificate including Defects List Asset Information If Verified Construction Information is required, verification tasks must be defined	Feedback on Project Performance Final Certificate Feedback from light touch Post Occupancy Evaluation	Feedback from Post Occupancy Evaluation Updated Building Manual including Health and Safety File and Fire Safety Information as necessary

RIBA

APPENDIX 3 - EQUALITY IMPACT ASSESSMENT PART 1 INITIAL SCREENING

Service/Function/Policy/Project/Strategy	Division	Assessor (s)	New or Existing Service or policy?	Date of Assessment
Capital Process, Procedure & Quality Policy (Estates & Facilities)	Estates and Facilities	S Eaton	Existing	1 September 2026
1) Who is responsible for this policy? Name of Division/Directorate:				
2) Describe the purpose of the service / function / policy / project/ strategy? To ensure compliance with Capital Process and Procedures and associated Trust policies and procedures and related committees etc (SFI's, Capital Monitoring Committee and Estates Capital Infrastructure Committee and CIG and compliance with Trust strategic business plans. Aligns with RIBA Plan of Work and also targets an optimal quality benchmark.				
3) Are there any associated objectives? Legislation, targets national expectation, standards: Procedural efficacy and quality improvement				
4) What factors contribute or detract from achieving intended outcomes? – Trust Staff and External Agency Awareness and Compliance.				
5) Does the policy have an impact in terms of age, race, disability, gender, gender reassignment, sexual orientation, marriage/civil partnership, maternity/pregnancy and religion/belief? No				
If yes, please describe current or planned activities to address the impact [e.g. Monitoring, consultation] – NA				
6) Is there any scope for new measures which would promote equality? [any actions to be taken] NA				
7) Are any of the following groups adversely affected by the policy?				
Protected Characteristics	Affected?	Impact		
a) Age	No			
b) Disability	No			
c) Gender	No			
d) Gender Reassignment	No			
e) Marriage/Civil Partnership	No			
f) Maternity/Pregnancy	No			
g) Race	No			
h) Religion/Belief	No			
i) Sexual Orientation	No			
8) Provide the Equality Rating of the service / function /policy / project / strategy – tick (✓) outcome box				
Outcome 1 ✓	Outcome 2	Outcome 3	Outcome 4	
<i>*If you have rated the policy as having an outcome of 2, 3 or 4, it is necessary to carry out a detailed assessment and complete a Detailed Equality Analysis form – see CORP/EMP 27.</i>				
Date for next review:	March 2029 (Policy Valid Until September 2029)			
Checked by:	M Gleadall			
Date:	01/09/2026			