

4. Business Case and Projects Activities Guide

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This Business Case and Project Activities Guide is provided to assist those staff /organisations who may be new to NHS business case process for construction and refurbishment projects. It is recommended that exact requirements and timings are confirmed with key stakeholders including the approving body before progressing individual project proposals. Once a PID or SOC is approved an essential element to successful project deployment is early engagement with the processes highlighted below appropriate to the project with any deviation agreed with the approving body in advance of every business case and project stage.

Standard business case and project phases	PID	SOC	OBC	FBC	CONSTRUCTION	POE
NB: It is a requirement that NHS Trusts and other NHS providers complete the HM Treasury 'Green Book' Better Business Case training before commencing a project. Details of this training are available from NHS regional finance teams	Project Initiation Document	Strategic Outline Case Pre OBC Procurement Option (P2025 and OIP only)	Outline Business Case	Full Business Case	Construction and Practical Completion Stages	In Use Evaluation (Year 1) Post Occupancy Evaluation (Year 1+)
Accelerated Business Case process	(PID may have been produced)	(Draft SOC may have been produced)	Combined and based on a NHSE pre agreed Preferred Option			
Building Information Modelling (BIM) BIM Level 2 was made a mandatory requirement for public sector bodies in 2013/14		DATA EXCHANGE 1 Requirement and Constraint Model	DATA EXCHANGE 2 Outline Solution Model	DATA EXCHANGE 3 Construction Information Model	DATA EXCHANGE 4 Operation and Maintenance Model	DATA EXCHANGE 5 Post Occupancy Validation Information Model and ongoing Operation & Maintenance Review
Government Soft Landings (GSL) Environmental, Financial, Functionality and Effectiveness performance assessments		GSL Stage 0: - business needs and performance targets GSL Stage 1: - Key objectives and operational requirements	GSL Stage 2: CONCEPT Test model, design and Operational Strategies GSL Stage 3: DEFINITION Check and confirm plan and assumptions. Check CapEx and define performance objectives (as BIM Data Drop 2)	GSL Stage 4 : DESIGN Refine design and construction approach and measure impacts against performance objectives (as BIM Data Drop 3)	GSL Stage 5: BUILD & CONSTRUCTION Review operational aspects and plan commissioning GSL Stage 6: HANDOVER Verify commissioning and prepare for start up	GSL Stage 7: POST OCCUPANCY EVALUATION (POE) (Year 1) GSL Stage 8: OPERATIONAL POE (Year 1+) GSL Stage 9: LESSON LEARNIT (Year 2+)
Royal Institute of British Architects (RIBA) project stages		RIBA Stage 0: Client Orientation RIBA Stage 1: Briefing	RIBA Stage 2: Concept Design (Check drawings with client and approving body) RIBA Stage 3: Definition (1:200 drawing a minimum requirement)	RIBA Stage 4: Technical Design	RIBA Stage 5: Construction	RIBA Stage 6: Handover RIBA Stage 7: in use POE
Design Review For major projects and /or where a requirement for Local Authority planning approval (designcouncil.org.uk)		Stage 1: Early engagement at SOC to agree a project assurance log and assist the client organisations understand the importance of a realistic project/design brief	Stage 2: Concept design, standardisation /MMC and impact of zero carbon. Pre planning application requirements, where early involvement is the key and developed and supported by the Design Review	Stage 3: Technical Design and detailed planning application developed and supported by the Design Review.		Stage 4: Handover stage: identify key elements to be reviewed through use and support the first Post Occupancy Evaluation on major projects a year after completion and continue as required
Design Appraisal The Construction Industry Council (CIC) Design Quality Indicator for Health has been the default option since 2015		DQIH Stage 0: Client orientation DQIH Stage 1: Client and stakeholder briefing	DQIH Stage 2: Concept Design	DQIH Stage 3: Mid Design	DQIH Stage 4: Ready for occupation / commissioning (Year 1)	DQIH Stage 5: In Use (Year 1+)
Also see P23 DAT (Design Assurance Tool)			Stage 1: PREPARATION (appraisal and design brief) Stage 2: DESIGN (concept and technical) Stage 3: PRE CONSTRUCTION (Products specification, tender documents, tender action)	Stage 4: DESIGN STAGE ASSESSMENT The "Interim BREEAM Certificate" to be included in FBC)	Stage 5: Construction modifications and practical completion	Stage 6: In use evaluation and issue of final BREEAM Certificate of performance
Sustainable Development and Net Zero Carbon NHS England Estates Sustainability Team guidance is available.		INTENT: Set out intentions to build/refurbish to net zero carbon standards for the life of the building and state which model/standards are intended to be used	PLANNING: Solidify plans and set out details of scope and design approach to achieve net zero carbon through design, build, operation and end of life. Confirm model/standards will be used and determine M&V process	FULLY COSTED PROPOSALS: Detail fully costed proposals for achieving net zero carbon in design, build, operate, maintain and end of life. Detail proposals for offsetting emissions which could not be designed with reasons why they could not be designed out. Detail full lifecycle M&V process and guarantees for lifetime performance		
Carbon Impacts NHS England Estates Sustainability Team guidance is available.		Estimate residual carbon offsetting	Define residual carbon for offsetting	Confirm residual carbon for offsetting		
Design and user security assurance (based on Building Research Establishment (BRE) Security Appraisal (SABRE))		SABRE PRE ASSESSMENT	DESIGN STAGE ASSESSMENT 1: Evidence collection, technical support, and design stage assessment by SABRE registered assessor	DESIGN STAGE ASSESSMENT 2: Issue Interim SABRE Certificate	CONSTRUCTION: Modifications and Practical Completion stage	IN USE EVALUATION Post completion, initial occupation, Evaluation Issue Final SABRE Certificate
Local Authority Building Control (appointing Building Inspector(s)).		Appointment of inspector(s) and agree brief	Planning Application Building Regulation and design review	Building Regulation and design review Technical design and detailed Planning Application	Building Regulation compliance Construction inspection(s) Practical Completion certificates	Completion reports
NHSE : Design and construction derogation reporting See NHS England derogation and approval guidance and process			Project SRO to complete a costed and Board approved schedule for OBC review and approval purposes	Project SRO to complete a costed and Board approved schedule for FBC review and approval purposes	Project SRO to complete a Board approved report that standards agreed at FBC have been provided and are operating as expected cost and risk wise	Project SRO and external audit to review and provide a report as part of the POE process that standards reported at post construction are operating as expected cost and risk wise
NHSE: Cost data reporting (for NHSE and BCIS cost benchmarking purposes)				SRO to provide cost data to NHSE agreed format on submission of the FBC for NHSE approval		SRO to provide cost data to NHSE agreed format on submission of the projects "Final Account"
IPA Gateway Review (external audit that may be covered by 'Soft Landings' - see above)		GATEWAY '0' Strategic Assessment	GATEWAY 1: Business justification GATEWAY 2: Procurement strategy GATEWAY 3: Investment decision	GATEWAY 4: Readiness for service		GATEWAY 5: Benefits realisation
Also see Better Business Case guidance						
NHS Trust /provider: Developing operational policies to support the design and budget options		Drafting	Drafting	Agreed and provided as part of the FBC submission for approval		
NHS Trust /provider: Approved and agreed clinical service strategy		Drafting	Agreed and provided as part of the OBC submission for approval			
NHS Trust /provider: Board approved Estates Strategy		Available at SOC	Reviewed and available at OBC	Reviewed and available at FBC		Reviewed and available for all stage of Post Occupancy Evaluation
NHS Trust /provider: Approved Travel Plan		Available at SOC	Reviewed and available at OBC	Reviewed and available at FBC		Reviewed and available for all stage of Post Occupancy Evaluation
NHS Trust /provider: Approved Sustainable Dev. Policy/Plan		Available at SOC	Reviewed and available at OBC	Reviewed and available at FBC		Reviewed and available for all stage of Post Occupancy Evaluation
NHS Trust /providers: Service and funding support letters from all commissioning organisations		Required for SOC approval process	Required for OBC approval process	Required for FBC approval process		
Valuation Office Agency services (Primary Care developments only)			Appoint District Valuer Written valuation		Building quality /compliance inspection Valuation confirmation	Practical completion /valuation report
NHSE PROCURE 23 (pre tendered procurement /construction framework)		Trust registers project with P23 P23 Principle Supply Chain Partner selection interviews	PSCP selected Contract entered into Design and Cost Development Agree Guaranteed Maximum Price (GMP) for FBC approvals		Construction	Post Occupancy Evaluation and Lesson Learnt

Downloaded from NHS England P23: Sept 2014, Spring 2015, May 18 2015, January 2016, Nov 2016, Dec 2016, Jan 2017, April 2017, June 2017, Nov 2017, Dec 2017, March 2018, Dec 2018, January 2019, October 2019, November 2019, December 2019; NHSEB/ETC - Jan 2020 (NHSE) Sept 2020 (England/risk - OIG) Jan 2021 (OIG stages)