



For Health

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PAU 'At a glance guide'



This 'At a Glance' guide is provided to assist those staff /organisations 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.

NHS England Project Appraisal Unit

Construction / refurbishment capital investment and project activity guide: 2015-2016

Version: October 2015

BUSINESS CASES stages

BREEAM stages

DQI f H

RIBA design stages

	Strategic Outline Case (SOC) [Project Initiation Document - PID- for smaller schemes]	Pre OBC procurement option review (NHSPS/CHP only)	Outline Business Case (OBC)	Full Business Case (FBC)	Construction Phase	Post Project Evaluation (PPE)	
Private Finance Initiative (PFI /PF2) business case phasing	Strategic Outline Case (SOC)		Outline Business Case (OBC)	1. OJEU 2. Shortlist Bidders 3. Issue ITPD 4. Draft Appointment Business Case (dABC) approval 5. Issue ITSPB 6. Final Tenders 7. Recommend Preferred Bidder 8. Appointment Business Case (ABC) approval 9. HM Treasury approval 10. Confirmatory Business Case (CBC) approval 11. Financial/Contract close	Construction Phase	Post Project Evaluation (PPE)	
Private Finance Initiative (PFI /PF2) business case approvals	SOC stage 1: Trust develops SOC SOC stage 2: DH SOC Approval Point (Monitor risk assessment for FT) SOC stage 3: Treasury SOC approval	OBC stage 1: Trust develops OBC OBC stage 2: DH OBC approval (Monitor risk assessment for FT) OBC stage 3: Treasury OBC approval point	PROCUREMENT Stage 1: OJEU notice issued Stage 2: Pre close of dialogue and draft final bids submitted	FBC Stage 1: DH approval of FBC (Monitor risk assessment) FBC Stage 2: Treasury FBC approval	PROCUREMENT Stage 3: Post preferred bidder design development, financing and planning FBC stage 3: DH final FBC approval point FBC stage 4: Treasury final approval point	Financial Close Construction Phase Post Project Evaluation (PPE)	
NHS Local Improvement Finance Trust (LIFT) business case phasing	Strategic Outline Case (SOC)		OBC procurement decision	LIFT Stage 1 business case	LIFT Stage 2 business case	Financial Close Construction Phase Post Project Evaluation (PPE)	
Department of Health (DH) 'Health Gateway Reviews' (DH Health Gateway update July 2013)	Gateway 0 (Strategic Assessment)		Gateway 1 (Business Justification)	Gateway 2 (Procurement Strategy)	Gateway 3 (Investment Decision)	Gateway 4 (Readiness for Service) Construction Phase Gateway 5 (Benefits Evaluation)	
Building Information Modelling (BIM) (BIM Task Group update 2013)	DATA EXCHANGE 1 Requirement & Constrain Model		DATA EXCHANGE 2 Outline Solution Model	DATA EXCHANGE 3 Construction Information Model	DATA EXCHANGE 4 Operation and Maintenance Information Model	DATA EXCHANGE 5 Post Occupation Validation Information Model and on-going O&M	
Design (Quality Indicator) Model	Pre Assessment		Design Stage Assessment	Issue Interim Certificate ?	Construction & Post Construction Assessment ?	Evaluation Issue Final Certificate	
Design (Quality Indicator)	Stage 1 Briefing		Stage 2 Mid Design	Stage 3 Detailed Design	Construction Phase	Stage 4 Ready for Occupation Stage 5 In use	
External Design Review Panel (DRP) via CABE / Design Council	Dependant on nature of scheme		Dependant on nature of scheme and Local Authority planning requirements	Dependant on nature of scheme and Local Authority planning requirements	Construction Phase	Post Project Evaluation (PPE)	
RIBA 2007	Stage A Project Appraisal	Stage B Design Brief	Stage C Design Concept Check drawing requirement with approving body	Stage D Developed Design (1:200) Minimum 1:200 drawings for preferred option. Possibly greater detail for novel, contentious, derogated designs.	Stage D/E Design and cost estimates	Stage E: Technical Design Stage F: Production Stage G: Tender documentation Stage H: Tender Action	Stage J: Mobilisation Stage K: Construction to practical completion. Stage L Post Practical Completion
RIBA 2013	0 Strategic Definition	1 Preparation & Brief	2 Concept	3 Definition	4 Technical Design	5 Construction 6 Handover 7 In use	
Procure 21 plus (P21+) Key Stages	P21+ Stage 1		P21+ Stage 2		P21+ Stage 3	P21+ Stage 4 P21+ Stage 5	
Optimum time period	1		2		3	4	
Trust registers scheme	1		2		3	4	
PSCP selection process	1		2		3	4	
PSCP selected	1		2		3	4	
Contract entered into	1		2		3	4	
Design Development	1		2		3	4	
Construction	1		2		3	4	
Other key project activity	SOC		OBC		FBC	Construction Phase Post Project Evaluation	
Optimum time period	1		2		3	4	
Developing Operational Policies to support the design and budget options	1		2		3	4	
Approved clinical service strategy	1		2		3	4	
Approved Estates Strategy	1		2		3	4	
Approved Travel Plan	1		2		3	4	
Approved Sustainable Dev. Policy/Plan	1		2		3	4	
Commissioner support	1		2		3	4	
Local Authority Planning Approval (Full)	For SOC 0		For OBC 0		For FBC 0	Construction Phase Post Project Evaluation (PPE)	
	Allow 13 weeks post written approval for judicial review where full planning approval (FPA) is pre 30th June 2013. Allow 6 weeks where FPA is from 1st July 2013						

NHS England PAU (1) September 2014 (2) Spring 2015 (3) May 1st 2015

Post occupancy and project evaluation

Post Project Evaluation

Key stages and professional project support as part of the business case process

NHS standard BUSINESS CASES stages case phasing												
	Strategic Outline Case SOC	Outline Business Case OBC	Full Business Case FBC	Construction Phase	Post Project Evaluation Stage						Assessment Team	
					3 month	6 month	1 year	2 year	5 year	10 year	Internal	External Lod/Input
Post Project Evaluation	Review previous PPE for lessons learnt											
Stage 1: Evaluation Plan			→								Yes	A, D, E
Stage 2: Project Delivery					⇒						Yes	A, D, E
Stage 3: Initial PPE						⇒					Yes	A, B, D,
Stage 4: Follow up PPE							⇒	⇒	⇒		Yes	D
Design Quality (DQ) for Health	Pre-brief	Stage 1 Briefing	Stage 2 Mid Design	Stage 3 Detailed Design	Stage 4	Ready for Occupation	Stage 5 In Use				Yes	B, D, E
B Building Research Estab. Assessment Model (BREEAM)	Pre Assessment			Interim Certificate		Post Construction Assessment	Final Cert				Yes	D, E
C Health Gateway Review	Gateway 0 Strategic Assessment	Gateway 1 Business Justification	Gateway 2 Procurement Strategy	Gateway 3 Investment Decision	Gateway 4 Readiness for Service	Gateway 5 Benefits Evaluation				Yes	E	
D Building Information Modelling (BIM)	Data Exchange 1 Requirement and Constraint Modelling	Data Exchange Outline Solution Model	Data Exchange Construction Information Model	Data Exchange Operation and Maintenance Information Model	Data Exchange Post Occupation Validation Information and on-going operation and management						Yes	A, B, E
E NEC 3 construction contract (as DH Procure 21+ pre tendered framework)						Post Construction Assessment					Yes	A, B, D

Soft Landings and BIM

