

**THE NORTH OF SCOTLAND FACILITIES & CAPITAL PLANNING GROUP**

**RECOMMENDATIONS AND OUTPUTS FROM THE SHORT LIFE WORKING GROUP RESPONSE TO ISSUES HIGHLIGHTED IN THE“COLE REPORTS”**

November 2021

At its regional Board meeting in December 2020, the North of Scotland Facilities & Capital Planning Group fully endorsed the 47 recommendations contained within the short life working group response to issues highlighted in the “Cole reports”.

The agreed next steps is for the North of Scotland Facilities & Capital Planning Group to consider how these recommendations can be extended across north Boards, to form a standard baseline of quality outcomes that will contribute towards improving the way that health buildings are designed and constructed.

The appendix below lists the recommendations into 4 separate category tables, these being 2 aimed at individual Boards to take forward (split between those that can be taken forward now and those that have outstanding dependencies) and similarly 2 for the North of Scotland Facilities & Capital Planning Group (again with and without dependencies).

In addressing the recommendations, the Project Lead Project Quality Checklist was created (referrer to appendix 1). The checklist can be used on all projects in helping to address project quality, assisting in standardising the process and requested information required to address the recommendations. Each checklist items contains a RAG status column that can be used to track progress and current status. Pro-forma templates and documents have been embedded within the recommendations and quality checklist as hyperlinks. These templates can be used on all projects and can be amended to reflect the specific requirements for the project.

TABLE 1 - Recommendations to be taken forward by individual Boards/at singular project level that are not impacted by any dependency

TABLE 2 - Recommendations to be taken forward by individual Boards/at singular project level that are impacted by a dependency

TABLE 3 - Recommendations to be taken forward by the NoSF&CPG that are not impacted by any dependency

TABLE 4 - Recommendations to be taken forward by the NoSF&CPG that are impacted by a dependency

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| **TABLE 1 - Recommendations to be taken forward by individual Boards/at singular project level that are not impacted by any dependency** | | **Cole**  **ref** | | |
| 4 | The Project Lead to review [***CV’s of external consultants***](#External_Consultants_Key_Personnel) for their suitability, based on experience relevant to the commission, and confirm outcome to the Project Board. | 1.1 | | |
| 7 | On receipt of final design proposals, the Project Lead to arrange a formal [***presentation of the design***](#Ref_19) to the Project Board. This should provide the [***Project Board***](#Project_Board_Design_Compliance) with a final opportunity to confirm any required changes. | 1.2 | | |
| 8 | Prior to approval of the contractors final design proposals, the Project Lead to seek a [***formal assurance***](#Ref_20) from the contractor that the design complies with the Board’s specified requirements, subject to any accepted derogations by the Board. This assurance should be reported to the [***Project Board***](#Project_Board_Design_Compliance). | 1.2 | | |
| 9 | During construction, termed “[***construction monitoring***](#Site_Supervisor_Observation_Report)”, the Project Lead to coordinate the Board’s technical resources to ensure regular physical [***inspections***](#Ref_23) are taking place. The Project Board should be provided with the following confirmations on a [***monthly basis***](#Project_Prestart_Meeting_Agenda_1):  • any [***changes/variations***](#Project_Meeting_Action_Tracker_1)  • assessment of the build quality  • sample of photographic records taken in the preceding period  • assessment on conformity with the Boards completion criteria requirements, culminating with a final report prior to completion. | 1.2 | | |
| 10 | [***The Project Lead***](#Ref_15) to brief members of the project team, who have a direct interface with contractors and designers to ensure they understand the limitations on checking and reviewing design information. This responsibility should also extend to consultants appointed by the Board. | 1.3 | | |
| 11 | [***The Project Lead***](#Project_Meeting_Action_Tracker_1) to ensure there is a [***contractual mechanism***](#Project_Prestart_Meeting_Agenda_1) for the Boards own/external appointed COW to have unfettered access to [***visit site***](#Site_Supervisor_Observation_Report). This can be achieved by preparing a delegation of duty from the appropriate lead (who does have these same contractual access rights). | 1.4 | | |
| 12 | [***The Project Lead***](#Ref_8) to procure a client hosted photo record portal, to compliment the work of TS’s and COW’s so that the Board has a historical record of the build as it progresses – the outcome of the tender should be confirmed to the Project, and the costs included within the business case. | 1.4 | | |
| 14 | [***The Project Lead***](#Project_Prestart_Meeting_Agenda_2) to ensure the contractor identifies a dedicated [***quality manager***](#Ref_16), who demonstrates the necessary capacity, and clear [***responsibility***](#Project_Meeting_Action_Tracker_2)for co-ordinating all aspects of design and construction – this person should have no other role involvement in the project. | 1.5 | | |
| 15 | [***The Project Lead***](#Project_Prestart_Meeting_Agenda_2) to ensure there is a process for the named [***quality manager***](#Ref_16) to confirm (by issue of a report at each progress/[***update meeting***](#Project_Meeting_Action_Tracker_2)) that all aspects of the design and construction are being coordinated. | 1.5 | | |
| 16 | [***The Project Lead***](#Ref_12) to carry out benchmark [***quality compliance reviews***](#Project_Quality_Compliance_Review) during the design and construction stages, to review the contractor’s actual performance against the quality management plan – the outcome to be reported periodically to the Project Board. | 1.5 | | |
| 17 | [***The Project Lead***](#Project_Prestart_Meeting_Agenda_3) to ensure that a protocol is formally established between the Board and the contractor to [***record***](#Project_Meeting_Action_Tracker_3) the extent of communication permitted between the Board’s project team and any designers engaged directly by the contractor. | 3.1 | | |
| 18 | [***The Project Lead***](#Project_Prestart_Meeting_Agenda_3) to ensure that the communication protocol also covers a requirement for all meetings to be [***recorded***](#Project_Meeting_Action_Tracker_3), and that the contractor will only act on instructions formally issued by letter/agreed actions recorded at meetings | 3.1 | | |
| 19 | In terms of drafting invitations to tender, the Project Lead to include a requirement for contractors to confirm:   * The full scope of the design team’s services, including details of the [***amount of hours included***](#Key_Personnel_Allowance) for each respective member of the design team during design and during construction * The elements that are proposed to be contractor designed versus elements designed by the design team members * That the design team will attend all technical/design meetings with the Board. * That each design team member will (by issue of a report at each construction progress/update meeting) validate that they have visited the site and are satisfied that what the contractor has installed meets their design intent/design drawings | 3.2 | | |
| 20 | The Project Lead to make it explicitly clear in future tenders, that they (contractors/advisors) will be mandated to use the Board’s [***host document management system***](#BIM_Wording): and that purchase of licenses for contractor’s use should be identified as part of their preliminaries project cost. | 4.1 | | |
| 21 | [***The Project Lead***](#Ref_12) to ensure that the Board’s construction requirements includes a requirement for contractors to provide accurate construction and operational documentation. We suggest this requirement includes as a minimum;  • A clause to mandate the contractor to record and advise the Board of all [***subsequent changes***](#Project_Meeting_Action_Tracker) to construction drawings  • Specify [***performance methodologies***](#Project_Prestart_Meeting_Agenda) to measure the quality of the final “as-built” drawings  • The completion criteria to include a reference that all “as-built” documentation is to be certified by the contractor, and the relevant designer/manufacturer | 4.2 | | |
| 22 | The Project Lead to report any failure by a contractor to provide “[***as fitted drawings***](#Ref_22)” in compliance with the above requirements to the administering Framework body i.e. HFS / NHS SCOTLAND ASSURE & SFT and to the NoSF&CPG | 4.2 | | |
| 42 | [***The accountable Project Board***](#Ref_24) to agree the TOR, governance arrangements, programme and project aims & objectives, as promoted by the SRO. | 1.1 | | |
| 43 | [***The accountable Project Board***](#Ref_25) to confirm the SRO’s recommendation for the Project Lead. | 1.1 | | |
| 46 | [***The Senior Responsible Officer***](#Ref_29) to prepare Terms of Reference (ToR), confirm the governance arrangements and the constituent members of the Project Board, giving due consideration to the value, complexity, and matters relevant to the projects objectives. | 1.1 | | |
| **TABLE 2 - Recommendations to be taken forward by individual Boards/at singular project level that are impacted by a dependency before the recommendation can be enacted?** | | | **Cole**  **ref** |
| 1 | The Project Lead to undertake a risk based required [***project resource assessment***](#Resource_Requirements) to ensure the project is sufficiently resourced (be that by means of internal or external resource) during all stages of the project; confirm outcome to the Project Board. | | 1.1 |
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| 2 | The Project Lead to include within the business case a requisite allowance for all [***resource requirements***](#Resource_Requirements) identified in the required [***project resource assessment.***](#Skills_and_Competency) | | 1.1 |
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| 3 | The Project Lead to assess the capacity and competence of the project team, relative to the required roles at all stages of the project; the assessment being made by reference to the required [***project resource assessment***](#Resource_Requirements) & [***the competency matrix***](#Skills_and_Competency). The assessment must be confirmed by the Project Board. | | 1.1 |
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| 5 | [***The Project Lead***](#Ref_12) to commission an independent diligence review of the Board’s briefing documents, termed the “document review”, and confirm the outcome to the Project Board. The document review should validate:  • Conformity with the most up-to-date guidance and regulations  • The expected quality of design & construction requirements  • Completion criteria requirements have been sufficiently specified to provide a benchmark of performance acceptability  • A risk based assessment of acceptable of derogations  • Read across constancy between all documents | | 1.2 |
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| 6 | The Project Lead to lead a peer review workshop of the contractors [***design proposals***](#Ref_19), termed the “[***design review***](#Project_Quality_Management_Agenda)”. The workshop should include a wide representation of technical and health infection expertise, and representation from another Health Board/HFS / NHS SCOTLAND ASSURE to reinforce [***governance***](#Project_Meeting_Action_Tracker_4). | | 1.2 |
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| 13 | [***The Project Lead***](#Ref_15) to review the contractor’s [***quality management plan***](#Ref_17) to ensure that it addresses the quality objectives outlined in the NoSF&PG developed performance methodology – a contractor should not be appointed without validation that the quality plan meets the performance methodology, and the outcome of the validation should be confirmed to the Project Board. | | 1.5 |
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| 23 | [***The Project Lead***](#Ref_12) to ensure, as part of the Board’s document review (refer to 1.2), that the specification provides specific requirement to communicate design intent for all design disciplines. | | 4.5 |
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| 24 | The Project Lead to ensure, as part of the design review (refer to 1.2), that the [***contractor has evidenced their design intent***](#Ref_12), behind all key elements of design has been communicated. | | 4.5 |
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| 44 | [***The accountable Project Board***](#Ref_26) to approve the Project Lead’s required project resource assessment - a project that can’t meet any aspect of the minimum baseline assessment should not proceed without mitigations in place. | | 1.1 |
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| 45 | [***The accountable Project Board***](#Ref_27) to sign off its acceptance of the contractor’s design proposals, subject to agreed schedule of outstanding/incomplete design development that has no material bearing on the approval, to allow the project to proceed to business case. A design that is not signed off by the Project Board should not proceed to final business case. | | 1.2 |
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| 47 | [***The Senior Responsible Officer***](#Ref_28) to assess the capacity and competence of the Project Lead, to carry out the role relative to all stages of the project; the assessment should be made by reference to experience, and the [***competency matrix***](#Skills_and_Competency). | | 1.1 |
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| TABLE 3 - Recommendations to be taken forward by the NoSF&CPG that are not impacted by any dependency | | Cole  ref |
| 25 | The NoSF&CPG to develop a [***competency matrix***](#Skills_and_Competency) detailing the training/accreditation/qualifications/experience required to carry out [***key project***](#Ref_28) roles, such as:  • Project Director  • Project Manager  • Service Planning Lead  • M&E Technical Supervisor  • Building fabric Technical Supervisor  • M&E Clerk of Works  • Building fabric Clerk of Works  • Health infection lead  • Commissioning lead  • Clinical lead  In the first instance consideration should be given to the education pathways for Capital Planning, Property Services and Asset Management disciplines that has recently been developed through Health Facilities Scotland (HFS / NHS SCOTLAND ASSURE) – for more information refer to link  http://ef.nes.digital/property-services-and-asset-management.html  Competency matrix and Resourcing matrix has initially be developed for project level. This should be reviewed and updated within the context of a regional approach. | 1.1 |
|
| 26 | The NoSF&CPG to develop a regional [***project resources matrix***](#Resource_Requirements_1) and agree opportunities to share suitably experienced professional and technical staff to support projects (in the region). Consideration should be given to the [***key project development stages***](#Ref_26) of:  • Inception/briefing documents  • Design development and review designs  • Construction and quality compliance  • Soft landings/commissioning  Competency matrix and Resourcing matrix has initially be developed for project level. This should be reviewed and updated within the context of a regional approach. | 1.1 |
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| 28 | The NoSF&CPG to request the respective HFS / NHS SCOTLAND ASSURE & SFT confirm what diligence they have carried out on the likelihood or implications of non-compliance the standard contact terms and conditions contained within their frameworks.  NHSScotland Frameworks Scotland 3 includes contract compliance requirements which are sanctionable under the KPI’s. | 1.2 |
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| 29 | If HFS / NHS SCOTLAND ASSURE/SFT are unable to provide satisfactory evidence of undertaking diligence in respect of the risks of non-compliance of (their) standard contract terms, then NoSF&CPG should take an informed risk based approach, for example by considering if KSR’s provide sufficient provisions for checking compliance of the delivered product, and hence determine the risk is low.  NHSScotland Frameworks Scotland 3 includes contract compliance requirements which are sanctionable under the KPI’s. | 1.2 |
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| 31 | The NoSF&CPG to develop a regional performance methodology for standardising and establishing clear quality objectives in both design and construction phases – this methodology should be clearly set out in briefing documents | 1.5 |
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| 33 | The NoSF&CPG to make formal contact with HFS / NHS SCOTLAND ASSURE & SFT to inquire as to how they (HFS / NHS SCOTLAND ASSURE &SFT) intend to incorporate more direct communication into their existing procurements.  Further information required around specific aspects of communication requirements. | 3.1 |
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| 34 | The NoSF&CPG to make formal contact with HFS / NHS SCOTLAND ASSURE & SFT to inquire how they (HFS / NHS SCOTLAND ASSURE & SFT) intend to incorporate a mandatory provision built into their contracts to ensure that any professional design team member who has made the contractor aware of issues that could impact on the subsequent safety of the building or functionality of the building, and that contractor has failed to take the appropriate action (as advised by the team member), can inform the Board of the advice provided to the contractor.  NHSScotland Frameworks Scotland 3 now includes provisions for direct engagement and report from the design team to the NHSScotland Board on a monthly basis. This also includes site inspection and reports. | 3.3 |
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| 39 | The NoSF&CPG to ensure that key issues relating to defective design or construction affecting proposed or existing buildings, that have been captured as part of localised lessons learned processes are reported to (with appropriate confidentiality safeguards) an appropriate national level, such as the RSF group. | 8.1 |
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| 40 | The NoSF&CPG to arrange an inaugural north region workshop and invite key staff (who have recently been involved in projects/investigations and the like) to share their experiences/lessons learned. The workshop should also include representation from HFS / NHS SCOTLAND ASSURE (those principally in architectural & engineering roles) to ensure any relevant information is formally documented and shared nationally. | 10 |
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| 41 | On becoming aware of a reported building failure, the NoSF&CPG to ensure that all north Boards are taking a consistent, proportionate and risk based approach to review the appropriate parts of their estate. In particular, this should extend to the NoSF&CPG collating responses to Scottish Government, HFS / NHS SCOTLAND ASSURE etc. on behalf of north region Boards | 10 |
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| **TABLE 4 - Recommendations to be taken forward by the NoSF&CPG that are impacted by a dependency** before **the recommendation can be enacted?** | | **Cole**  **ref** |
| 27 | The NoSF&CPG to identify region wide training and/or seconded [***development opportunities***](#Ref_28) to assist in-house staff in developing towards the minimum competencies identified in the [***competency matrix***](#Skills_and_Competency) (recommendation 25) | 1.1 |
|
| 30 | The NoSF&CPG to develop a mandatory design review checklist – the checklist must be signed off by each of the key department/specialist leads who have contributed towards the Board’s [***design review***](#Ref_19), so that the Project Board is further assured on the level and coverage of scrutiny/diligence that has been applied by the Board at this crucial stage. | 1.2 |
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| 32 | The NoSF&CPG to develop a regional template scope of service for the appointment of an independent reviewer, through the HFS / NHS SCOTLAND ASSURE Framework which specifically considers a standard approach for the following:  • The reporting lines (appreciating there is no contractual role for an independent reviewer in current procurements)  • The amount of inspections to be carried out  • Option for a Board to use their own COW’s, for instance the consultant specifically validating compliance with specification, and the COW reporting on build quality.  • The process for attending tests, reviewing and/or signing off test certificates, completion criteria and the like  • Provision for an enhanced review of known high risk/specialist installations such as water, ventilation, fire compartment  • The level of Professional Indemnity (PI) insurance required  • Option to include a collateral warranty to ensure a greater level of coverage in respect of latent claims | 2.1 |
|
| 35 | ~~The NoSF&CPG to ensure that all North Boards are linked into HFS / NHS SCOTLAND ASSURE’s national initiative to procure a Common Data Environment solution for use in relation to all major construction projects being developed across NHS Scotland.~~  Complete | 4.1 |
| 36 | ~~If HFS / NHS SCOTLAND ASSURE do not procure a common data system, then the NoSF&CPG to investigate options around North Boards procuring common (the same supplier) electronic document management/project repository systems~~  Complete | 4.1 |
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| 37 | The NoSF&CPG to identify opportunities to share document management resources, for instance by identifying a lead for the whole of the region to develop standard filing protocols. | 4.1 |
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| 38 | The NoSF&CPG to discuss options with HFS / NHS SCOTLAND ASSURE/SFT to temporarily suspended contractors from tender invitations, as a result of failing to comply with providing “as fitted drawings”, until such time as they rectify the default.  NHSScotland Frameworks Scotland 3 now includes provision to sanction PSCPs resulting in the suspension from next mini-competition call off due to poor performance via KPI’s | 4.2 |
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**Appendix 1 – Project Lead Project Quality Checklist**

**Project Lead – Project Quality Checklist**

The following checklist should be utilised by the designated responsible person / project lead to ensure suitable Quality Management arrangements have been considered and implemented for the project. The checklist should be used to for record keeping and demonstrating that the recommended actions have been considered and fulfilled. Where the designated action is unable to be implemented, the responsible person must ensure appropriate mitigation measures are introduced.

*Notes:*

*Pro-forma templates have been embedded within the checklist for use where required.*

*Project Stages are based upon the SCIM Business Stages.*

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| **Ref No.** | **Responsible Person** | **Project Stage** | **Action** | **Guidance Notes** | **Response Ref No.** | **Cole Ref.** | **RAG Status** |
| **1** | Project Lead | Initial Agreement | Complete project resource assessment ensuring suitable allowance for all project resource requirements identified. | * The project resource assessment costs should be included within the business case for initial project costs. * Project Lead should utilise the capability vs capacity matrix to determine the project requirements and expected resourcing levels. * On completion of the assessment, this must be confirmed to the Project Board. * Project resource assessment should be included within the business case submission. * Refer to Resource Requirements Template | 1, 2, 26 | 1.1 |  |
| **2** | Project Lead | Initial Agreement | Complete Skills and Competency matrix for the project team. | * Project Lead should utilise the competency matrix to determine and assess the key skills, qualifications and requirements to fulfil the project team roles. * On completion of the assessment, this must be confirmed to the Project Board. * Refer to Skills and Competency Template * Refer to NHSScotland Education Pathways for Capital Planning, Property Services and Asset Management ([CAPITAL PLANNING (scot.nhs.uk)](https://estatesandfacilitiespathways.nes.scot.nhs.uk/capital-planning.html)) | 1, 2, 3, 25, 27 | 1.1 |  |
| **3** | Project Lead | Tender | Review CV’s of external consultants and confirm outcome to the Project Board. | * Review external consultants for their suitability based on experience relevant to the commission. * This should be completed during tender stage before appointment(s) completed. * Complete pro-forma template for each external consultant. * Refer to External Consultants Key Personnel and CV’s Template | 4 | 1.1 |  |
| **4** | Project Lead | Tender | Invitation to Tender Contractor requirements. | * With the tendering documents and requirements for the appointing the Contract, the following should be included:  1. The full scope of the design team’s services, including details of the amount of hours included for each respective member of the design team during design and construction. 2. The elements that are proposed to be Contractor designed versus elements designed by the design team. 3. Stated requirements for the Board’s engagement with the design team and confirmation statement from the Contractor this will be achieved on the project. 4. Design team attendance requirement at technical / design meetings and confirmation statement from the Contractor this will be achieved on the project. 5. Requirement for the design team to issue by way of report at each construction progress / update meting validation that they have visited the site and are satisfied that what the Contractor has installed meets their design intent / design drawings / specification. 6. Requirement for the design team to produce a final written statement that the final build meets the original design intent.  * Refer to Key Personnel Project Allowance Template | 19 | 3.2 |  |
| **5** | Project Lead | Tender | Contractors / Advisors to be mandated to use the Board’s host document management system. | * Project Lead to make explicitly clear within the invitation to tender documentation that the Contractor and all advisors / consultants will be mandated to use the Board’s host document management system. * The system should be stated within the documentation and any specific requirements they should be made aware of including compliance with data transfer etc. * The purchase of licenses for the Contractor’s use should be identified as part of their preliminaries project costs where required. * Refer to Standard BIM Wording Requirements Template | 20 | 4.1 |  |
| **6** | Project Lead | Tender / Pre-Construction | Ensure the Board’s construction requirements are mandated within the contract scope / works information. | * The Board’s construction requirements should be added as an agenda item within the ***quality management meeting agenda***. Upon agreement this should be inserted within the construct scope / works information. * Ensure the following items are included within the contract as construction requirements:  1. Requirement for Contractor to provide accurate construction and operation documentation. 2. A clause to mandate the Contractor to record and advise the Board of all subsequent changes to construction drawings. 3. Specify performance methodologies to measure the quality of the final ‘as-built’ drawings. 4. The completion criteria to include a reference that all ‘as-built’ documentation is to be certified by the Contractor and the relevant designer / manufacturer.  * Refer to Project Meeting Action Tracker Template and Project Prestart Meeting Agenda Template | 21 | 4.2 |  |
| **7** | Project Lead | Tender / Pre-Construction | Ensure contractual mechanism for project Clerk of Works to access site for inspections. | * Ensure that both internal and external appointed Supervisors and Clerk of Works have unfettered access to visit and inspection the site throughout the project. * Ensure that the individual(s) who are carrying out this role have the same contractual access as per the named duty holders within the contract. * Ensure that site access arrangements for the construction stage are agreed from the project outset at the ***pre-start meeting***. This should include agreeing access requirements and reporting procedures and processes to be undertaken. * Ensure that the access requirements are agreed and stipulated within the contract scope / works information document. * Refer to Project Meeting Action Tracker Template and Project Prestart Meeting Agenda Template * Refer to Supervisor Site Observation and Inspection Report Template | 9, 11 | 1.2  1.4 |  |
| **8** | Project Lead | Tender / Pre-Construction | Procure Client hosted photo record portal i.e. multivista, BIM360 or similar. | * A suitable system should be identified from the project outset. * The system should have the capabilities to compliment the work of the Technical Supervisor / Clerk of Works for recording historical as-built progress. * The outcome of the tender process and the chosen system should be communicated to the Project Board, with all associated costs included within the business case project cost estimates. | 12 | 1.4 |  |
| **9** | Project Lead | Tender / Pre-Construction | Ensure the Contractor identifies a dedicated project Quality Manager. | * The Contractor should provide evidence that the possess the necessary capacity and capability, with clear responsibility for co-ordinating all aspects of design and construction. This person should have no other role involvement on the project.   Where applicable named person should be provided a tender stage. However, as a minimum this person should be named at identified at the project ***pre-start meeting***.   * Refer to Project Meeting Action Tracker Template and Project Prestart Meeting Agenda Template | 14, 15 | 1.5 |  |
| **10** | Project Lead | Tender / Pre-Construction | Introduce and manage a project communication protocol between Board and design team | * A communication protocol should be formally established for the project from the project outset between the Client and the Contractor to record the extent if communication permitted between the Board’s project team and any designers and supply chain members directly engaged by the Contractor. * Depending on the procurement rout, the Board should stipulate the levels of engagement with the contractor’s design team that will be expected for the project. * A statement of intention should be agreed from the outset at the project ***pre-start meeting***, stipulating access to the design team by the Board’s project team and how they can communicate directly with them. * Refer to Project Meeting Action Tracker Template and Project Prestart Meeting Agenda Template | 17, 18 | 3.1 |  |
| **11** | Project Lead | Tender / Pre-Construction | Introduce and manage the overall general project communication protocol | * This should cover the requirement for all meetings to be recorded and the Contractor will only act on instructions formally issued by letter / agreed actions recorded at meetings. * Communication arrangements should be discussed and agreed at the project ***pre-start meeting***. * Project Lead to ensure evidence is recorded of all key decisions made on the project are recorded in writing. * Refer to Project Meeting Action Tracker Template and Project Prestart Meeting Agenda Template | 17, 18 | 3.1 |  |
| **12** | Project Lead | All Stages | Commission independent diligence review of the Board’s briefing documents, termed the ‘Document Review’. | * The Document Review, should fulfil the following requirements:  1. Conformity with the most up-to-date guidance and regulations. 2. The expected quality of design and construction requirements. 3. Completion criteria requirements have been sufficiently specified to provide a benchmark of performance acceptability. 4. A risk based assessment of acceptance of derogations. 5. Read across constancy between all documents. 6. The specification provides specific requirement to communicate design intent for all design disciplines. 7. The Contractor has evidenced their design intent behind all key elements of their design has been communicated.  * The outcome of the review should be confirmed to the Project Board. * The Document Review will be separate and independent from the NHS Scotland Assure project review requirements. | 5, 16, 21, 23, 24 | 1.2  1.5  4.2  4.5 |  |
| **13** | Project Lead | All Stages | Undertake the NHS Scotland Assure project design reviews. | * The design reviews should be undertaken in accordance with the NHS Scotland Assure Key Stage Assurance Reviews (KSAR) Workbook requirements and the NHS Scotland construction procurement journey and assurance process.. * This should be added as a standing agenda item within the project ***quality management meeting agenda.*** * Stipulate within the tender documentation the requirement for the Contractor to participate in these review where required. * Stipulate with the tender documentation the requirement for the Contractor to include within their programme project milestones for project design reviews. * Prior to requesting the NHS Scotland Assure project design review, the project should review the KSAR workbook for the appropriate project stage prior to the full review (<https://www.nss.nhs.scot/nhs-scotland-assure/assurance/key-stage-assurance-reviews-ksar/>). * Refer to Project Quality Management Meeting Agenda Template and Project Meeting Action Tracker Template | 6 | 1.2 |  |
| **14** | Project Lead | All Stages | Undertake risk based project resource assessment. | * Project risks assessment should be undertaken to ensure the project is sufficiently resourced, this includes both internal and external resources. * This should be an ongoing process which is carried out at all stages of the project. * Confirm the outcome to the Project Board. * Refer to Resource Requirements Template | 26 | 1.1 |  |
| **15** | Project Lead | All Stages | Brief members of the project team who have a direct interface with Contractors and Designers of their responsibilities and limitations on Design reviews. | * Brief all team members that have direct interface with the Contractor and the Design Team to ensure they understand the limitations and responsibilities they have with checking and reviewing design information. * This includes how all decisions made can impact on the design outputs and any associated unintended implications as a result of the CDM Regulations. * This responsibility should also be extended to all consultants appointed by the Board. | 6, 10 | 1.2  1.3 |  |
| **16** | Project Lead | All Stages | Ensure there is a process introduced for the named Quality Manager to confirm all aspects of the design and construction are being co-ordinated. | * Confirmation of all aspects of the design and construction are being co-ordinated should be way of a report issued by the Quality Manager at each progress / update meeting. * Project Lead to introduce a ***project quality management meeting*** into the project meetings structure. This should be held as a minimum on a monthly basis. * Refer to Project Quality Management Meeting Agenda Template and Project Meeting Action Tracker Template | 14, 15 | 1.5 |  |
| **17** | Project Lead | All Stages | Review Contractor’s Quality Management Plan. | * Review the Contractor’s Quality Management plan to ensure it addresses the quality objectives outlined in the NoSF&PG developed performance methodology. * Contractor should not be appointed without validation that the quality plan meets the performance methodology and the outcome of the validation should be confirmed to the Project Board. * The Quality management plan should be submitted by the Contractor at Tender stage, a QMP example can be accepted as part of the tender submission before a project specific plan is developed. | 13 | 1.5 |  |
| **18** | Project Lead | All Stages | Benchmark quality compliance reviews. | * The quality compliance reviews should be carried out during the design and construction stages. This should review the Contractor’s actual performance against the quality management plan. * The outcome of the reviews should be reported to the Project Board, identifying concerns and proposed mitigation measures where required. * Refer to Project Quality Compliance Review Template | 16 | 1.5 |  |
| **19** | Project Lead | Tender / Stage 2 (OBC) / Stage 3 (FBC) | Undertake Design Review workshop of the Contractors design proposals. | * Project Lead to lead a peer review Design Review workshop with the Contractor of their design proposals. The workshop should include a wide representation of technical and health infection expertise. This should also include representation from another health board / HFS / NHS SCOTLAND ASSURE to reinforce governance. * Design review should be added to the ***project quality management meeting agenda***. * Ensure inclusion within the Tender documentation requirement for the Contractor to make allowance within their project costs and programme milestones for design reviews to be held throughout the project design stages. * The Design review requirements should be undertaken over and above any NHS Scotland Assure design reviews. * Refer to Project Quality Management Meeting Agenda Template and Project Meeting Action Tracker Template | 6, 7, 30 | 1.2 |  |
| **20** | Project Lead | End of Stage 3 / FBC | Formal assurance from the Contractor regarding compliant Design | * Prior to approval and sign-off by the Project Board, the Contractor must provide formal assurance that the design complies with the Board’s specified requirements, subject to any agreed derogations by the Board. * This formal assurance must be reported to the Project Board prior to the Design presentation. * Refer to item 21 of this checklist. | 8 |  |  |
| **21** | Project Lead | End of Stage 3 - FBC | On receipt of final design proposal, arrange a formal presentation of the design to the Project Board. | * The presentation by the Contractor and Project Team should provide the Project Board with a final opportunity to confirm any required changes. * Presentation structure and approach should be added to the project Design Team meeting agenda. Requirements should be captured and taken account from the project outset. * Presentation Guidance: follow the standard business case stages, provide an overview of the design intent and how it’s been achieved and linked back to the schedule of accommodation, should convey the intent of the design specification and technical matters, agreed derogations and where alternative means can bring enhanced performance outputs and compliance with SHTM’s/HTM’s etc. * Refer to Project Board Design Compliance Sign-Off Template | 7, 8 | 1.2 |  |
| **22** | Project Lead | Pre-Construction / Construction | Report any failure by the Contractor to provide ‘as fitted drawings’ in compliance with the above requirements. | * Report any failings to the administering framework and also NoSF&CPG. * Include a contractual requirement within the contract scope / works information to remove any ambiguity as to the level of detail / format. * Add this requirement to the ***quality management meeting project agenda***. * Refer to Project Quality Management Meeting Agenda Template and Project Meeting Action Tracker Template | 22 | 4.2 |  |
| **23** | Project Lead | Stage 4 - Construction | Construction Monitoring – co-ordinate the Board’s Technical resources to ensure regular physical site inspections are taking place. | * These inspections cover both in-house and external appointed advisors. * The Project Board should be provided with a summary report of the following confirmations on a monthly basis:  1. Any changes / variations; 2. Assessment of the build quality; 3. Sample of photographic records taken in the preceding period; 4. Assessment of conformity with the Boards completion criteria requirements;  * A final report should be issued to the Project Board prior to completion. * Refer to Supervisor Site Observation and Inspection Report Template | 9 | 1.2 |  |
|  | | | | | | | |
| **24** | Project Board | Initial Agreement | Project Board to agree the Terms of Reference, Governance arrangements, programme and project aims and objectives. | * The documentation should be as promoted by the SRO. * All documentation should be in place and signed off before commencing project appointments. * Refer to Project Board Terms of Reference Template, Stakeholder Engagement Plan Template and Project Board Action Tracker Template | 42 | 1.1 |  |
| **25** | Project Board | Initial Agreement | Confirm the SRO’s recommendation for the role of Project Lead. | * Project Board should confirm in writing the SRO’s recommendation for Project Lead. | 43 | 1.1 |  |
| **26** | Project Board | All Stages | Approval of the Project Leads project resource assessment. | * A project that cannot meet any aspect of the minimum baseline assessment should not proceed without mitigations in place. * Project Lead to submit assessment to the Project Board for review and approval. * Refer to items 1 and 2 of this checklist. | 26, 44 | 1.1 |  |
| **27** | Project Board | End of Stage 3 / FBC | Project Board to sign off its acceptance of the Contractor’s design proposals. | * Acceptance should be subject to the agreed schedule of outstanding / incomplete design development that has no material bearing on the approval to allow the project to proceed to business case. * A design that is not signed off by the Project Board should not proceed to final business case. * Refer to item 12 and 21 of this checklist. * Refer to Project Board Design Compliance Sign-Off Template | 45 | 1.2 |  |
|  | | | | | | | |
| **28** | Senior Responsible Officer (SOR) | All Stages | SOR to assess the capacity and competency of the Project Lead. | * SOR to carry out capacity and competence assessment of the Project Lead to carry out the role relative to all stages of the project. * Assessment should be made in reference to experience and the competency matrix. * SOR should sign-off the Project Lead appointment if they are satisfied they poses the necessary skills , capability and capacity for the role, if not then appropriate mitigation measures should be introduced. * Refer to **item 2** of this checklist. | 25, 27, 47 | 1.1 |  |
| **29** | Senior Responsible Officer (SOR) | Initial Agreement | Prepare Terms of Reference document | * The documentation should be prepared and promoted by the SRO. * Confirm the governance arrangements and the constituent members of the Project Board, giving due consideration to the value, complexity and matters relevant to the projects objectives. * All documentation should be in place and signed off before commencing project appointments. * Refer to Project Board Terms of Reference Template, Stakeholder Engagement Plan Template and Project Board Action Tracker Template | 46 | 1.1 |  |