



Department of Education Capital Works Programme

Governance Framework for School Construction Projects

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1 Introduction

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

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

- Clear leadership and commitment from the Department's Investment Decision Maker who is responsible for ensuring the overall success of the Department's Capital Programmes.
- Good communication between all project team members and a clear communication plan.
- Roles and responsibilities clearly understood by everyone involved in the project with each team member taking accountability for their role in the success of the project.
- Planning and Design that delivers on the Department's brief as defined in the project Schedule of Accommodation and to the specification as detailed in the Department's Building Handbooks.
- Department Handbooks can be accessed via the following link: <https://www.education-ni.gov.uk/building-handbook>
- Adherence to the RIBA Plan of Work Stages and compliance with Education Advisory Branch Stage Reporting requirements.
- Engagement of all key stakeholders throughout the project lifecycle to include but not restricted to EA School Meals Service, EA School Cleaning Service, EA Maintenance Service and the Quality Safety Health and Environment (QSHE) Team.
- Compliance with Procurement and Contract Strategies which align with best practice Value for Money (VFM) solutions in line with NI Public Procurement Policy.
- Compliance with all Statutory Regulations and Legislation.
- Compliance with appropriate financial control systems, for example Managing Public Money https://assets.publishing.service.gov.uk/government/uploads/system/uploads/attachment_data/file/1174979/Managing_Public_Money_-_May_2023_.pdf
- Risk and Value Management that involves the entire project team and is actively managed throughout the project delivery programme.
- Commitment towards continuous improvement throughout the delivery programme.
- Commitment towards best practice on social economic and environmental objectives.

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

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

- **Governance Framework (this document)** – First reference point for the set-up of the Project governance arrangements. This document sets out the governance steps which should be followed for a project, immediately following the announcement of the school under one of the Department's major capital funding streams.
- **Project Initiation Document (PID)** – Sets out the background, scope and management structure for a project as well as setting out the aims, outputs, activities and resources necessary for its successful delivery. The PID is prepared by the Integrated Consultant Team (ICT) and approved by the Department, in line with the Business Case and should act as a base document, against which the project can be effectively managed.
- **Project Execution Plan (PEP)** – This is a guide to assist the project team members in the performance of their duties and their interaction with other team members. The document is prepared by the ICT and owned by the Project Sponsor (PS) and its key objectives are to achieve the Department's requirements in terms of time, cost and quality via:
 - Guiding the Project Team members in the performance of their duties.
 - Monitoring and controlling project programme and delivery.
 - Maintaining an adequate and timely flow of critical information.
- **Handbook Assurance Document for ICT Submissions** – This sets out the requirements for Stage Submissions at specified DE Review Points.

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

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

2 Project Inception & Delivery Process

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

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

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

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

See Annex C for further information.

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

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

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

3 Key Roles and Responsibilities

3.1 Overview

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

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

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

It is recognised that if a project is to be successful the individuals appointed to lead the project in the role of Senior Responsible Owner, Investment Decision Maker Representative, Project Sponsor, School Designated Lead and Client Advisor/Project

Manager need to have the right skills and capabilities and the time to devote to the project. In particular, the ICT needs to be managed to ensure that the project is delivered on time, on budget and delivers the objectives as identified in the project Business Case.

3.2 Capital Programme Investment Decision Maker (IDM)

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

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

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

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

3.3 Programme and Portfolio Manager

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

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

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

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

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

The EA Head of Major Capital Delivery Service will:

- Provide a written report to the Programme and Portfolio Manager to include project dashboards regarding all projects on a weekly basis.
- Sign off on the EA financial returns submitted to the Department on a monthly basis for controlled projects.
- Manage the allocation of Senior Responsible Owner and Project Sponsor roles for major capital projects.
- Ensure Quality Assurance across all projects, including the implementation of Gateway Review/Internal Peer Review (IPR) processes and provide the Department with quarterly updates.

The Head of MCDS will also liaise with other Departments within the EA to provide best practice advice and recommendations for change to the Building Handbooks as necessary.

They will also oversee the completion of Post Project Evaluations and periodically provide a Lessons Learned Report to the Programme and Portfolio Manager.

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

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

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

Specific Responsibilities of the Programme and Portfolio Manager

- Ensure that projects are subject to review at appropriate stages within the delivery life cycle in line with Gateway Review principles - Risk Potential Assessments are to be completed by the Project Sponsor.
- Ensure that projects meet the Department's Business Plan objectives.
- Meet monthly with Department of Finance representatives to discuss capital budget and matters arising.
- Liaise with other Government Departments and local Government including Councils, Planning Authorities and Statutory Consultees.
- Liaise with Managing Authorities and Governing Bodies regarding the Department's Capital Programmes, as necessary.
- Broker relationships with stakeholders to the Department's Capital Programmes.
- Meet fortnightly with the EA Head of Major Capital Delivery Team and Head of the Major Capital Implementation Team.
- Meet monthly with CCMS to review project progress.

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

- Meet fortnightly with EAB and EAU Representatives for Capital Progress Reviews.
- Meet quarterly with Land and Property Service.

3.4 Senior Responsible Owner

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

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

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

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

Specific responsibilities of the SRO

The SRO is responsible for:

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

Monitoring and control of progress

The SRO must:

- Monitor and control the progress of the project.

- Deal with issues as they arise requiring the SRO's advice, decision-making and communication with senior stakeholders. Chair the Project Board, this duty may be delegated to the Project Sponsor.

Formal programme or project closure

At the closure of the project the SRO must:

- Formally close the project, ensuring that lessons learned are documented as part of the post project evaluation report
- Formally sign off that the project aims and objectives have been met and that lessons learned are documented and disseminated.
- Plan the Post Project Evaluation, including assessment of the benefits realisation process.

Skills and attributes of the SRO The

SRO should be able to:

- Have sufficient experience and training to carry out SRO responsibilities.
- Provide advice and guidance to the PS and IDM Rep as necessary.
- Resolve issues with members of the team and other stakeholders that cannot be resolved by the project IDM Rep or Project Sponsor.
- Take responsibility - including putting things right when they go wrong.
- Have a good understanding of the business issues associated with projects.
- Be aware of the broader perspective and how it affects projects.
- Acknowledge their own skill/knowledge gaps and structure the project board and project management team accordingly.
- Give the time required to perform the role effectively.
- Negotiate well and influence people.

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

3.5 Investment Decision Maker Representative (IDM Rep)

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

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

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

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

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

Specific Responsibilities of the IDM Representative

Stage 1 – Technical Feasibility Report and Business Case Preparation Stage

- Prepare Project Brief (Issue of Ministerial Announcement, secure Schedule of Accommodation)
- Attend Steering Group meetings monthly and assist with the development of the Business Case.
- Ensuring that all options for meeting the business needs have been evaluated, together with the risks and the consequences of their occurrence associated with each option.
- Ensuring that a viable and affordable Business Case exists for the project and ensure that it remains valid throughout the project.

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

- Own the project brief and ensure it remains within the scope of the Business Case.
- Ensuring that named individuals have been appointed into project roles.
- Ensuring an appropriate management structure (lines of accountability and delegated authority) is in place.
- Ensuring an appropriate communication plan is in place to inform stakeholders.
- Ensuring that the business need and expected benefits have been established with stakeholders.
- Identifying the risks clearly, together with their potential impact on the project in terms of quality, cost and time.
- Monitor progress of the project against the programme.
- Submit any essential changes to the scope of the project to the Programme and Portfolio Manager for approval, ensuring that any impact on quality, cost or time is assessed and reported on.
- Continually monitoring the estimated project costs against Business Case approval. Notifying EAU, DE Finance and DoF immediately if circumstances arise which would constitute a risk to breaching Business Case approval conditions.

- Regularly reviewing the project, to identify at an early stage any emerging issues on which investment decisions may be required.
- Reviewing progress reports and programme progression.
- Review monthly cost profiles as submitted by ICTs and the EA and provide a challenge role as necessary.
- Attend quarterly Project Board meetings and attend Project Team meetings as necessary.
- Produce Stage Submissions for consideration by the Capital Programme IDM, or relevant Programme and Portfolio Manager.
- Issue Department approvals for payments.
- Lead a Post Project Evaluation

3.6 Project Sponsor (PS)

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

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

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

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

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

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

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

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

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

Specific responsibilities of the PS

- Managing the school's interests by co-ordinating the user input.
- Oversee the development of the Project Brief
- Controlling changes and ensuring that change control procedures are adhered to.
- Ensuring appropriate risk management procedures are in place.
- Managing the project budget, including the risk allowance.
- Ensuring the project is managed in accordance with the PEP.
- Establishing formal reporting arrangements on project progress.
- Providing a focal point for all school and DE contacts with the supply team.
- Providing approvals and decisions within delegated limits as necessary. Seek approvals and decisions exceeding delegated limits as necessary
- Management of the project budget and providing feedback to the IDM Rep.
- Obtaining necessary approvals and organising Gateway Reviews/Internal Peer Reviews.
- Representing DE's interests within the procurement processes for the engagement of the ICT and IST.
- Assisting in the development of procurement and contract strategies.
- Exercising the authority delegated to them by the SRO to meet the above responsibilities, provide approvals and take decisions as necessary and to manage the project budget.
- Carrying out a post project review with the integrated project team. Post occupancy information gathering and BREEAM and NZEB outcomes.
- Co-ordinate the completion of a Post Project Evaluation by an independent person.
- Secretariat to the Project Board. The Secretariat role includes:
 - Co-ordinate all meetings of the Project Board.
 - Co-ordinate the membership of and where/when appropriate chair any subcommittees thereof, ensuring that Terms of Reference for all such groups including IT, F&E, SMA and maintenance are established from the outset and that progress is regularly monitored.

- Foster good relations by creating and maintaining productive working relationships with all stakeholders.
- Arrange and chair meetings of the project team and any sub-committees thereof.
- Oversee the preparation of all agendas and minutes of all project board meetings and sub-committees.

Administer the Professional Services Contract monitoring the following ICT activities to:

- Ensure compliance with their obligations under the CDM Regulations (Health and Safety).
 - Ensure that progress is maintained against the agreed programme and is reported monthly.
 - Ensure that estimated costs are updated and reviewed monthly.
 - Ensure that design development is progressing satisfactorily and reported monthly.
 - certification of payments and NEC change control protocols.
 - Ensure that the ICT completes and submits formal Project Reports at each RIBA key stage for approval by DE.
 - Overseeing the ICT's procurement of the IST
 - Ensure that the ICT prepares Stage 1 & Stage 2 CfP information for procurement of IST.
 - Advise on the procurement and award of IST contract by the ICT.
 - Agree the technical design proposals and construction costs with IST in conjunction with the PS.
 - Ensure that the ICT administers the IST contract appropriately, including certification of payments and NEC change control.
 - Ensure that the IST final account is agreed promptly.
- Leading on change control and risk management and reporting on performance of all aspects of the project.
 - Ensuring that the RIBA Stage reports submitted by the ICT at each identified review milestone include all information required to facilitate a full technical analysis of the developing scheme and costs for approval by DE.
 - Liaising with the CPD advisors throughout each stage of the handbook compliance review of the developing scheme proposals and associated costs.
 - Liaising with the EA Procurement Team/CPD and providing independent advice to the SRO and IDM Rep on NI Public Procurement Policy, project appraisal, cost control and value for money.

3.7 Client Advisor/Project Manager (CA/PM)

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

3.8 School Designated Lead (SDL)

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

Skills and attributes of the SDL

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

Specific responsibilities of the SDL:

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

The SDL will be a member of the Project Board.

3.9 School Principal/Senior Stakeholder

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

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

arrange the agreed schedule of accommodation in a way which is optimal for the particular school site, its management approach and ethos.

The School Principal/Senior Stakeholder will be a member of the Steering Group/Project Team which meets throughout Stages 1-7

Specific responsibilities of the School Principal/Senior Stakeholder:

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

3.10 School Designated Lead Support – If required

(Sector Support – Controlled Schools Council/CCMS/InaG or CnaG/NICIE)

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

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

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

3.11 Education Advisory Branch (EAB)

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

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

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

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

EAB provides a Quality Assurance Role to the project.

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

Specific responsibilities include:

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

3.12 Economist Role and Economic Advisory Unit (EAU)

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

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

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

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

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

4 Project Governance

4.1 Governance Models

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

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

- **Scenario 1 – Controlled School – EA is the CoPE**
- **Scenario 2A – Non-Controlled School – CPD is the CoPE**
- **Scenario 2B – Non-Controlled School – EA is the CoPE**

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

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

4.2 Project Steering Group

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

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

STAGE 0 – Strategic Definition

STAGE 1 – Preparation & Brief

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

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

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

Steering Group Membership

The Steering Group membership should include the following;

- Senior Responsible Owner (SRO),
- Investment Decision Maker Representative - Lead funder (DENI) responsible for approving the project and maintaining senior management commitment to its delivery.
- Project Sponsor (PS)
- EAB Representatives
- School Designated Lead
- Senior Stakeholders – Supporting role, representing the interests of the School/Client i.e.

Senior Stakeholder - Education Authority, Development Officer – ‘Project Need’ or DE Economist

- Senior Stakeholder - Trustee
- Senior Stakeholder - School Principal

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

Steering Group - Key Responsibilities

Key responsibilities of the steering Group are as follows:

- Confirming and communicating the Project Vision; how the Project vision is to be achieved and the means of achieving it.
- Establishing good governance and providing strategic guidance for the project in its initial stages.
- Development of the Business Case.
- Development of a Project Initiation Document, in line with the Business Case.
- Engaging with the Gateway Review or IPR Process via the Completion of a ‘Risk Potential Assessment.
- Monitoring identified project related risks.
- Agreeing all major plans (in association with DENI representatives) including project related briefing information, procurement route and delivery, design development and acceptance criteria.
- Agreeing the project tolerances in respect of time, quality and cost.
- Signing off on the completion of the Business Case.
- Resolving deviations from plans or escalating as necessary.

- Communicating project related information to all key stakeholders following approval of the Business Case.
- Ensuring the required resources are available to support all strands of the client/employer and user group deliverables.
- Resolving any conflicts raised by the project steering group/users groups.
- Reviewing the quality assurance of the project.
- Completing end stage report following Business Case approval.
- Responsible for Identifying/appointing the Project Board members to take the project forward to completion, following Business case approval.

4.3 Project Board

Prior to the closure of the Project Steering group, following Business Case approval, its members will identify and appoint the Project Board members. The Project Board should be established immediately following Business Case Approval and will be responsible for progressing the project through RIBA Stages 2-7

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

The membership of the Project Board will typically include:

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

The SRO should ensure that the membership of the Board has the right mix of skills and that key stakeholders are represented. From time to time the Board may also have a requirement to call on persons with specific expertise. However, it is equally important that the total number of Board members remains manageable and should not normally exceed eight. As projects progress, it may be appropriate for board membership to change to reflect the stage reached, but there is a tendency for Board membership to grow over time and at key stages the constitution of the Board should be reviewed.

It is expected that all board members attend the Project Board meeting. Where this is not possible (e.g. through annual leave, sickness or other circumstances) an appropriate representative may be asked to attend. They should be empowered and have the autonomy to

make a positive contribution at the meeting. For approvals and decision making the SRO, IDM Rep and at least one other Board member should be in attendance.

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

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

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

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

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

Specific Responsibilities of the Project Board

The main responsibilities of the Project Board are:

- Providing advice, support and direction to the SRO, IDM Rep and PS for the duration of the project programme.
- Providing strategic guidance for the project.
- Signing off the Project Execution Plan.
- Engaging with the Gateway Review Process.
- Monitoring identified project related risks.
- Agreeing all major plans in association with DE including project related briefing information, procurement route and delivery, design development and acceptance criteria.
- Agreeing the project tolerances in association with DE in respect of time, quality and cost.
- Agreeing the detail of any separate school funded additional accommodation provisions which are not grant funded by DE – note the Derogation Paper.
- Authorising in association with DE any major deviations from the agreed / approved stage plans.
- Signing off on the completion of each stage, including deliverables.
- Following receipt of formal DE approval instruct ICT to commence subsequent stage.
- Engaging with DE to review / authorise project related Compensation Events for both ICT and IST contracts.

- Communicating project related information to all key stakeholders.
- Ensuring the required resources are available to support all strands of DE, school and user group deliverables.
- Resolving any conflicts raised by the Project Team
- Reviewing the quality assurance of the project.
- Approving the end of project report and lessons learned report.
- Authorising project closure.
- Ensuring that the post project and implementation reviews are scheduled and take place.

4.4 Project Team

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

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

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

Project Team meetings will be chaired by the Project Sponsor, the ICT PM will provide the secretariat.

The membership of the Project Team will typically include:

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

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

Typically Project Team meetings should consider the following issues:

- Development of the brief.
- Project progress.
- Design development.
- Client's requirements.
- Site information, surveys and constraints.
- Feedback from consultations.
- Reports from designers.
- Specific technical issues.
- Coordination issues.
- Reporting.
- Approvals: DE stage approvals, Planning permission, Building Regulations.
- Legal issues.

5 Gateway Review Process

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

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

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

Strategic context

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

Risk Potential Assessments (RPAs) must be completed for all programmes and projects. These should be validated by CoE or the head of the departmental programme office and should be sent to the departmental assurance co-ordinator (DAC) at least 12 weeks ahead of an expected review. The DE DAC information can be viewed at:

<https://www.financeni.gov.uk/articles/learn-about-centre-expertise-programme-and-project-management>

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

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

Assessment meeting

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

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

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

Planning meeting

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

The key outputs from the planning meeting are:

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

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

Gateway review

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

For a project, reviews take place at:

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

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

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

Delivery confidence assessment

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

- Green; successful delivery of the programme or project to time, cost and quality appears highly likely and there are no major outstanding issues that, at this stage, appear to threaten delivery significantly.
- Amber; successful delivery appears feasible but significant issues already exist requiring management attention; these appear resolvable at this stage and if addressed promptly, should not present a cost or schedule overrun.
- Red; successful delivery appears to be unachievable; there are major issues on programme or project definition, schedule, budget required, quality or benefits delivery, which at this stage do not appear to be manageable or resolvable

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

Roles and responsibilities

The main roles and responsibilities associated with gateway reviews are:

Senior responsible owner.

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

Departmental assurance co-ordinator

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

Gateway review team leader

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

Health checks

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

Low risk

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

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

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

6. Grant Recovery

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

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

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

<https://www.education-ni.gov.uk/articles/disposals-and-grant-recovery-following-closureschools>

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

Site.legal@education-ni.gov.uk

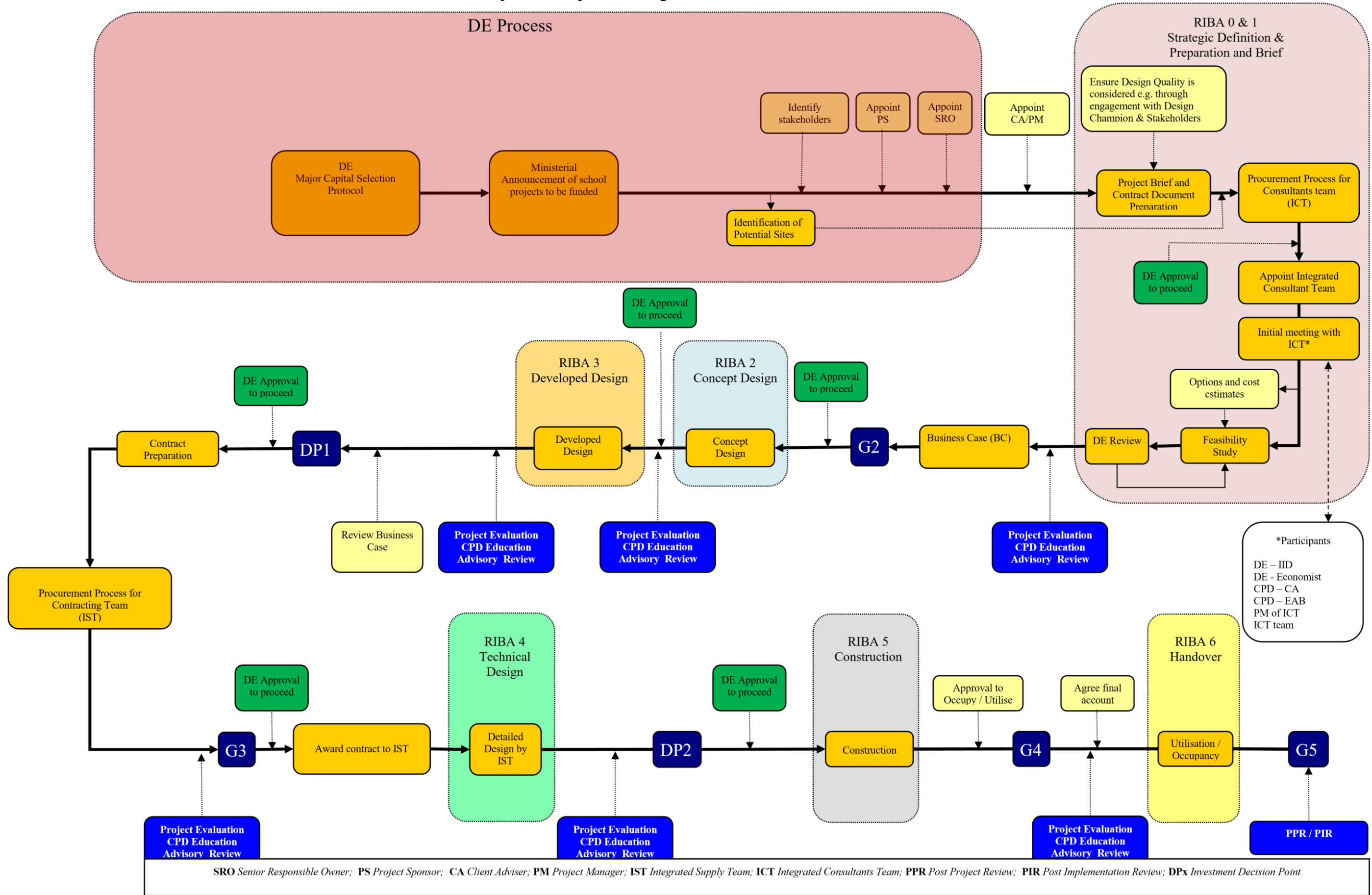
7. Post Project

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

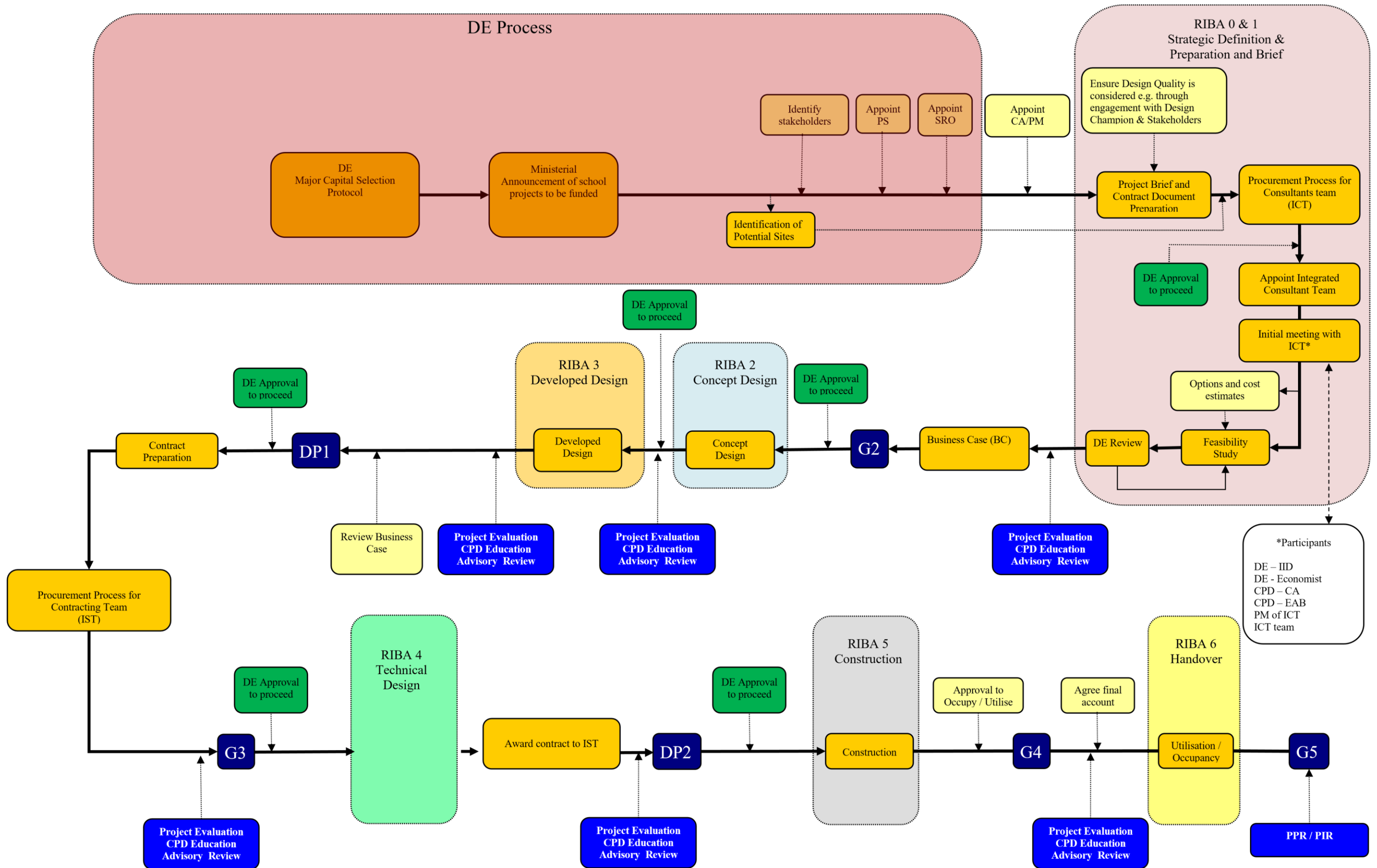
To enable meaningful data to be collected regarding the project a number of forms require completion by the school. Please ensure these are completed and returned to DE when requested as these help us assess the success of the project as well as helping the Department to review our processes, and where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

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

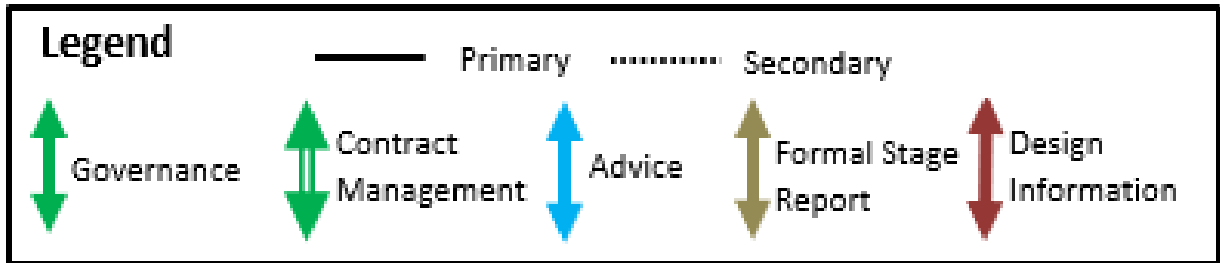
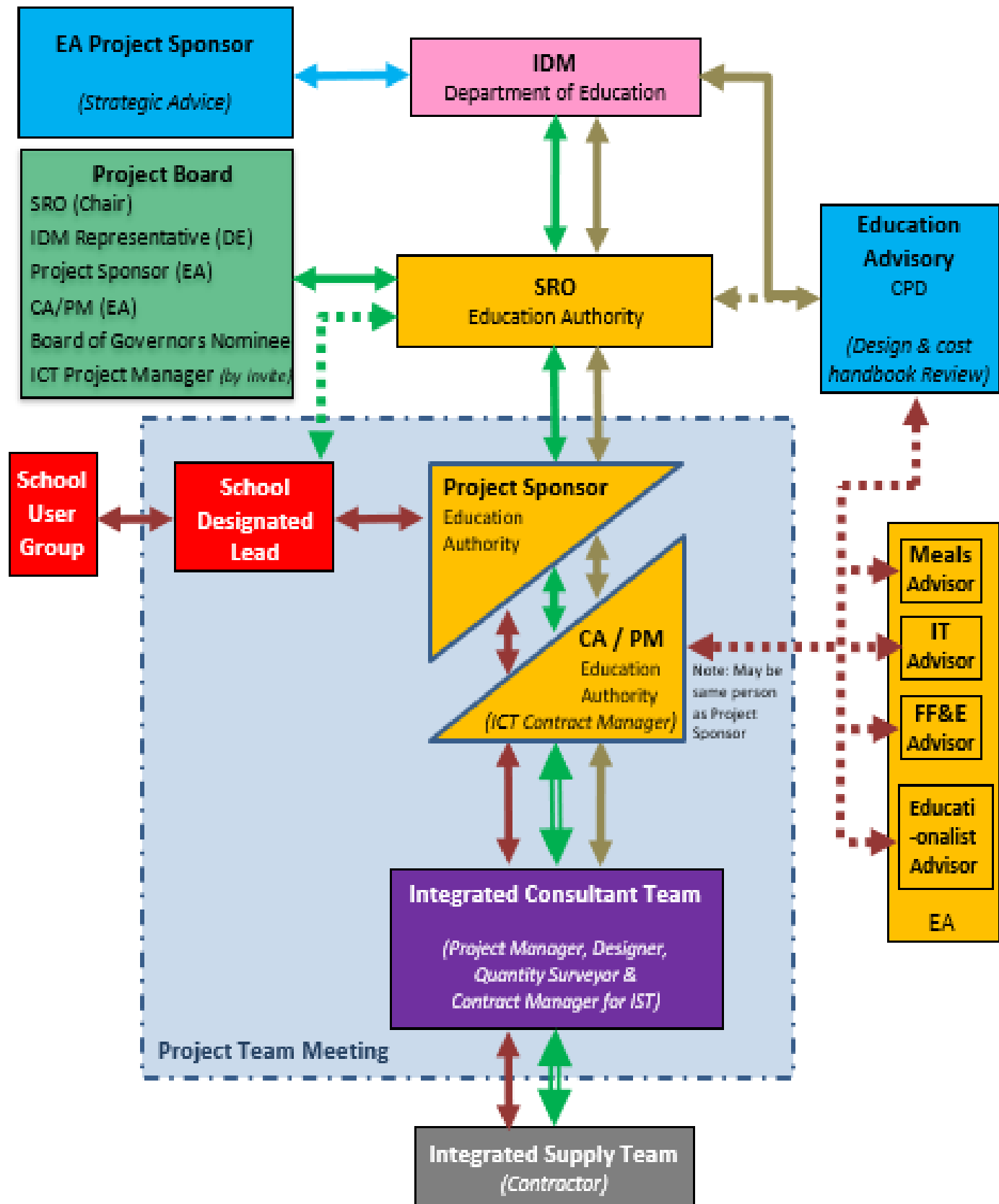
Annex A – Project Lifecycle – Design and Build



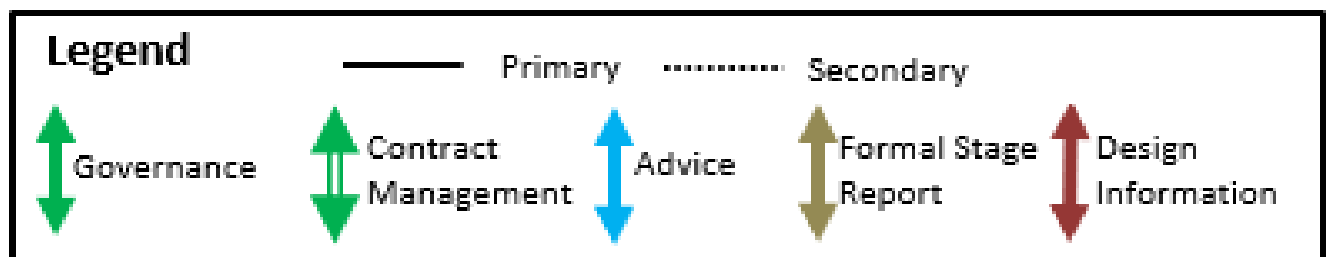
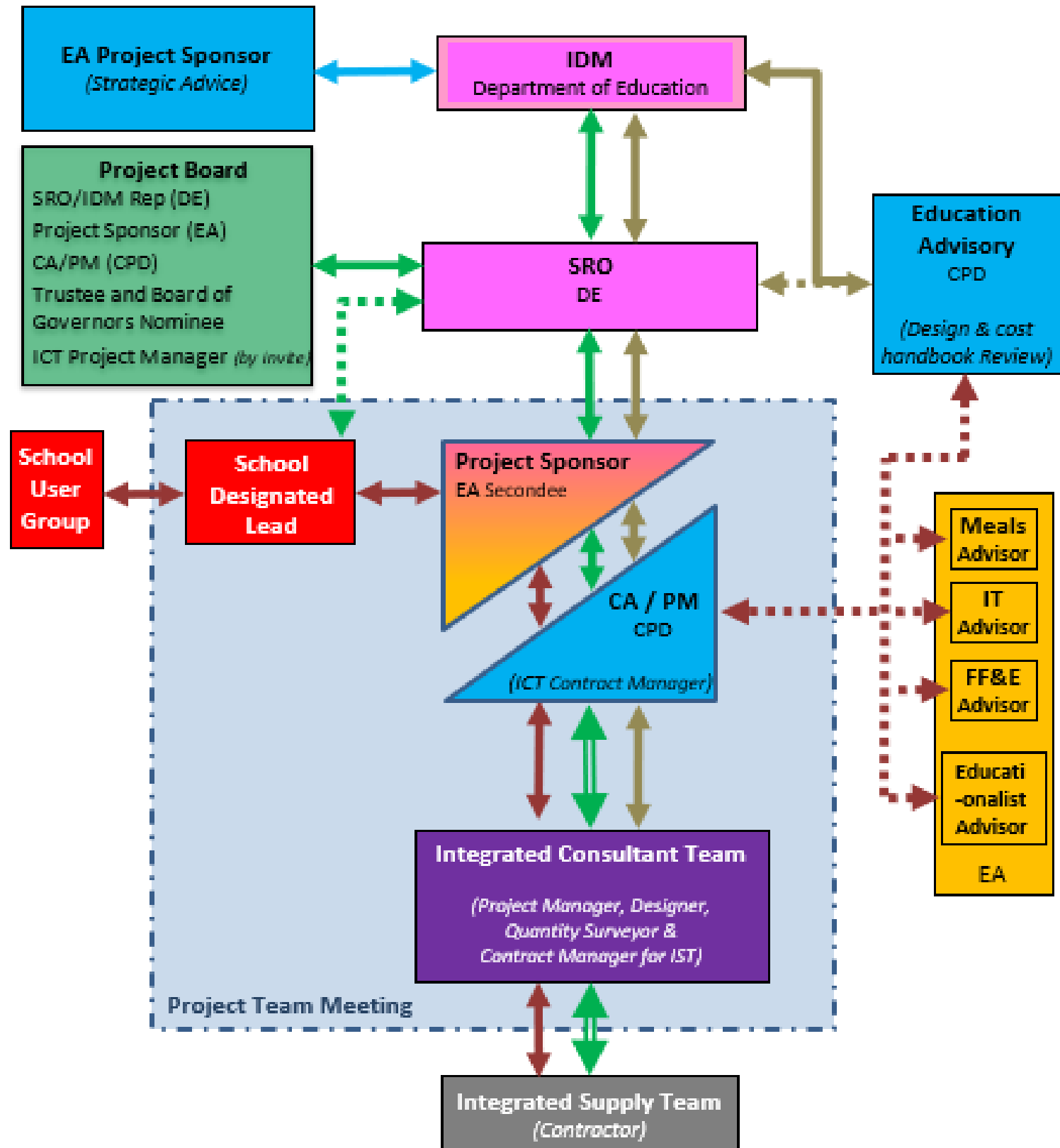
Annex A – Project Lifecycle – Traditional



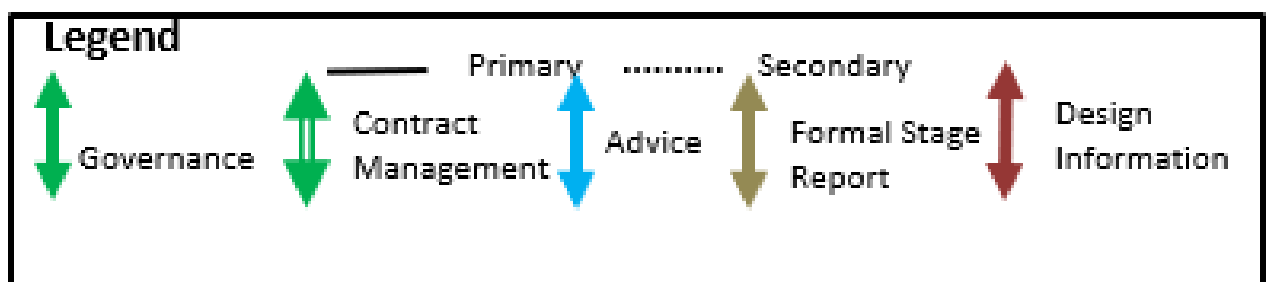
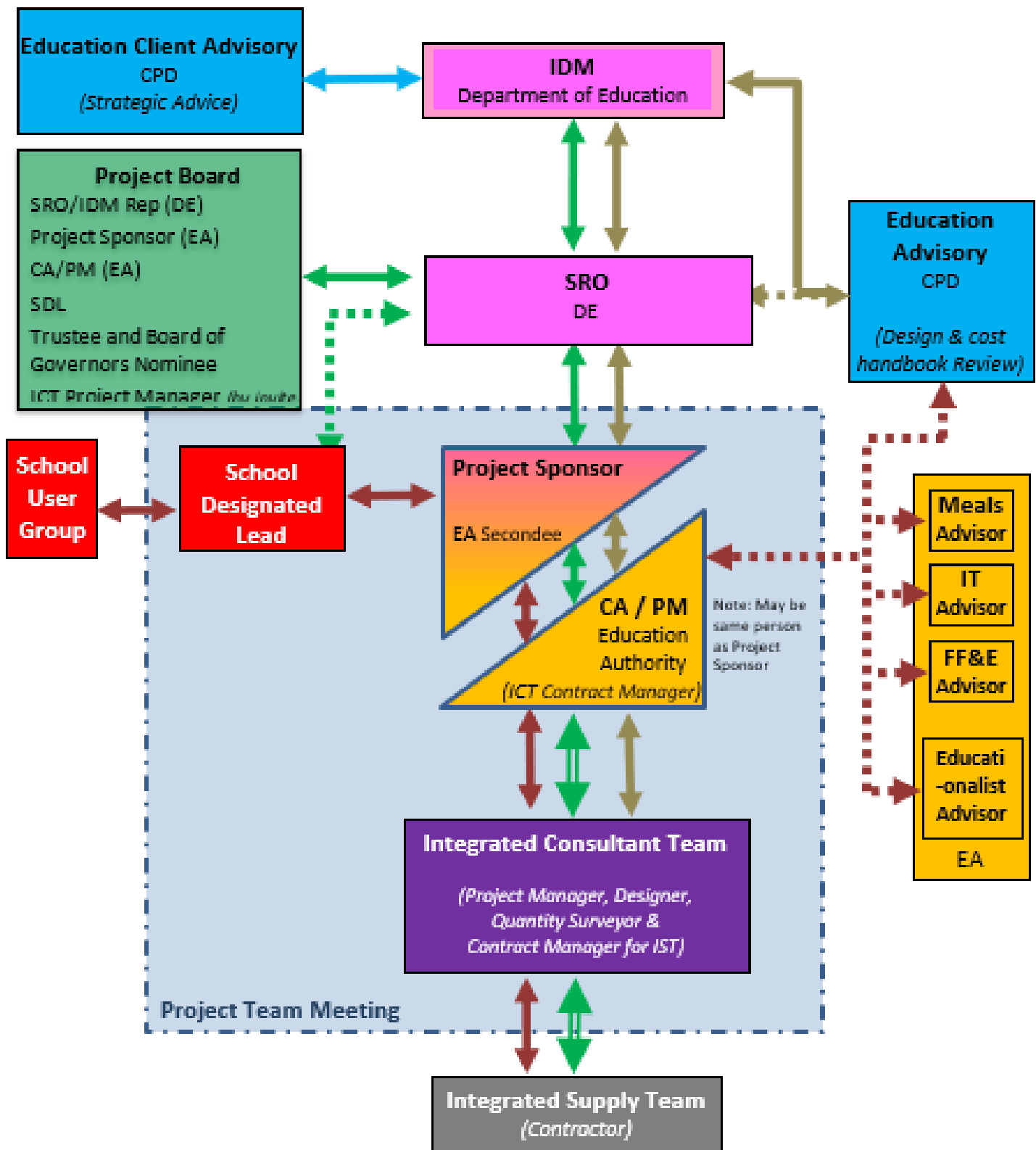
Scenario 1 – Controlled School (Education Authority is the CoPE)



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



Scenario 2B – Non-Controlled School



Annex C

RIBA Plan of Work 2020

	0 Strategic Definition	1 Preparation and Briefing	2 Concept Design	3 Spatial Coordination	4 Technical Design	5 Manufacturing and Construction	6 Handover	7 Use
Stage Outcome at the end of the stage	The need for defining the Client Requirements confirmed	Project Brief approved by the client and confirmed that it can be accommodated on the site	Architectural Concept approved by the client and agreed in the Project Brief	Architectural and engineering information - Spatial Coordination	All design information required for procurement and construction of the project completed	Manufacturing, construction and Commissioning completed	Building handover, a Reserve Initial and Building Contract concluded	Building used, operated and maintained effectively
Core Tasks during the stage	Prepare Client Requirements Develop Business Case for feasible options including review of Project Risk and Project Budget Clarify what the client needs Client Requirements Obtain feedback from previous projects Understand Site Applicable	Prepare Project Brief including Project Outcomes and Sustainability Outcomes, Quality Applicable and Spatial Requirements Understand Feasibility Studies Agree Project Budget Source Site Information including Site Surveys Prepare Project Programme Prepare Project Schedule Plan	Prepare Architectural Concept incorporating Technical Engineering Requirements and aligned to Cost Plan, Project Strategies and Outline Specifications Agree Project Brief Demographics Understand Design Review with client and Project Stakeholders Prepare High Design Programme	Understand Design Studies, Engineering Analysis and Cost Studies to test Architectural Concept resulting in Spatial Coordination design aligned to client's Cost Plan, Project Strategies and Outline Specifications Understand Change Control Procedures Prepare High Design Programme	Develop architectural and engineering technical design Prepare and coordinate design team - Building Systems information Prepare and manage specialist sub-consultants for Building Systems information Prepare High Design Programme	Finalise Site Logistics Finalise Building Systems and control of building Monitor progress against Commissioning Programme Understand Commissioning Quality Review Site Details as required Understand Commissioning of building Prepare Building Manual	Handover building to the client Plan for Use Occupancy Understand review of Project Performance Understand assessed Commissioning Verify defects Complete Initial Assessment Understand light touch Post Occupancy Evaluation	Implement Facilities Management and Asset Management Understand Post Occupancy Evaluation of building performance in use Verify Project Outcomes including Sustainability Outcomes Completion of building for use Understand light touch Post Occupancy Evaluation
Core Statutory Processes during the stage	Design approval of Planning considerations Planning Building Regulations Health and Safety (CDM)	Source pre-application Planning Advice Understand location of health and safety Pre-application Information	Obtain pre-application Planning Advice Agree route to Building Regulations compliance Obtain submittal outline Planning Application	Review design against Building Regulations Prepare and submit Planning Application Obtain pre-application Planning Advice	Submit Building Regulations Application Obtain pre-application Planning Advice Prepare Construction Phase Plan Submit Form F10a to 102.2 application	Early on Commissioning Phase Plan Comply with Planning Conditions related to construction	Comply with Planning Conditions as required	Comply with Planning Conditions as required
Procurement Route	Design & Build 1 Stage Design & Build 2 Stage Management Contract Construction Management Contractor led							
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 Demographics Types of Stage Report Project Strategies Outline Specifications Cost Plan	Types of Stage Report Project Strategies Updated Outline Specifications Updated Cost Plan Planning Application	Manufacturing Information Commissioning Information Final Specifications Review Project Strategies Building Regulations Application	Building Manual including Health and Safety File and Fire Safety Information Final Certificate Final Completion Certificate including Defects List Asset Information	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