

Deliverability Workshop RIBA Stages 5-7

28/09/2023



Places for
Everyone



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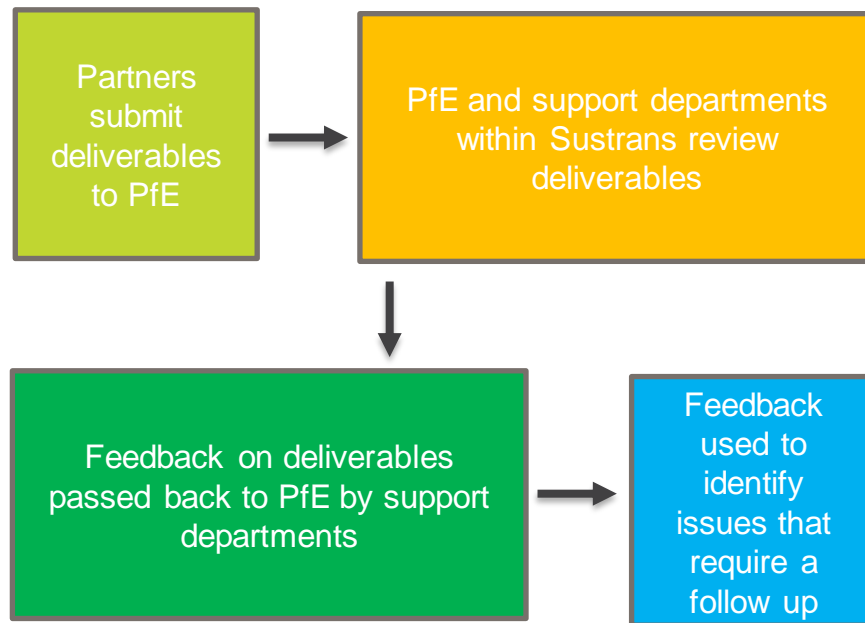
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Have you got a Project at Construction Stage or nearing Construction?

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Who we are and our role in Sustrans

- ▶ Engineering and Assurance Team
 - ▶ Marie-Claire Nyinawumuntu



Overview of RIBA Stages

- ▶ Based on Royal Institute of British Architects, RIBA, Stages
- ▶ Established to provide a plan of work to provide a structured approach to projects.

- ▶ Stage 0 – Strategic Definition ('The Brief')

S0-2 Panel

- ▶ Stage 1 – Preparation & Brief (Feasibility Design)

- ▶ Stage 2 – Concept Design

S3-4 Panel

- ▶ Stage 3 – Developed Design (AKA Spatial Coordination)

- ▶ Stage 4 – Technical Design

S5-7 Panel

- ▶ Stage 5 – Construction

- ▶ Stage 6 – Handover

- ▶ Stage 7 – In use

Stage Descriptions

- ▶ At end of Stage 4
 - ▶ Have a complete design package ready or tendering, with risks mitigated, prices estimated and all permissions at least agreed in principle
 - ▶ Provide timelines and costings for Stage 5-7 activities
- ▶ During Stage 5 Construction
 - ▶ Tender the works and award a contract, NEC4 is a common option
 - ▶ Construction Phase Plan prepared using the Pre-construction information ,
 - ▶ Site supervision and progress reports
- ▶ For community organisations
 - ▶ Final land agreements and statutory permissions in place
 - ▶ If not confident with CDM regulations a client advisor may be appointed (but the responsibility remains with the Client)

Stage Descriptions

- ▶ Stage 6 Handover
 - ▶ Project completion report and lessons learned register
 - ▶ Start of defects period at construction completion
 - ▶ H+S File completed – this is a CDM requirement
 - ▶ Stage 3 RSA on completed asset
 - ▶ Snagging list
 - ▶ Maintenance Plan finalised and enacted
 - ▶ Asset adoption at end of defects period
- ▶ Stage 7 In-use
 - ▶ Monitoring and evaluation
 - ▶ Stage 4 RSA to review any issues
 - ▶ Lessons learned summary

Key Points – Managing Risk

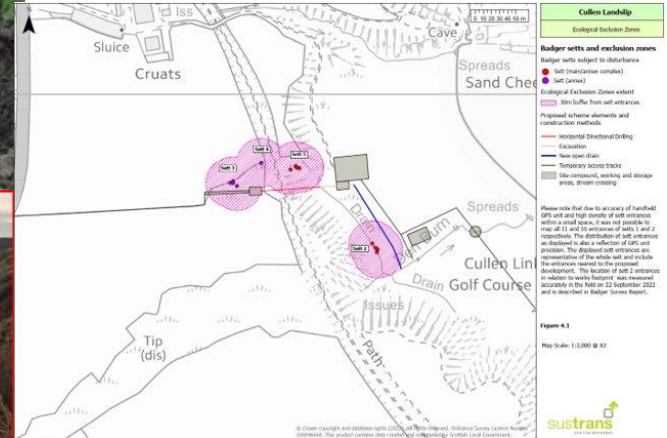
- ▶ Q: What can be done to help manage risk during Construction

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Key Points – Managing Risk

- ▶ Client role includes appointing a Contractor with suitable skills knowledge and experience to undertake the work (competent contractor)
- ▶ Clear PCI information provided from the PD with suitable attention paid to it by the PC
- ▶ Importance of highlighting site-specific risks that are not obvious / business as usual
- ▶ Residual risks taken forward by the Contractor and incorporated into their Construction Phase Plan
- ▶ Costs should be associated to risks – this should form the basis of the risk allowance
- ▶ Contractors have always been looking to reduce risk, but the Client now has duties too

Key Points – Managing Risk



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Key Points – Estimating and Procurement

- ▶ Match funding sources and their contributions should be provided (noting that construction funding is requires a 30% match funding contribution)
- ▶ A procurement strategy is needed so that Sustrans can understand the route to market
 - ▶ Scotland excel, any other existing frameworks or your own route to market can also be appropriate but the strategy needs to be described
- ▶ A timeline / programme should also be shown
- ▶ Preference is for competitive tenders
- ▶ Competent contractor?
- ▶ A full BoQ with item breakdown is expected with quantities and rates
- ▶ Contingency / Risk allowance added should be linked to the risk register
 - ▶ Optimism bias at 3% for general highways, and 6% for structures should be included
 - ▶ Allowance for inflation

Key Points – Change Control

- ▶ Aim of the Stage 5-7 submission is to provide a package that is priced accurately
- ▶ It is possible that post tender not enough money has been allowed for
 - ▶ Delays in tendering, final landownership agreements, inflation, market volatility, underestimation,
- ▶ In the first instance an Early Warning as soon as the risk is known about, (inform Sustrans!)
- ▶ Then when the risk is realised – submit a change control (also known as a compensation event) to:
 - ▶ Value Engineer the project – important not to change the scope of the scheme
 - ▶ Reduce the geographical scope of the project
 - ▶ Submit a change control request drawing down from the project contingency (Sustrans would not need to be notified of this) or requesting additional funding
 - ▶ A combination of the above
- ▶ Can get complex quickly, communication is very important.
- ▶ Ultimately the works could get aborted

Key Points – Change Control



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Maintenance and Monitoring Requirements

- ▶ Written confirmation that a project will be adopted by the Local Authority
- ▶ Some sort of schedule prepared and agreed (when maintenance works/inspections will be undertaken);
- ▶ roles (who will maintain it and be responsible for the aspects of maintenance);
- ▶ whether any particular plant or safety measures are needed
- ▶ Health and Safety plan should be passed on to assist with safe maintenance

- ▶ **Monitoring**
 - ▶ Complete RSA Stage 4
 - ▶ Project Impact Report to be submitted 12-18 months after completion
 - ▶ Continuous or periodic data collection to measure the impact may be appropriate

Key Points – Construction Phase Plan I

- ▶ **Q: What might be found in a Construction Phase Plan?**
- ▶ Typically completed by the Principal Contractor using information provided by the designer in the Pre-Construction Information (PCI)
- ▶ Should contain information on how the site will be set up, run and managed with a particular focus on ensuring the safety of all people who may be impacted by the site
 - ▶ Named responsible people
 - ▶ Welfare management
 - ▶ Site induction procedures
 - ▶ First aid information including hospital location/s
 - ▶ Fire procedures and meeting points

Key Points – Construction Phase Plan II

- ▶ Risk Assessments and Method Statements
- ▶ Restrictions including timings, methods, materials, Machinery, etc
- ▶ Detail site access and egress, diversions, temporary routes cognisant of the Equalities Act, traffic management
- ▶ Environmental considerations, nesting seasons, nature, watercourses, run off, spillages

Contractor CDM Duties

- ▶ CDM roles should be clearly identified on the application
 - ▶ Principal Contractor may not be known when applying for 5-7 funding (but will need to be appointed before work starts)
- ▶ PC Duties are primarily to ensure the completion of the work safely (CDM wording is much more prescriptive!)
- ▶ The Client has ultimate responsibility for many CDM duties – even if they delegate this to the PC (they need to ensure that they are undertaken), e.g.:
 - ▶ That a Construction Phase Plan is completed
 - ▶ Suitable welfare is provided
- ▶ Note that the funder role is not a recognised CDM role however we want to have confidence that any project we are funding is carrying out their CDM requirements

Stage 5-7 Client duties

- ▶ **Q: What kind of duties does the Client hold?**
- ▶ Ensuring the Principal Contractor (PC) has the skills, knowledge, experience and organisational capability to undertake the work
 - ▶ Previous work, case studies, previous project success
- ▶ Stage 5 duties include
 - ▶ F10 form notification to HSE ahead of the commencement of construction (it is likely that all PfE projects will be notifiable)
 - ▶ Ensuring the PC creates a CPP and that the PD drafts a Health and Safety Plan
 - ▶ That Welfare facilities are provided
- ▶ Tasks and duties may be delegated but the Client is ultimately responsible for their completion
- ▶ CDM 2015 has an emphasis on collaborative working; The Client role may seem daunting but if there is a constructive relationship with the PD and PC it should be relatively straightforward to undertake this role effectively.

Summary

- ▶ Stage 5 is the time when everything about the project and its construction should be confirmed and aligned ready to be built.
- ▶ It is the time when the accuracy (or not!) of costings, risks and assumptions are realised:
 - ▶ Actual market prices vs estimates
 - ▶ Actual ground conditions vs investigations or assumptions
 - ▶ Uncovering of unexpected assets, utilities or issues
 - ▶ Construction problems that were not foreseen
- ▶ Stage 6 should set in motion the schemes use, its maintenance and incorporation into becoming the normal, as well as celebrating the completion of construction
- ▶ Stage 7 to prove the success of the project, primarily in terms of use and safety

Examples of Projects that have been constructed

- ▶ Connecting Woodside: Glasgow
- ▶ Speirs Bruce Way: Granton - Edinburgh
- ▶ Eddleston Water Path: Peebles to Eddleston
- ▶ Papdale Park: Kirkwall - Orkney

Connecting Woodside - Glasgow



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Speirs Bruce Way - Granton



<https://www.showcase-sustrans.org.uk/places-for-everyone/>

Eddleston Water Path



<https://www.showcase-sustrans.org.uk/places-for-everyone/>

Papdale Park - Kirkwall



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THANK YOU

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Any
questions?



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