

Appendix 1 RIBA Plan of Work



The RIBA Plan of Work 2013 organises the process of briefing, designing, constructing, maintaining, operating and using building projects into a number of key stages. The content of stages may vary or overlap to suit specific project requirements. The RIBA Plan of Work 2013 should be used solely as guidance for the preparation of detailed professional services contracts and building contracts.

www.ribaplanofwork.com

	0	1	2	3	4	5	6	7
Stages								
Tasks								
	Strategic Definition	Preparation and Brief	Concept Design	Developed Design	Technical Design	Construction	Handover and Close Out	In Use
Core Objectives	Identify client's Business Case and Strategic Brief and other core project requirements.	Develop Project Objectives , including Quality Objectives and Project Outcomes , Sustainability Aspirations , Project Budget , other parameters or constraints and develop Initial Project Brief . Undertake Feasibility Studies and review of Site Information .	Prepare Concept Design , including outline proposals for structural design, building services systems, outline specifications and preliminary Project Strategies in accordance with Design Programme . Agree alterations to brief and issue Final Project Brief .	Prepare Developed Design , including coordinated and updated proposals for structural design, building services systems, outline specifications, Cost Information and Project Strategies in accordance with Design Programme .	Prepare Technical Design in accordance with Design Responsibility Matrix and Project Strategies to include all architectural, structural and building services information, specialist subcontractor design and specifications, in accordance with Design Programme .	Offsite manufacturing and onsite Construction in accordance with Construction Programme and resolution of Design Queries from site as they arise.	Handover of building and conclusion of Building Contract .	Undertake In Use services in accordance with Schedule of Services .
Procurement <i>*Variable task bar</i>	Initial considerations for assembling the project team.	Prepare Project Roles Table and Contractual Tree and continue assembling the project team.	The procurement strategy does not fundamentally alter the progression of the design or the level of detail prepared at a given stage. However, Information Exchanges will vary depending on the selected procurement route and Building Contract . A bespoke RIBA Plan of Work 2013 will set out the specific tendering and procurement activities that will occur at each stage in relation to the chosen procurement route.			Administration of Building Contract , including regular site inspections and review of progress.	Conclude administration of Building Contract .	
Programme <i>*Variable task bar</i>	Establish Project Programme .	Review Project Programme .	Review Project Programme .	The procurement route may dictate the Project Programme and may result in certain stages overlapping or being undertaken concurrently. A bespoke RIBA Plan of Work 2013 will clarify the stage overlaps. The Project Programme will set out the specific stage dates and detailed programme durations.				
(Town) Planning <i>*Variable task bar</i>	Pre-application discussions.	Pre-application discussions.	Planning applications are typically made using the Stage 3 output. A bespoke RIBA Plan of Work 2013 will identify when the planning application is to be made.					
Suggested Key Support Tasks	Review Feedback from previous projects.	Prepare Handover Strategy and Risk Assessments . Agree Schedule of Services , Design Responsibility Matrix and Information Exchanges and prepare Project Execution Plan including Technology and Communication Strategies and consideration of Common Standards to be used.	Prepare Sustainability Strategy , Maintenance and Operational Strategy and review Handover Strategy and Risk Assessments . Undertake third party consultations as required and any Research and Development aspects. Review and update Project Execution Plan .	Review and update Sustainability, Maintenance and Operational and Handover Strategies and Risk Assessments . Undertake third party consultations as required and conclude Research and Development aspects. Review and update Project Execution Plan , including Change Control Procedures .	Review and update Sustainability, Maintenance and Operational and Handover Strategies and Risk Assessments . Prepare and submit Building Regulations submission and any other third party submissions requiring consent. Review and update Project Execution Plan .	Review and update Sustainability Strategy and implement Handover Strategy . Including agreement of information required for commissioning, training, handover, asset management, future monitoring and maintenance and ongoing compilation of 'As-constructed' Information . Update Construction and Health and Safety Strategies .	Carry out activities listed in Handover Strategy including Handover Feedback for use during the future life of the building or on future projects. Updating of Project Information as required.	Conclude activities listed in Handover Strategy including Post-occupancy Evaluation , review of Project Performance , Project Outcomes and Research and Development aspects. Updating of Project Information , as required, in response to ongoing client Feedback until the end of the building's life.
Sustainability Checkpoints	Sustainability Checkpoint – 0	Sustainability Checkpoint – 1	Sustainability Checkpoint – 2	Sustainability Checkpoint – 3	Sustainability Checkpoint – 4	Sustainability Checkpoint – 5	Sustainability Checkpoint – 6	Sustainability Checkpoint – 7
Information Exchanges <i>(at stage completion)</i>	Strategic Brief.	Initial Project Brief.	Concept Design including outline structural and building services design, associated Project Strategies , preliminary Cost Information and Final Project Brief .	Developed Design, including the coordinated architectural, structural and building services design and updated Cost Information .	Completed Technical Design of the project.	'As-constructed' Information.	Updated 'As-constructed' Information.	'As-constructed' Information updated in response to ongoing client Feedback and maintenance or operational developments.
UK Government Information Exchanges	Not required.	Required.	Required.	Required.	Not required.	Not required.	Required.	As required.

*Variable task bar – in creating a bespoke project or practice specific RIBA Plan of Work 2013 via www.ribaplanofwork.com a specific bar is selected from a number of options.

Appendix 2 Station Approach – key risk assessment

Station Approach – key risk assessment										
What might go wrong?	What will happen?	Existing Controls and Measures	Current Risk Score		Risk Proximity	Financial Impact	Further Actions Planned	Target Date	Residual Risk Score	
			Likelihood	Impact					Likelihood	Impact
Bid for Local Enterprise Partnership (LEP) funding is unsuccessful	Failure to obtain funding for public realm improvements from LEP would not prevent other funding being sought although timescales may be stretched.	Engage with EM3 LEP and ensure Members are heavily engaged to support the bid; identify other resources which could be considered to assist in delivering the Public Realm Strategy. Both bids have been developed and strongly supported by HCC.	Unlikely	Moderate	2	££££	Engage with EM3 LEP and ensure Members are heavily engaged to support the bid; identify other resources which could be considered to assist in delivering the Public Realm Strategy.	11/16	Unlikely	Moderate
Significant practices don't tender for the commission	The Council is not able to procure the best architectural practice or design team for the project.	Work with RIBA Competitions Office to increase the status of the procurement with their members.	Unlikely	Significant	1	£££	Commit funding for the project in advance of the project being tendered.			
Project business case does not achieve financial viability	Project cannot proceed	Undertake Financial Due Diligence and develop financial model to assess and identify mitigation of financial risks. External financial expertise has been commissioned.	Unlikely	Significant	1	£££	Undertake further Financial Due Diligence and continue to develop the financial model as more detail becomes available throughout the process. Retain external consultants to advise on the viability of the development.	07/17	Unlikely	Significant
Demand for office uses does not translate into pre-let	Construction will not start without agreed level of pre-let	Difficult decision only materialises if Council has choice to proceed or not based on pre-lets marginally short of target. If insufficient market exists at a point in time, project could be reactivated at later date.	Unlikely	Moderate	2	£££	Market the potential availability of the offices, consider expressions of interest, seek to agree heads of terms with prospective tenants.			
Current buoyant housing market declines	Project viability is affected	Continue to review costs and values before deciding to proceed. Instruct a full	Unlikely	Moderate	3	£££	Continue to review costs and values before deciding to proceed. Instruct a full	02/18	Unlikely	Moderate

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		financial and cost report prior to submitting any planning application.					financial and cost report prior to submitting any planning application. Consider the potential to share the risk of constructing the housing with a housebuilder.			
Costs of construction rises	Development does not achieve the financial return required	Continue to review costs and values before deciding to proceed. Instruct a full financial and cost report prior to submitting any planning application. Ensure an element of contingency is built into the construction budget.	Unlikely	Moderate	3	£££	Continue to review costs and values before deciding to proceed. Instruct a full financial and cost report prior to submitting any planning application. Ensure an element of contingency is built into the construction budget. Undertake value engineering as the design develops to ensure that a viable project can be delivered.	On going		
Legal challenges raised	Delay in the development and subsequently an additional cost to the project	Ensure any legal challenges can be defended by obtaining expert advice to guide and inform processes.	Highly unlikely	Significant	2	£££	Ensure any legal challenges can be defended by obtaining expert advice to guide and inform processes.	On going		
Planning permission is refused	Delay in the development and subsequently an additional cost to the project	Ensure that the design principles are in accordance with the themes of the Local Plan. Seek pre application advice prior to submission of the Planning Application.	Unlikely	Significant	3	£££	Ensure that the design principles are in accordance with the themes of the Local Plan. Seek pre application advice prior to submission of the Planning Application.	02/18	Highly Unlikely	Significant

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Cabinet do not appoint design team to commence design work	Development of the site is significantly delayed leading to impact on businesses wishing to expand within Winchester or relocate here – with a corresponding impact on the local economy. Impact on the Medium Term Financial Strategy due to delay in receiving income streams to support Council services in the absence of Government grant.	Use of the RIBA Competitions procurement route proposed.	Unlikely	Significant	1	£££	further Legal advice to be obtained to support the process	03/17	Unlikely	Significant
Design team is appointed and fees incurred but development process is halted by the Council.	Design team's fees become unrecoverable expenditure.	Ensure that non-recovery of fees is affordable without serious consequential impacts. Members should not proceed with scheme unless fully committed to development process.	Unlikely	Moderate	2	£££	Carefully considered Public Engagement Strategy is put in place as part of planning process. Financial context for undertaking the development is carefully monitored.	02/18	Highly Unlikely	Significant
Local residents and members of the public do not like the style of the architect chosen and feel dissatisfied with the project.	Potential campaigns against the development which may cause delay and additional costs	Following appointment of design team, undertake full public consultation as part of design development to explain and seek support to planning stage. Continue engaging with the Station Approach Panel	Likely	Moderate	1	££	Carefully considered Public Engagement Strategy is put in place as part of planning process. Continue engaging with the Station Approach Panel.	Ongoing throughout lifespan of project	Unlikely	Moderate
Availability of specialist skills and advice for decision	If these resources are not available there could be a delay in the development.	Ensure the appropriate expertise is brought together at the appropriate time to support the project.	Unlikely	Major	1	££	If Cabinet agree to appoint an architect and proceed with the development external resources will be appointed to compliment skills in-house e.g. construction project manager.	Ongoing throughout the lifespan of the project	Highly Unlikely	Major

Key to symbolsLikelihood

Highly Unlikely = 1% to 25% chance in 5 years

Unlikely = 26% to 50% chance in 5 years

Likely – 51% to 75% in 5 years

Highly Likely – 76% to 100% chance on 5 years

Risk Proximity

1 = occurring within 3 months

2 = occurring within 6 months

3 = occurring within 1 year

4 = unlikely to occur within 1 year

Financial Impact

£ = £1 to £20,000

££ = £20,001 to £200,000

£££ = £200,001 - £2,000,000

££££ = £2,000,001 plus