SMP Projects and Stage Gates

- **Small projects - under £250k**
  Required Stage Gates: 1, 4, 5 and 6
  Stage Gates to be progressed by email.

- **Medium projects - between £250k – £2m**
  Required Stage Gates: 1, 2, 4, 5 and 6.
  Stage Gates to be progressed by email.

- **Large projects - above £2m**
  Required Stage Gates: 1, 2, 4, 5, and 6
  Stage Gates 1 & 6 to be progressed by email
  Stage Gates 2, 4 & 5 to be progressed by Stage Gate Meetings

Please see below for a link to the RIBA Plan of Work 2013, a useful guide to RIBA Stages:

<table>
<thead>
<tr>
<th>Stage</th>
<th>Overview</th>
<th>Key Activities</th>
<th>Documentation Produced</th>
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<tbody>
<tr>
<td><strong>Stage 1: Need</strong></td>
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<td>The high level details about the ‘idea’ are captured, and the idea is assessed and prioritised.</td>
<td>- Prioritise project &lt;br&gt;- Create Project Initiation Document &lt;br&gt;- Cost estimate for feasibility and/or stage 2 if applicable &lt;br&gt;- Collect information on the project register</td>
<td>- Project Initiation Document &amp; Project Account Request &lt;br&gt;- Schedule and Cost estimate for feasibility study and/or stage 2 if applicable &lt;br&gt;- Key stage docs checklist</td>
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<td><strong>Stage Gate 1</strong></td>
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<td><strong>What is being signed off</strong></td>
<td>The idea is being signed off and given a priority. Commitment to undertake a feasibility study (if appropriate)</td>
<td>Who signs off &lt;br&gt;1. Head of Service &lt;br&gt;2. Schools Strategy Board (if academic space) &lt;br&gt;3. PMO &lt;br&gt;4. Estates Fire &lt;br&gt;5. Estates Asbestos (cc’d) &lt;br&gt;6. Safety Services (cc’d) &lt;br&gt;7. Environmental Sustainability (cc’d)</td>
<td>Passing through the stage gate means: &lt;br&gt;- The project can progress to feasibility or Stage 2 &lt;br&gt;- Funding has been approved for stage 2 &lt;br&gt;- Resources and funding are allocated for stage 2 &lt;br&gt;- Finance Code can be set up for projects over £250k</td>
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<td><strong>Stage 2: Initiation</strong></td>
<td>The idea is developed into a concept design and a Business Case produced.</td>
<td>- Identify stakeholders &amp; create strategy and comms plan &lt;br&gt;- Define project management approach &lt;br&gt;- Define objectives, scope and deliverables &lt;br&gt;- Identify risk, issues, dependencies and assumptions &lt;br&gt;- Create high level project schedule &lt;br&gt;- Produce Business Case &lt;br&gt;- Carbon appraisal model</td>
<td>Business Case (including options appraisal) if over £250k &lt;br&gt;- Funding approval confirmation &lt;br&gt;- Sustainability Reports (Carbon appraisal model, Sustainability brief, Ska and/or BREEAM (or equiv.) as applicable &lt;br&gt;- Schedule of key interfaces &lt;br&gt;- High level project schedule &lt;br&gt;- Stage Gate Supporting Docs</td>
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<td><strong>Stage Gate 2</strong></td>
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<td><strong>Sign Off</strong></td>
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<td><strong>What is being signed off</strong></td>
<td>Commitment to develop a detailed design and tender process.</td>
<td>Who signs off &lt;br&gt;1. Head of Service (If &lt;£75k) &lt;br&gt;2. SMP Board (If &gt;£75k) &lt;br&gt;3. PRG (If &lt;£250k) &lt;br&gt;4. Key stakeholders (CC) &lt;br&gt;5. PMO &lt;br&gt;6. Facilities &lt;br&gt;7. Estates Fire &lt;br&gt;8. Estates Asbestos &lt;br&gt;9. Safety Services (cc’d) &lt;br&gt;10. Environmental Sustainability (cc’d)</td>
<td>Passing through the stage gate means: &lt;br&gt;- The project can progress to stage 4 &lt;br&gt;- The Finance Code can be set up in Axiom to value approved &lt;br&gt;- The deliverables, scope and sustainability targets are locked down and subject to change control.</td>
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<td><strong>Stage 3: Development Stage Gate 3</strong></td>
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<td><strong>Sign Off</strong></td>
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<td><strong>Stage 4: Planning and Budgeting</strong></td>
<td>The implementation stage is planned in detail, costings detailed, and tendering implemented.</td>
<td>- Produce a detailed programme &amp; cost plan &lt;br&gt;- Tender process &lt;br&gt;- Update the business case as necessary</td>
<td>- Updated Project Implementation documentation (Programme, Cost Plan, Risk Register, Directory) &lt;br&gt;- Tender Evaluation Report &lt;br&gt;- LOI &amp; Tender Return Form &lt;br&gt;- Revised Business Case if applicable (inc. options appraisal) &lt;br&gt;- Stage Gate Supporting Docs</td>
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<td><strong>Stage Gate 4</strong></td>
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<td><strong>Sign Off</strong></td>
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<td><strong>What is being signed off</strong></td>
<td>Commitment to implement; implementation plan, revised business case (if applicable) and tender report.</td>
<td>Who signs off &lt;br&gt;1. Business Administration Manager &lt;br&gt;2. Head of Service &lt;br&gt;3. PMO &lt;br&gt;4. Estates Contracts &lt;br&gt;5. Facilities &lt;br&gt;6. Estates Fire &lt;br&gt;7. Safety Services &lt;br&gt;8. Environmental Sustainability (CC)</td>
<td>Passing through the stage gate means: &lt;br&gt;- The project can progress to implementation stage 5 &lt;br&gt;- The contracts can be signed &lt;br&gt;- Contingency budget is agreed and finalised &lt;br&gt;- The Finance code can be updated to cover the revised project cost if necessary</td>
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<td><strong>Stage 5: Implementation</strong></td>
<td>Implementation of the Brief</td>
<td>- Mobilisation &lt;br&gt;- Implementation of the brief &lt;br&gt;- Monitoring and controls</td>
<td>- Handover Plan (including Sustainability handover report &amp; CH1,2,3 forms) &lt;br&gt;- Building User Guide (if applicable) &lt;br&gt;- Practical Completion Certificate &lt;br&gt;- Final Account &lt;br&gt;- Stage Gate Supporting Docs</td>
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<td><strong>Stage Gate 5</strong></td>
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<td><strong>Sign Off</strong></td>
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<td><strong>Stage 6: Operational</strong></td>
<td>The deliverables have been implemented according to the PID/Business Case</td>
<td>Who signs off &lt;br&gt;1. Head of Service &lt;br&gt;2. PMO &lt;br&gt;3. Facilities &lt;br&gt;4. Engineering Maintenance &amp; Infrastructure &lt;br&gt;5. Environmental Sustainability NB: Appropriate Sign offs for Ska and BREEAM</td>
<td>Passing through the stage gate means: &lt;br&gt;- The project is ready to be handed over and project deliverables have been accepted &lt;br&gt;- An operational meeting has taken place &lt;br&gt;- It has been determined who is liable for works arising during the defects liability period &lt;br&gt;- The Final Account has been agreed &lt;br&gt;- Commitments have been cleared, save for retention</td>
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<td>Deliverables are handed over to the operations and the defects liability period takes place</td>
<td>- BREEAM post construction review &lt;br&gt;- Ska post occupancy review</td>
<td>- Sustainability Reports (such as BREEAM post construction assessment or Ska post occupancy report)</td>
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</tbody>
</table>

**Stage Gate Overview for SMP Projects**

- Passing through the stage gate means:
  - The project can progress to feasibility or Stage 2
  - Funding has been approved for stage 2
  - Resources and funding are allocated for stage 2
  - Finance Code can be set up for projects over £250k
  - Business Case (including options appraisal) if over £250k
  - Funding approval confirmation
  - Sustainability Reports (Carbon appraisal model, Sustainability brief, Ska and/or BREEAM (or equiv.) as applicable
  - Schedule of key interfaces
  - High level project schedule
  - Stage Gate Supporting Docs

- Not applicable for SMP Projects

- Project Initiation Document & Project Account Request
- Schedule and Cost estimate for feasibility study and/or stage 2 if applicable
- Key stage docs checklist

- The project can progress to feasibility or Stage 2
- Funding has been approved for stage 2
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- Finance Code can be set up for projects over £250k

- Business Case (including options appraisal) if over £250k
- Funding approval confirmation
- Sustainability Reports (Carbon appraisal model, Sustainability brief, Ska and/or BREEAM (or equiv.) as applicable
- Schedule of key interfaces
- High level project schedule
- Stage Gate Supporting Docs

- Updated Project Implementation documentation (Programme, Cost Plan, Risk Register, Directory)
- Tender Evaluation Report
- LOI & Tender Return Form
- Revised Business Case if applicable (inc. options appraisal)
- Stage Gate Supporting Docs

- Handover Plan (including Sustainability handover report & CH1,2,3 forms)
- Building User Guide (if applicable)
- Practical Completion Certificate
- Final Account
- Stage Gate Supporting Docs

- Sustainability Reports (such as BREEAM post construction assessment or Ska post occupancy report)

- The project can progress to stage 4
- The Finance Code can be set up in Axiom to value approved
- The deliverables, scope and sustainability targets are locked down and subject to change control.
<table>
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<tr>
<th>Stage Gate 6</th>
<th>What is being signed off</th>
<th>Who signs off</th>
<th>Passing through the stage gate means:</th>
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</thead>
</table>
| Sign Off    | Defects Liability period has passed and project has been successfully handed over to Operational Team. | 1. Head of Service  
2. PMO  
3. Facilities  
4. Engineering Maintenance & Infrastructure  
5. Environmental Sustainability (CC) | - Latent defects have been reviewed and closed out  
- Pre-planned inspections have taken place with the professional team  
- The project has been successfully handed over to the appropriate Operational Maintenance Team. |