# Expiry Toolkit: Pre-Survey Information Checklist

February 2022

IPA Expiry Toolkit – Release 1.0

Infrastructure
and Projects
Authority

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# Introduction

At expiry the authority will require a significant amount of asset data to enable them to manage the assets going forward (see section 4.4.3.2 Baseline asset data in the PFI Contract Expiry Guidance).  This data will also be required for the asset surveys set out in the guidance (see 4.4.3.2 and 4.4.3.3).

This checklist provides a non-exhaustive list of information that may be needed in the scoping, planning and conducting of asset surveys.  Authorities should consider whether other information is required as part of the asset survey process.

Sufficient time needs to be planned into the survey schedule to collate these documents and ensure that they are sufficient for the survey.  Failure to do so will lead to delays, reduce the quality of or benefits from the surveys; and require additional work to be corrected closer to expiry.

The pre-survey checklist is subdivided into four categories and identifies information that may need to be collated for asset surveys and handover:

1.  Project Documentation - Contracts and variations
2.  Project information – Occupational
3.  Project information – Operational
4.  Survey - Planning & mobilisation

# Project Documentation – Contracts and Variations

| Documents | Detail | Available | Document Location |
|---|---|---|---|
| Project Agreement and schedules | The following areas will contain information that may be helpful to determining the required condition of assets during the contract and at expiry:<br><br>Understanding the asset, standards applicable at the time, construction methods, and infrastructure:<br>● Authority's construction requirements<br>● PFI Co's proposals<br><br>Understanding the obligations and specifications for asset maintenance and condition:<br>● Output or service specification<br><br>Note that the service specification may refer to clear and detailed industry standards, have overarching terms such as 'Good Industry Practice, or refer to published industry standards.<br><br>PFI Expiry Toolkit – A Guide to Standards to Support the Assessment of Asset Condition provides a guide to standards that may be helpful in assessing asset condition. | Yes/No | |
| Variations | A detailed schedule of all variations, with those that have physically altered the PFI facilities e.g. the removal, addition or alteration of an asset, specifically identified.<br>Whilst less likely, variations that have changed the use, specification or asset management standards should also be clearly identified. | Yes/No | |
| Construction Contract and Schedules | The construction contract between the PFI Co and the construction company. It should flow down the construction requirements and proposals in the Project Agreement, and may provide additional requirements on asset design and expected life. | Yes/No | |

| Documents | Detail | Available | Document Location |
|---|---|---|---|
| Service Contract and Schedules | The service contract is the contract between the PFI Co and the Service Provider (typically a Facilities Management Company).  This contract should flow down the requirements from the Project Agreement; however, it may also identify any additional requirement and the separation of responsibility between the parties. | Yes/No | |
| Asset Register | The PFI Co should be required to maintain an asset register for all PFI assets in relation to the PFI assets. This will include all building fabric, plant and equipment.  An authority should obtain a copy of the asset register and either check its sufficiency / accuracy beforehand or ask the surveying team to validate and populate any gaps as part of the survey scope.

The PFI Co should be contractually obliged to maintain accurate records of the lifecycle replacement of any PFI assets undertaken during the service period. This information should be transferred into the Asset Register as part of its ongoing maintenance.

Access to the lifecycle records should form part of any Asset Register review. | Yes/No | |
| Operational and Maintenance Manuals (forming part of the Health and Safety file) | The PFI Co should be required to maintain all operational and maintenance manuals (O&Ms) forming an integral part of the health & safety file.

An authority should ensure that access to this information is made available to the survey team. If there are any concerns regarding its sufficiency, request that the survey team review the O&Ms to highlight any gaps in the information. | Yes/No | |

| Documents | Detail | Available | Document Location |
|---|---|---|---|
| Contract Review – Handback criteria | As part of the PFI Contract Expiry Guidance, authorities are advised to complete a detailed contract review. Asset related elements of this review should be available to the survey team and this should include:<br>• Condition and handback criteria for the assets<br>• the maintenance and condition standards required in the services specification or output specification<br>• the lifecycle assumptions contained within the PFI Co proposals<br>• all asset related reporting requirements under the project documentation, for example in the form of an information and reporting obligations matrix | Yes/No | |

## Project Information – Occupational

| Information | Available | Document Location |
|---|---|---|
| Site and building plans | Yes/No | |
| GIFA's[1] for each building | Yes/No | |
| Full details of any retained estate[2] or areas excluded from the PFI | Yes/No | |
| Asset register[3] | Yes/No | |
| Service delivery plans | Yes/No | |

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[1] Gross Internal Floor Area -
https://www.rics.org/globalassets/rics-website/media/upholding-professional-standards/sector-standards/valuation/code-of-measuring-practice-6th-edition-rics.pdf

[2] Retained estate means assets not managed under the PFI.  Assets which were not built or redeveloped under the PFI but which are managed under the PFI contract should be included in any survey, noting that these may be subject to different maintenance and handback conditions.

[3] The PFI Co will be obliged to maintain an asset register including all assets (including fabric, plant and equipment). The survey, or pre-survey work, should verify its accuracy as this will be the basis for accounting for assets being handed back and be critical to the scope of the survey.

## Project Information – Operational

| Information | Available[4] | Location |
|---|---|---|
| Drawings and specifications incl. "as-built" | Yes/No | |
| Schedule of accommodation | Yes/No | |
| Room data sheets | Yes/No | |
| Furniture, fixtures and equipment schedules (fixed & loose) | Yes/No | |
| Health & safety File (including operational & maintenance manuals) | Yes/No | |
| Condition survey reports | Yes/No | |
| Lifecycle model & indexation base date | Yes/No | |
| Current Lifecycle model | Yes/No | |
| Lifecycle spend to date | Yes/No | |
| 5-year lifecycle plan | Yes/No | |
| Annual lifecycle plan | Yes/No | |
| Confirmation of contract year start month and lifecycle year if different. | Yes/No | |
| Statutory testing / compliance records | Yes/No | |
| Maintenance records | Yes/No | |
| Back-log maintenance tracker | Yes/No | |
| Defects schedules and reports (this should include items previously remedied) | Yes/No | |
| Helpdesk records | Yes/No | |
| Register of performance deductions | Yes/No | |

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[4] There should also be a cross-check to the Contract Review to establish the contractual obligation or otherwise on the PFI Co to provide this information

# Survey – Planning and Mobilisation

| Information | Available | Provided by |
|---|---|---|
| Site contact Details | | |
| Details of key onsite personnel contact details | Yes/No | |
| Off-site personnel contact details | Yes/No | |
| Opening hours by day of week, building-by-building | Yes/No | |
| Surveying team details and accommodation | | |
| Details of full survey team incl. lead surveyor | Yes/No | |
| Any specific limitations of surveyor numbers | Yes/No | |
| Survey team proposed days and hours of attendance | Yes/No | |
| Availability of office, meeting and welfare facilities | Yes/No | |
| Security | | |
| Survey team vetting and clearances if required | Yes/No | |
| Any specific vetting/ security process for on-site survey information, and timing of release | Yes/No | |
| Any special security requirements for survey team | Yes/No | |
| Security approval to use electronic and recording devices as required during the surveys | Yes/No | |
| Survey Plans including H&S | | |
| Survey programme by building, and potential variables. | Yes/No | |
| Survey methodology | Yes/No | |
| Details of proposed survey equipment | Yes/No | |
| Any specific survey equipment restrictions and options | Yes/No | |
| Availability of master keys, fobs or access codes for secured rooms | Yes/No | |
| Any requirement for escorting and escort resource availability | Yes/No | |
| Any specific room or area access limitations or protocols | Yes/No | |
| Roof accessibility details, building- by-building | Yes/No | |
| Availability of ladders or other access equipment for void surveys | Yes/No | |
| Site induction procedures and timing, RAMS and PPE requirements | Yes/No | |

# Contact IPA

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