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Information and Asset Data Transfer at Project Handback

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Section 1

Introduction

Upon contract expiry, Project Co and its supply chain will be required to transfer over asset data and documentation that have been maintained over the contract term of typically 20 to 30 years.

It is worth noting that 'Assets' generally means all assets and rights to enable the authority or a successor contractor to own, operate and maintain the project, including:

1. Any land or buildings.
2. Any equipment.
3. Any books and records (including operating and maintenance manuals, health and safety manuals and other knowhow).
4. Any spare parts, tools, and other assets (together with any warranties in respect of assets being transferred).
5. Any revenues and any other contractual rights.
6. Any intellectual property rights.

In order to manage this transfer effectively, the authority will need to verify the quality of those data and the transfer process.

Ideally, the authority will have undertaken regular data quality reviews during the operational phase, meaning the final quality check of the data should become a relatively straightforward final check. In any event, the authority will need to ensure that sufficient audits are completed to verify the completeness of data before transfer.

It is easy to underestimate how difficult and time-consuming it is to identify in the first instance, what data sets are required and in what format, then extract and validate the required handback data information in sufficient time to ensure a successful expiry and handback transition process. Therefore, to minimise risk and allow time for any corrective action to be taken, it is recommended that the authority, Project Co and the FM service provider should, at an early stage, plan and test the process for transferring the data to the authority's system.

Section 2

Key messages

Why it matters.

- 1. The assets are required to support future services provision.**
- 2. The authority has already paid for the assets to meet the handback criteria.**
- 3. If they do not meet those criteria, the authority will likely have to pay again at a future date.**
- 4. Asset data are required to manage and operate the assets after expiry in a safe, effective and efficient manner.**

Recommended actions include:

1. Reviewing the criteria for asset condition and asset data running up to handback.
2. Understanding the assets and data available well in advance of contract expiry.
3. Consider the process implications of data where they are contained in differing mediums (paper, CD- Rom, Shared drives etc.) and locations of where contracts/contract information and data may be stored.
4. Auditing asset data quality and testing of the data transfer process.
5. Creating forward plans for data transition at the point of handback and beyond as some data will only be available post the formal handback date.
6. Consider contingency plans in advance where, for example, there are gaps in information/data running up to handback.
7. Consider any future budget requirement and plan accordingly.

A good asset handback involves:

- Understanding what is needed from the assets after expiry.
- Understanding the Project Agreement terms relating to asset condition and data.
- Close links with an authority's commercial strategy and project relationship management plans.
- Engaging early with the Project Co and its FM service provider at the right level to establish a process to manage asset condition and data to expiry that can reduce the risk associated with handback for all parties.
- Bringing the right technical and project management expertise to bear.

Section 3

Project Management

It is expected that, given the complexity of the handback process, a dedicated project management resource is recommended as strong project management is fundamental to ensuring a successful expiry and transition process. Information and data will need to flow between various teams, and activities will need to be sequenced to ensure sufficient knowledge is in place before taking actions and making decisions.

Consider whether any databases and operating systems that will migrate to the authority are compatible with existing systems. Authorities should ideally create a single dataset jointly with the Project Co, this builds credibility and trust – see Appendix 1 – Template Operations & Maintenance PPP/PFI handback requirements workbook.

It will be important to check and use all information reporting mechanisms within the Project Agreement. The right to information often requires positive requests by the authority, as Project Agreements are generally structured around self-reporting of performance by the Project Co.

These factors make it vital for authorities in the handback phase to:

- Proactively utilise all Project Agreement rights to information.
- Challenge the completeness and accuracy of received data.
- Make appropriate use of payment and performance mechanisms to incentivise the right behaviours in the run-up to handback.

- Set up additional processes to systematically gather, assess and track any Project Agreement information required to support the handback process.
- Review and challenge the completeness and accuracy of the data received by the authority.

Actively assessing the adequacy of information and management of data available under the Project Agreement in the context of supporting the future operation of assets and services post Project Agreement expiry is important. The data and information are required to manage and operate safe and compliant assets after expiry so that public services can be provided effectively and efficiently.

This makes it essential to undertake early and careful planning of all processes associated with asset handback, whether physical assets or data assets. An important part in the expiry and transition process is ensuring assets are being returned to the authority fully compliant with contractual requirements and their condition at handback and the completeness of associated data are vital to the core objectives of achieving value for money and continuity of service.

Section 4

Compliance with the Project Agreement Requirements

The Project Agreement will define and signpost the necessary data to identify contract compliance with asset condition obligations.

It is important to review and validate the requirements for transfer of asset data, statutory compliance information, system integration and retention of key personnel, sub-contract and specialist supply chain partners, for example insurance information pertaining to lifts including any ongoing maintenance contracts as part of the broader consideration of which assets will be transferred.

It is important to review the Project Agreement and associated variation documents to obtain a clear list of the assets to be transferred upon expiry. This should include any assets either introduced or changed as part of any variation completed during the contract term. There may be a considerable range of assets, including new and existing (retained estates) buildings, mechanical and electrical plant and infrastructure, fixed and loose furniture fixtures and equipment (FF&E) and, where relevant, medical equipment. Also, information assets might come in the form of systems (for example, computer-aided facilities management or business information systems), digital data, or hard copies, such as operating manuals and as-fitted drawings and consideration should also be given to any data related to intellectual property rights.

The Project Co and FM service provider may be reluctant to provide information, and in these circumstances, an authority should review and enforce all rights to information as set out in the Project Agreement. Although it should not be necessary, an authority should be prepared to explain why the information is

needed and why such a request is reasonable. Relationship management and governance structures may need to be considered to escalate as necessary.

An authority should also be prepared to make the case that early provision of data and early identification of any issues in data quality or asset condition will mitigate risk for all parties later in the expiry phase. Where required, an authority should make use of the available incentive mechanisms under the Project Agreement, typically:

- Performance deductions.
- Service failure points.
- Ratchets for continued reporting failures.
- Increased routine monitoring.
- Application of inspection and audit rights.

It is expected that baseline asset data should be maintained by the Project Co throughout the contract term and transferred across to the authority upon expiry. This should include but not limited to the following information:

- As-built drawings.
- Asset registers.
- Building layout drawings.
- Catering and vending equipment.
- Cleaning and waste management equipment.
- Community use and third party let information.
- Contract administration information.

- Equipment lists.
- External and landscaping equipment.
- Freedom of information requests.
- Health & Safety File
- Helpdesk records.
- ICT.
- Inspection and testing reports.
- Intangible assets.
- Key contact information.
- Key registers.
- Lifecycle and maintenance plans.
- Lifecycle replacement records.
- Maintenance records.
- Mandatory and statutory compliance records.
- Operation and maintenance manuals/user manuals.
- Planned preventative maintenance schedules.
- Previous condition surveys.
- Record of building development and replacement works.
- Records of utilities consumption.
- Records of Utilities procurement.
- Room data sheets.
- Schedule of accommodation.
- Schematics (M&E Installation)
- Security and janitorial equipment.
- Third party contract information.
- Training records.

- Transferable consumables
- Transferable FM office equipment.
- Transferable stock.
- TUPE information.
- User Manuals
- Variation/Change details (including details of whether maintenance and lifecycle replacement was included as part of each variation).
- Warranties.

Reviewing these documents will help the authority understand the assets and the quality of associated data. It may also be necessary to use the authority's audit and assurance rights to verify asset condition and data. This data will also be an essential input into future service development.

Appendix 1

Template Operations & Maintenance PPP/PFI handback requirements workbook.

Information and data will need to flow between various teams, and activities will need to be sequenced to ensure sufficient knowledge is in place before taking actions and making decisions.

An authority should consider creating a single dataset jointly with the Project Co as this builds credibility and trust between the parties.

The attached template provides a baseline checklist of actions and information to be delivered by Project Co prior to and up to project handback. The action list is derived from a cross section of PFI/PPP type projects and should be reviewed, refined/evolved by the relevant authority to best suit its specific project handback requirements.

The workbook also references (where available) the NBS Uniclass 2015 Project Management (PM) & System (Ss) codes which is now integral to BIM and the ISO19650 information management process. This approach will allow users to integrate the Uniclass classification system used by different parts of both the construction and facilities management industries in ways to allow public bodies and facilities managers to classify information, data and records using Uniclass codes to structure and help manage handback information as projects complete their handback journey.

As suggested above, the expectation is that this table should be reviewed collaboratively between the parties (Project Co, Management Services Provider, FM Provider and the Authority) and refined (if required).

The Operations & Maintenance PPP/PFI Handback Requirements workbook considers the information deliverables, responsibilities, and pre-handover requirements and these

should be established via Columns C, D, L & M. Column "C" indicates information required under the Project Agreement with Column "D" used for any additional project information and or data. It is worth noting that information required under Column "D" may not a be a contract requirement and therefore may be subject to negotiation.

Any necessary table adjustments should be in accordance with the Uniclass 2015 Project Management (PM) & System (Ss) table versions available at the project inception stage. Background and supporting tools and information on the application of Uniclass can be found via the following link: -

<https://www.thenbs.com/our-tools/uniclass>

Please note that the Uniclass tables are updated quarterly, incorporating user feedback and both the latest and historic Uniclass tables can be downloaded via the following link: -

<https://uniclass.thenbs.com/download>

If the tables have been downloaded before, a check should be made to ensure that the version being used is the one that is best suited to meet relevant needs.