



Infrastructure
and Projects
Authority

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PFI Expiry

Asset Condition Playbook



Reporting to
Cabinet Office
and HM Treasury

Contents

Associated documents

- 1 Public Sector Implementation Guidance
- 2 General Implementation Guidance
- 3 Surveyor Handbook - Example Asset Management (Compliance) Report
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[Toolkit Template Asset Condition Handback Survey Tender Scope](#)

[Toolkit Template Tender Scope Annex Pack](#)

Foreword

This Asset Condition Handback Playbook (“Playbook”) sets out a guidance framework for asset condition in relation to contract expiry. The Playbook follows, and should be read alongside, the Infrastructure and Projects Authority’s (the “IPA”) previous guidance on [Preparing for PFI Contract Expiry.pdf](#) (the “Guidance”).

A cross public and private sector Working Group comprising PFI investors, asset managers, Government departments and advisers was established by the IPA to help develop a guidance framework for carrying out asset condition surveys which led to the development of the Playbook.

The aim of the Playbook is to deliver a common understanding and baseline position regarding asset condition when undertaking asset condition surveys on PFI/PPP buildings amongst the private and public sector, with such surveys being utilised to evaluate adherence with the project specific contractual provisions set out in underlying Project Agreements. In addition, the Playbook will have an added benefit of providing a market standard approach for Surveyors undertaking asset condition surveys so that the outputs of condition surveys are more predictable and consistent. Furthermore, it will help manage the considerable number of asset condition surveys that will need to be undertaken across multiple sectors across the PFI built environment in the coming years, and prevent individual contracting Authorities from being forced to “reinvent the wheel” every time an asset condition survey is required to be carried out. A key message to all parties involved in planning for contract expiry and asset hand back is that ‘you cannot start too early’, and in particular the preparation of related information and data is critical to facilitate a successful handover process.

It is essential that both private and public sector parties work collaboratively to achieve a satisfactory expiry and handover of PFI assets. Resilient, professional and constructive relationships are critical for successfully resolving contractual issues and maintaining trust between the parties. Abiding by the Nolan Principles – Selflessness, Integrity, Objectivity, Accountability, Openness, Honesty and Leadership will lead to better outcomes for all parties. The guidance contained in this Playbook promotes good working relationships where the parties share professional services to improve efficiency. In this spirit, all parties are encouraged to focus on achieving mutually satisfactory handover of the assets on contract expiry.

Again, the demand and expiry profile of upcoming maturing contracts will also generate an associated demand for professional services. Establishing a standard approach will assist surveying firms in developing the necessary skills and capability at the necessary scale to ensure sufficient market capacity. Furthermore, having a single jointly procured asset condition survey, will help prevent unnecessary duplication, and hopefully reduce the risk of disputes between parties.

The expectation is that this version of the Playbook may, and in all likelihood will, need to be updated. Once a reasonable number of surveys have been carried out across different sectors, asset types and sizes by different stakeholders and Surveyors, a lessons learned review will be carried out and relevant feedback incorporated. Issuing subsequent versions and/or updates will hopefully ensure continuous improvement in processes and the quality of surveys over time; as well as ensuring that sector specific issues are addressed.

Foreword

In addition to the Playbook, the Working Group is working on a number of related technical guidance, and specifically:

- A guide regarding how to implement any findings from the survey, including how to agree a programme of rectification works (Rectification Works), the utilisation of a survey findings triage process, organising access to enable the works to be carried out, consideration of the implications for the historic and ongoing performance of the Project Agreement, agreeing an implementation programme and milestones.
- A separate statutory fire safety review ensuring compliance with fire legislation and regulations.
- A guide regarding the preparation of asset/project specific condition Indicators.
- A long form Standardised Deed of Implementation.
- Further guidance, including variation process

The intention is to issue additional technical guidance during H2 2025.

Undertaking an asset condition survey is a critical part of the expiry planning process, and in IPA's view should be carried out as early as possible, but in any event at least 5 years from expiry. This Playbook recommends a joint voluntary process, with all interested stakeholders collaborating around the scope of Services and instruction of a Surveyor, in order to achieve a 'single version of the truth' around asset condition, and the provision of asset condition;

- data consistency,
- conformity,
- accuracy,

to provide efficient rectification planning.



Chapter 1 Introduction to the Asset Condition Playbook

Purpose

The purpose of this Playbook, following stakeholder engagement, is to provide practical guidance on the recommended approach to the joint procurement of a Survey, including the commercial arrangements for procuring and implementing the survey, and the technical criteria to ensure the overall efficacy of the survey process. The Playbook provides a draft standardised scope for the Survey with Appointer's principles, and suggests a form of Surveyor Consultancy Agreement, in each case to be adapted on a project-by-project basis, alongside suggested Surveyor tender assessment criteria.

By using this Playbook, the contracting parties will hopefully de-risk the expiry process and ensure an early assessment of any work to be done with a longer, less disruptive and more reasonable period for Rectification Work to be carried out. This is especially the case when considering access issues, and other relevant factors such as supply chain management and making sure related works are carried out as efficiently, and in the best value for money way possible.

Audience

This guidance is aimed at PFI contracting authorities, including Senior Responsible Owners (**SROs**) and PFI contract managers, and related estates management teams, private sector special purpose vehicle (**SPV**) Directors as well as related investors, funders, asset managers and market suppliers.

Scope and process

This Playbook applies to PFI contracts in England across all sectors. It does not seek to be prescriptive, as the activities required to exit from a PFI contract vary considerably based on the nature of the assets and services provided, the form of contract, and the future requirements of the Authority. Instead, it offers a framework for approaching PFI contract expiry and transition, based on practical experience. It is expected that this document will be updated periodically to reflect the growing body of experience in PFI contract expiry and transition. It is anticipated that this Playbook will be complemented by sector-specific guidance from sponsoring departments where necessary.

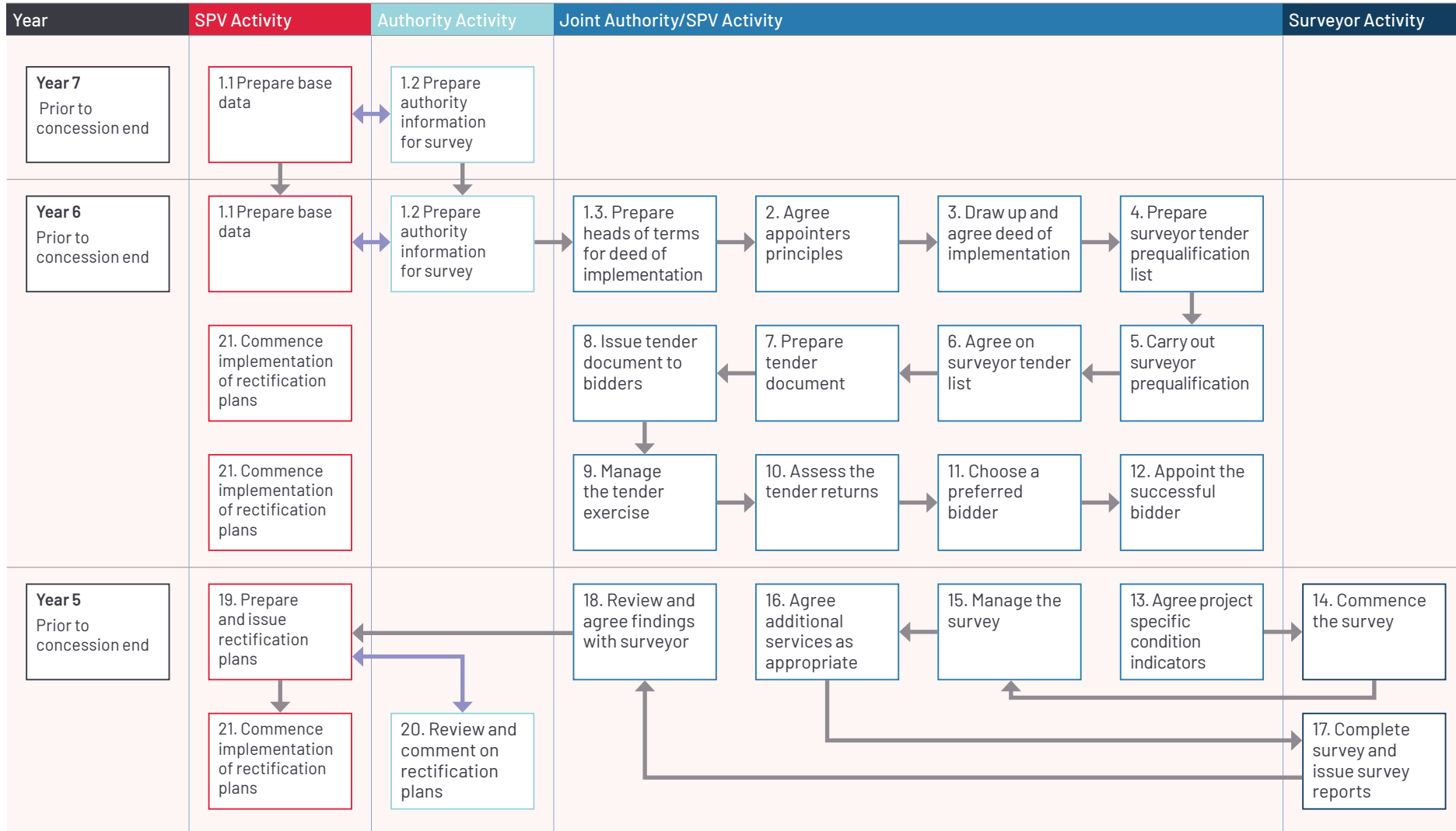
An overview of the Survey scoping, procurement and implementation process may be represented as follows:

Chapter 1 Introduction to the Asset Condition Playbook

Year Prior to Concession End	Activity	Playbook Section
Year 7	1.1 Prepare base data	CH5-2-Base Data
	1.2 Prepare authority information for survey	CH2-1-Preparing for PFI Expiry
Year 6	1.1 Prepare base data	CH5-2-Base Data
	1.2 Prepare authority survey information	CH2-1-Preparing for PFI Expiry
	1.3 Prepare heads of terms for deed of implementation	CH5-4-Appendix D-Deed of Implementation
	2. Agree appointers principles	CH3-1-Appointers Principles
	3. Draw up and agree deed of implementation	CH3-1-Appointers Principles
	4. Prepare surveyor tender prequalification list	CH4-1-Award Process and Timetable
	5. Carry out surveyor prequalification	CH4-1-Award Process and Timetable
	6. Agree on surveyor tender list	CH4-1-Award Process and Timetable
	7. Prepare tender document	CH4-1-Survey Tender Scope
	8. Issue tender document to bidders	CH4-1-Award Process and Timetable
	9. Manage the tender exercise	CH4-1-Award Process and Timetable
	10. Assess the tender returns	CH4-2-Survey Tender Assessment
	11. Choose a preferred bidder	CH4-1-Award Process and Timetable
12. Appoint the successful bidder	CH4-1-Award Process and Timetable	
13. Agree project specific condition indicators	CH4-1-Scope of Requirements	
Year 5	14. Commence the survey	CH4-1-Award Process and Timetable
	15. Manage the survey	CH4-1-Scope of Requirements
	16. Agree additional services as appropriate	CH4-1-Scope of Requirements
	17. Complete survey and issue survey reports	CH4-1-Scope of Requirements
	18. Review and agree findings with surveyor	CH4-1-Scope of Requirements
	19. Prepare and issue rectification plans	CH3-1-Appointers Principles
	20. Review and comment on rectification plans	CH3-1-Appointers Principles
	21. Commence implementation of rectification plans	CH3-1-Appointers Principles

Chapter 1 Introduction to the Asset Condition Playbook

Diagram 1: Asset Condition Playbook – Survey Process Map



Chapter 2 Preparing for PFI Expiry

The IPA has issued guidance entitled **Preparing for PFI Contract Expiry**, which can be found [here](#).

This Playbook supports the Guidance to enable Authorities and SPVs to jointly assess their PFI estate's asset management and asset condition compliance ahead of Expiry.



Chapter 3 Appointers Principles

Chapter 3 contents

1. Introduction
2. Timing
3. A common set of data
4. Appointers
5. Surveyor duty of care to FM Co and SPV parties
6. Appointers representative
7. Payment for survey
8. Surveyor appointment terms and conditions
9. Data
10. Scope of requirements
11. Tender assessment, quality and price weighting
12. Preparation of maintenance plans
13. Delivery of maintenance plans
14. SPV/authority code of conduct
15. Dispute avoidance

1. Introduction

- 1.1 This purpose of this guidance chapter is to set out the principles to be followed by the SPV and Authority [and FM Co] when appointing a Surveyor to conduct a Survey.
- 1.2 It is believed that by following these principles a collaborative approach can be taken and an opportunity secured to guide PFI contracts to a successful handback for both Authorities and SPV's, that chimes well the recent findings of the White Fraiser report on the status of behaviours, relationships, and disputes across the PFI sector.
- 1.3 It is recommended that this preferred approach is taken in order to help reset the PFI industry on a path to enhanced relationships and performance.

2. Timing

- 2.1 The Survey is to be undertaken once around five (5) years from concession end, prior to which Base Data should be compiled in advance of Survey commencement. Both the Authority and the SPV [and FM Co] should cooperate and work diligently to ensure the Base Data is compiled on time.

The Survey may be in addition to any contractually required handback survey(s) under the Project Agreement. However, the SPV and Authority may agree that the Survey fulfils any contractually required handback survey(s) under the Project Agreement.

- 2.2 The intention in undertaking the Survey is to de-risk the handback process through the earlier shared understanding of the status of the project assets relative to any handback requirements in the Project Agreement, and to facilitate a smoother handover of service provision from the SPV to the Authority and/or the Authority's future service provider.
- 2.3 Where otherwise not defined, the SPV and Authority may consider using the scope contained in this Playbook for any contractually required handback surveys for consistency.

3. A common set of data

- 3.1 The Survey will generate an independently compiled common set of asset condition data for use by the SPV and Authority in determining the extent of any Rectification Works, and if where applicable any service improvement activities, required to enable the asset to comply with any handback obligations under the Project Agreement.
- 3.2 Where handback obligations are not present, compliance is to be measured against contract maintenance standards.

Chapter 3 Appointers Principles

4. Surveyor appointment

- 4.1 The Surveyor's appointment will be a joint appointment by the Authority and the SPV, and where agreed the project's facilities management provider (FM Co).

5. Surveyor duty of care to FM Co and SPV parties

- 5.1 Where FM Co is not an Appointer, the Appointers may request that the Surveyor provides a duty of care to FM Co (if applicable).
- 5.2 Where agreed by the Appointers, the Surveyor's duty of care may be extended to other SPV parties and Authority related parties.

6. Appointers representative

- 6.1 For the purposes of the administration of the Survey, each Appointer will nominate their own Appointer Representative to act as their nominated contact for the commission and the Appointers will nominate one Appointer Representative to act as the Appointers' Lead Representative. All instructions and decisions must be made jointly by the SPV's Appointer Representative and the Authority's Appointer Representative. The role of the Appointers' Lead Representative is limited to the practical matters such as the organisation of meetings or access issues and communicating joint decisions of the Appointers to the Surveyor.

7. Payment for survey

- 7.1 The cost of the Survey is to be shared equitably between the Appointers. In determining an equitable sharing of survey costs reference is to be made to Appointers Principles clause [14].
- 7.2 Where joint funding is identified as an issue the Appointers will discuss if and how the Survey can proceed.
- 7.3 The Appointers shall agree the basis of payment and ensure they have all internal and external approval processes prior to the appointment of the Surveyor.

8. Surveyor appointment terms and conditions

- 8.1 The recommendation is to use The Royal Institution of Chartered Surveyors ("RICS") published Standard Terms and Conditions for the Appointment of a Surveyor.
- 8.2 The adoption of the RICS standard terms and conditions will provide a nationally consistent understanding of Surveyor responsibilities, and the legal framework around which Appointers and surveying companies will work.
- 8.3 The use of the RICS standard terms and conditions for a jointly appointed Surveyor will necessitate amendments where necessary to reflect such a joint appointment.
- 8.4 It is suggested that the level of professional indemnity insurance coverage to be provided by the Surveyor is commensurate to the Surveyor's fee.
- 8.5 The Surveyor shall be pre-qualified as having demonstrated the professional competence, wherewithal and technical knowledge required to perform to the Services and that this competence and experience is appropriate to the nature and complexity of the Facilities. (e.g., a hospital should not be surveyed by a residential surveyor; complex plant should not be surveyed by a general building surveyor).

Chapter 3 Appointers Principles

- 8.6 The Surveyor, as a regulated practice (RICS etc.) will undertake the Services in accordance with the requisite professional codes of conduct and professional due diligence as stipulated by the regulating body's (RICS etc.) regulations and relevant codes of practice. There may be more than one appropriate regulating body (RICS, CIBSE etc.), and each code of conduct shall limit the individual or organisation to conducting only services for which it is competent to perform.
- 8.7 The Surveyor's team as, or as supervised by, chartered professionals will automatically assume a professional duty of care owed to the Appointers to undertake the Services whilst observing the skill and care of a 'reasonable professional'.
- 8.9 Collectively the above requirements bring about a necessity for the Surveyor to act diligently, rigorously, and impartially in carrying out the Services, or with 'reasonable skill and care'. 'Reasonable skill and care' is determined in consideration of the education and training of the professional and is a significantly higher standard than that which might be expected of a layperson.

9. Base data

9.1 Base Data is to comprise:

- a. Accommodation Schedule
- b. As-built Drawings
- c. Room Data Sheets
- d. O&M Manuals
- e. Asset Register
- f. Condition Appraisals
- g. PPM Task Lists
- h. PPM Schedules
- i. Equipment List (to the extent not included in the Asset Register)
- j. Variations Log
- k. Environmental Condition Data

(As relevant and required contractually under the Project Agreement).

9.2 Contract Additional Information:

In addition to the above Base Data, the following Contract Additional Information is to be provided to the Surveyor:

- a. Annual Maintenance Plans (to the extent not included in the PPM Schedules)
- b. Five-Year Maintenance Plans
- c. Project Agreement and associated Schedules

(As relevant and required contractually under the Project Agreement).

9.3 The SPV is to ensure that the Base Data is made available to the Surveyor on appointment. It is understood that documents may not be available (particularly relating to transferred retained estate) and/or may only be accessible on site in paper copy.

9.4 The Authority is to cooperate with and support the SPV where appropriate in the compilation and availability of Base Data.

Chapter 3 Appointers Principles

10. Scope of requirements

The scope of the Surveyor's Services will comprise of:

- 10.1 An 'Asset Management (Compliance) Review'. This will comprise of an audit of SPV/FM Co service provision, based on evidence provided by SPV/FM Co and included as part of the Base Data. The review will adopt the following review principles for all assets and systems:
- a. Assess the data and systems in place
 - b. Comment on the management of risk in respect of health and safety
 - c. Comment on the management of risk in respect of compliance
 - d. Provide details of non-compliance
- 10.2 A Non-intrusive Survey which will comprise a comprehensive, non-intrusive, room by room, asset by asset survey, inclusive of Accessible Ceiling Inspections. The Non-intrusive Survey shall adopt the following principles for all assets:
- a. Assess the data and systems in place
 - b. Carry out an industry-standard non-intrusive asset condition survey and assessment
 - c. Carry out a project-specific non-intrusive asset condition survey and assessment

The non-intrusive condition survey will assess the condition of each asset against two standards, being an assessment against the relevant industry standard condition gradings and condition indicators, and an assessment against the relevant project-specific condition gradings and condition indicators. This will generate comparative condition data for the Appointers to consider during the preparation of maintenance plans.

The project-specific non-intrusive condition survey and assessment will require the Surveyor to prepare, agree and apply project specific condition indicators. It is to be noted that the project-specific condition indicators will

need to comply with the relevant Project Requirements, requiring the Surveyor to determine and agree all physical asset condition/compliance requirements as required by the Project Agreement. This is a substantial task that will require appropriate interpretation and competence. Project-specific condition indicators are to be agreed with the Appointers prior to commencing the Survey. Appointers and the Surveyor are to take into account good industry practice when agreeing project specific condition indicators. Refer to guidance Appendix C-Asset Condition Classification for guidance regarding the compilation of project specific condition indicators, and good industry practice.

- 10.3 A review of no less than the sample sizes specified within the Scope of Requirements will be undertaken in order to complete an 'Asset Management (Compliance) Report' and a 'Condition Survey Report', noting:
- a. A compliance review and condition survey percentage table is included within the scope document.
 - b. A percentage can be set for each compliance review and condition survey service.
 - c. It is recommended that the percentages are taken from the tables.
- 10.4 Appointers are to make clear the extent to which the Surveyor is to survey and assess Known Issues.
- 10.5 Appointers may assess the cost and benefit of the extent of fittings, furniture, and equipment Element being included in the Scope of Requirements.
- 10.6 The scope of Services does not include compliance with the Authority's construction requirements or the construction section of the SPV's construction proposals (in each case as included in the Project Agreement).
- 10.7 The scope of Services does not include a fire safety survey, for which separate guidance will be issued.
- 10.8 The scope of Services does not include an assessment of asset residual life, for which separate guidance will be issued.

Chapter 3 Appointers Principles

11. Tender assessment, quality and price weighting

- 11.1 A minimum quality score of [75] % against the quality rating criteria set out below (the Quality Rating Criteria) is to be achieved, prior to price being considered and an overall evaluation score being generated.
- 11.2 The importance of service quality for the Survey is such that Tender Returns will be assessed on a 60/40 basis in favour of quality over cost.
- 11.3 Quality assessments are to be undertaken across the following quality rating criteria and weightings:
 - a. Working Practices and Approach: 20%
 - b. Added Value and Technology: 10%
 - c. Handback Considerations: 10%
 - d. Experience and References: 20%

12. Preparation of maintenance plans

- 12.1 The SPV will address the findings of the Survey through the existing contractual process to deliver maintenance and lifecycle plans and, where required, Service Improvement Plans. Particular attention and prioritisation should be given to the maintenance work required for assets identified as condition C and condition D (as required by the Project Agreement), together with the expected future phasing of maintenance work anticipated in a draft Five-Year Maintenance Plan for assets identified as condition B/C.
- 12.2 The Surveyor appointed to conduct the Survey will not be responsible for preparing any maintenance and lifecycle plans.
- 12.3 The guidance scope of Services includes the use of compliance grades and assessment guides for the review of asset management compliance, which include green (compliant), amber (evidence of partial compliance), red (limited or no information of compliance), or grey (not applicable).
- 12.4 Please refer to guidance chapter four: Asset Condition Handback Survey Tender Scope, for asset management compliance grade and assessment guide table.
- 12.5 The Scope of Requirements includes (where appropriate) the use of condition assessment grades and descriptions for asset condition assessment which include a B/C condition grade for assets that are forecast by the Surveyor to fall below the required condition during a five-year period from the time of the Survey.
- 12.6 Please refer to guidance chapter four: Asset Condition Handback Survey Tender Scope, for asset condition grade and description tables.
- 12.7 SPV's are to review the data generated by the 'Asset Management (Compliance) Review' in order to compile a draft Service Improvement Plan to rectify any issues identified by the review for which a Service Improvement Plan is required.
- 12.8 Maintenance and lifecycle and, where required, Service Improvement Plans will be reviewed in accordance with the Project Agreement review procedure(s).

Chapter 3 Appointers Principles

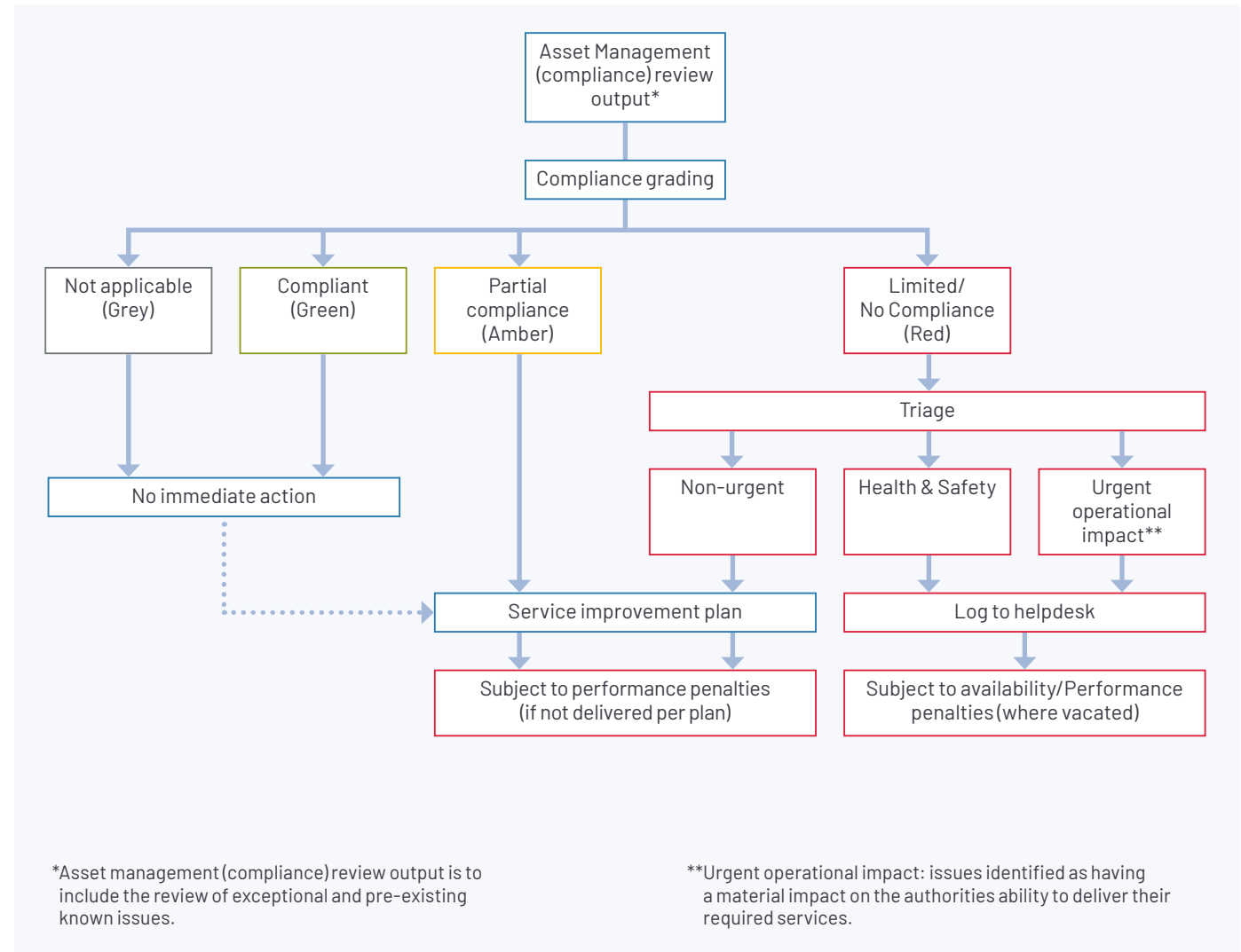
13. Delivery of maintenance plans

13.1 Findings from the Surveyor, where applicable, may be captured on the helpdesk in accordance with the following Triage Process:

13.2 Condition C and condition D assets are to be triaged in to: (1) non-urgent; (2) health and safety; or (3) urgent operational impact. Non-urgent works are to be included in the maintenance plan, whereas health and safety works, and urgent operational impact works are to be logged to the helpdesk and subject to availability/performance penalties where the relevant part of the Facilities are vacated. See Diagram 3 on the following page.

13.3 Other areas of limited or no compliance are to be triaged in to: (1) non-urgent; (2) health and safety; or (3) urgent operational impact. Non-urgent work is to be included in the Service Improvement Plan, whereas health and safety works, and urgent operational impact works are to be logged to the helpdesk and subject to availability/performance penalties where the relevant part of the Facilities are vacated. See Diagram 2.

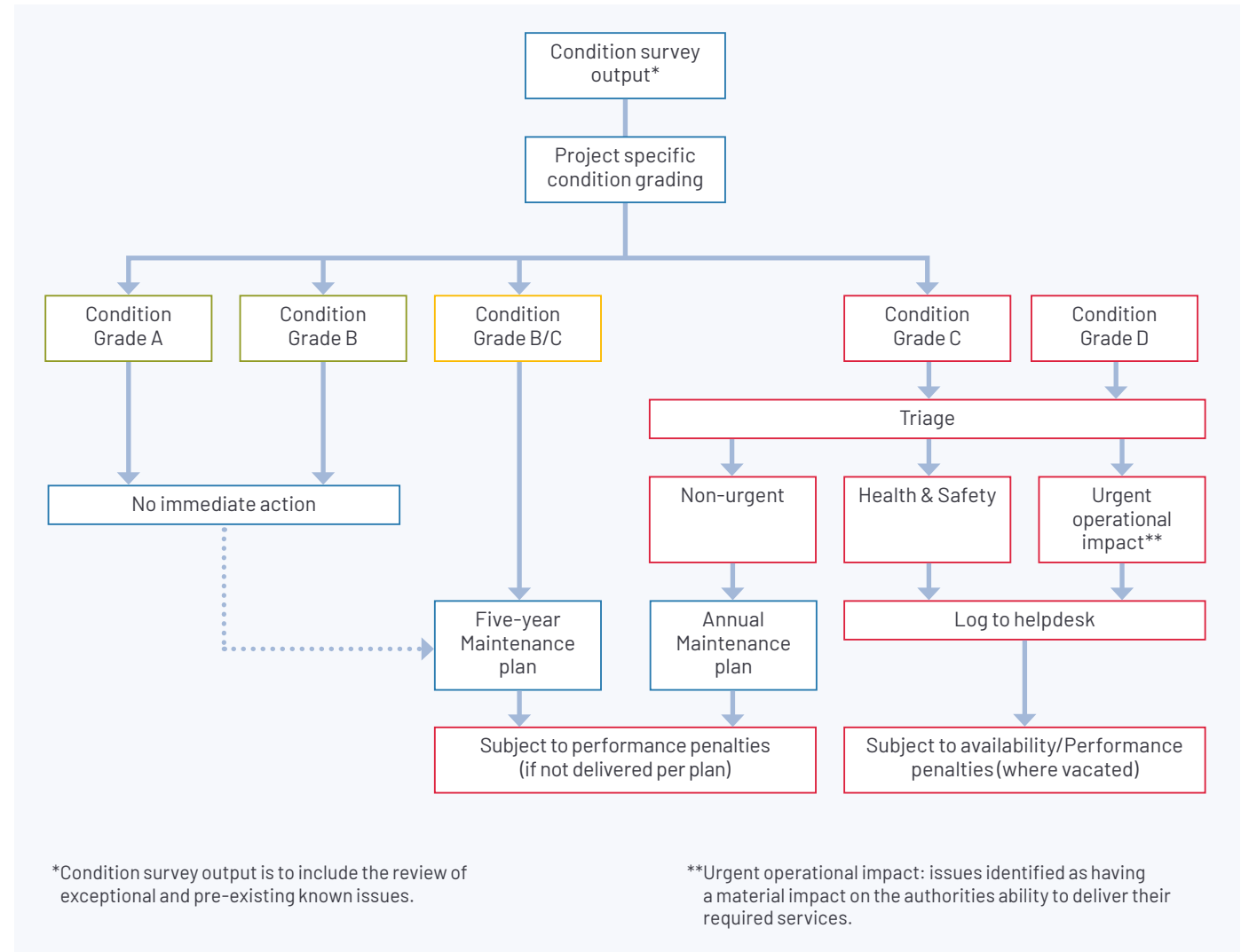
Diagram 2: Asset Management (Compliance) Review – Triage of output actions



Chapter 3 Appointers Principles

- 13.4 Unless agreed otherwise in writing between the parties, the SPV shall use reasonable endeavours to deliver rectification of any “Service Failures” under the Project Agreement in line with the timeframes set out in the relevant Service Specification.
- 13.5 The SPV is to deliver the maintenance works included in the Annual Maintenance Plan in line with the time frames agreed in line with the Project Agreement.
- 13.6 The SPV is to deliver the activities included in any required Service Improvement Plans in line with the time frames agreed in line with the Project Agreement (where applicable).
- 13.7 The SPV is to annually review and issue an updated Annual Maintenance Plan and any required annual Service Improvement Plans (where applicable).
- 13.8 The SPV is to include, refer to, and take in to account the maintenance works included in the Five-Year Maintenance Plan when annually reviewing and issuing an updated Annual Maintenance Plan.
- 13.9 The SPV is to annually review and issue an updated Five-Year Maintenance Plan.
- 13.10 The parties should seek to harmonise the timing of the post survey maintenance plans with the contractually required maintenance plans.

Diagram 3: Asset Condition Survey – Triage of output actions



Chapter 3 Appointers Principles

14. SPV/Authority code of conduct

- 14.1 This code of conduct and behaviours consistent with the Nolan Principles is expected to be followed by the Appointers in respect of successfully identifying and appropriately carrying out Rectification Works and implementing service improvement activities set out in the Annual Maintenance Plan and any Service Improvement Plans developed through the application of the Guidance, this Playbook and Appointers principles, to achieve contractual compliance at handback.
- 14.2 As noted in section 7 above, the Appointers agree to each pay an equitable share of the cost of the Survey considering the following:
- The Appointers agree to jointly review the Project Agreement to identify the provisions relating to surveys. They will look to ascertain frequency, costs, and rights in order to identify the contractual position in relation to undertaking surveys.
 - Where relevant, the Appointers shall agree whether the Survey should be deemed to be any contractual handback survey and the Surveyors findings shall be treated as final and binding in satisfaction of any contractual obligations (save for fraud and manifest error).
 - The extent to which the Authority may agree not to levy deductions or performance failure points under the Project Agreement's payment mechanism and to put wider contract penalty provisions, including retrospectively, to one side in relation to the Survey's findings for the period of the agreed Rectification Works and/or service improvement activities.
 - The sample percentages to be applied to the 'Asset Management (Compliance) Review' Services and 'Non-intrusive Survey' Services.
 - The SPV may agree to accept step in rights as set out in the relevant Project Agreement for the Rectification Works to the extent that these have not been rectified within the time frames set out in the relevant maintenance plan(s).

- 14.3 The SPV agrees to the early identification of potential handback non-compliance issues.
- 14.4 The SPV agree to address the agreed handback non-compliance issues in accordance with the Triage Process including through the annual preparation and delivery of Annual Maintenance Plans and any required Service Improvement Plans from the time of the Survey to contract expiry.
- 14.5 Annual Maintenance Plans, Five-Year Maintenance Plans and any required Service Improvement Plans will be defined in the Project Agreement.
- 14.6 The basis of payment and considerations detailed above are to be recorded in writing between the parties, the terms of which shall be subject to each party's respective internal and external approval processes (including SPV's lenders, where required).

15. Dispute avoidance

- 15.1 Notwithstanding individual contract dispute resolution processes, it is recommended that a 'PFI Handback Dispute Avoidance Group' is set up to seek to assist in the management of handback issues such that handback disputes are avoided and that any disagreements or differences of opinion that do occur are resolved as amicably and swiftly as possible.

Chapter 4 Asset Condition Handback Survey Tender Scope

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2. Submission of tenders
3. Award process and timetable
4. Evaluation criteria and scoring matrix
5. Terms and conditions

Part 2 – Scope of requirements

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2. Contract term
3. Scope of requirements
 - 3.1. Introduction
 - 3.2. The estate
 - 3.3. Elements in scope
 - 3.4. Asset management (compliance) review
 - 3.5. Condition survey

- 3.6. Sampling
- 3.7. Reports
- 3.8. Report issue and sign off process
- 3.9. Progress reports
- 3.10. Meetings
- 3.11. Fee payments
- 3.12. Site information for survey
- 3.13. Liaison with site FM team, sub-contractors, and manufacturers
- 3.14. To be returned with the tender
4. Accompanying documentation

Part 3 – Tender price return

1. Introduction
2. Tender price return format
3. Accompanying documentation

A downloadable template tender scope and supporting documentation has been included at the below locations:

[Tender Scope](#)

[Excel annex pack](#)



Chapter 4 Asset Condition Handback Survey Tender Scope

Part 1 – Tender instructions

1. General information and instructions

- 1.1. The primary Appointers of this commission will be the *[Authority, the SPV and the FM Co]*. A Duty of Care will be provided by the successful bidder to *[Authority, the SPV and the FM Co]* in relation to this commission.
 - 1.1.1. Where agreed by the Appointers, the Surveyor may also provide a duty of care to other stakeholders/SPV Parties.
- 1.2. Bidders are to note that this scope of Services will provide Asset Data to the Appointer Representatives for the Facilities included in Annex 2 - Estate Details. *[The Surveyor will not be held responsible for any disagreements between the Appointers in relation to the Asset Data provided.]*
- 1.3. The Appointers' Lead Representative will be responsible for liaising with all Bidders, responding to tender submissions and clarification questions, evaluating tenders, and making the final recommendation on the most advantageous quotation. The resultant contract will be between the Surveyor and the relevant parties of the Appointers.
- 1.4. Please complete the response to requirements in English and ensure all costs included on the pricing schedule are in sterling (£GBP). The Appointers' Lead Representative has the right to ask a Bidder for an explanation if they believe there has been an error in their Tender Return.
- 1.5. All information contained in this tender pack is confidential and subject to the terms of the *[Appointers to insert details of an appropriate NDA]*.

2. Submission of tenders

- 2.1. Please submit your tender responses, and all associated information by e-mail to:
Name:
Organisation:
Department:
Address:
E-mail:
- 2.2. Ensure that all requested tender return documentation is submitted by the required Tender Return date and time, as follows:
Tender return date:
Tender return time:
- 2.3. Please send any tender clarifications by e-mail to:
Name:
Organisation:
Department:
Address:
E-mail:

Chapter 4 Asset Condition Handback Survey Tender Scope

3. Award process and timetable

3.1. The tender timetable is as below:

NOTE: Prior to Tender Issue, Bidders will have prequalified for inclusion on the tender list, and also have signed appropriate non-disclosure agreements regarding the contents of this asset condition survey scope document, any subsequent documentation and information provided by the Appointers, and subsequent documentation and information produced and provided by the Surveyor.

Tender Timetable and Process

Stage	Date
Tender Period – [5] Weeks	
Tender Issue	Tender Issue Date
Last Date for Receipt of Tender Clarifications	Tender Issue Date + [3] weeks
Appointers Response to Tender Clarifications	Tender Issue Date + [4] weeks
Tender Return	Tender Issue Date + [5] weeks
Tender Assessment: [5] weeks	
Tender Assessment Completion	Tender Return Date + [2] weeks
Bidder Presentations	Tender Return Date + [2] to [3] weeks
Completion of Tender Assessments and Evaluation	Tender Return Date + [4] weeks
Internal Governance and Approval	Tender Return Date + [5] weeks
Award Date	Tender Return Date + [5] weeks
Contract Agreement & Mobilisation: [4] weeks	
Contract Agreement and Signature	Approval Date + [2] weeks
Mobilisation of Survey Resources	Approval Date + [4] weeks
Appointers Site Team Preparations	Approval Date + [4] weeks
Pilot Survey Commencement	Approval Date + [4] weeks
Pilot Survey: [4] weeks	
Complete Pilot Survey	Pilot Commencement + [2] weeks
Feed Pilot Survey results into survey delivery	Pilot Commencement + [2] to [4] weeks
Survey Commencement	Pilot Commencement + [4] weeks

Chapter 4 Asset Condition Handback Survey Tender Scope

3.2. The Appointers' Lead Representative hopes to be able to confirm the identity of the Surveyor by the above award date although may, if necessary, extend the period for completing the award process. Bidder's Tender Returns require, therefore, to remain open for acceptance for a minimum of *[ninety]**[90]* days.

4. Evaluation criteria and scoring matrix

4.1. A minimum quality score of *[75]*% against the Quality Rating Criteria must be achieved, prior to price being considered and an overall evaluation score being generated.

4.2. Accepted tenders will be assessed on a *[40]*% price and *[60]*% quality basis.

4.3. Bidders are to clearly identify where sub-contractors will be utilised, and the details of such sub-contractors.

4.4. Bidders are to identify in their Tender Return any current or past conflicts of interest in relation to the Appointers and any associated stakeholders to this commission, over the last *[5]* years.

4.5. Quality Rating Criteria is as follows:

4.5.1. Working Practices & Approach *[20%*]

Demonstrate how you will deliver the Service required to a high standard. Include examples of previous work you have undertaken providing similar services. Explain how you will deliver the Service to required timescales on these operational Facilities, including how you will maintain service impetus whilst managing interfaces with site facilities management teams, Appointers staff and representatives, and the public.

4.5.2. Added Value & Technology *[10%*]

Demonstrate the innovative practices and tools you have incorporated within the Tender Return, and how such innovation differentiates you from your competitors. Demonstrate how you have developed technological applications that will be used on this commission.

4.5.3. Handback Considerations *[10%*]

Demonstrate your understanding of PFI contract handback requirements, particularly in relation to the contracts and Facilities included in the Scope of Requirements.

Confirm how your knowledge of handback requirements will be used in fulfilling the requirements of this commission.

4.5.4. Experience and References *[20%*]

Please provide relevant experience and references to clearly demonstrate capability in the Services, covering the review and assessment building condition, asset management (compliance), and the generation of the required data and reports.

Confirm that all staff and employees are trained to the required standard and have the required qualifications and experience to fulfil the requirements of the service scope. Provide curriculum vitae and career biographies for staff and employees who will be engaged on this commission. Any use of sub-contractors will require the prior approval of the Appointers. Site access will only be granted if appropriate checks have been undertaken and up to date certification held regarding Disclosure and Barring Service (DBS) in England and Wales, and Basic Disclosure in Scotland; please confirm how this will be managed.

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- 4.6. The Appointers will require selected preferred Bidders to present their proposal at a second stage of Bidder selection and clarify any outstanding questions before formal award to ensure all contents of submission are accurate, and to mitigate any unforeseen variables and variations.
- 4.7. The Appointer Representatives will score the Bidders response to each question using the evaluation scoring matrix below:

Evaluation scoring matrix

Assessment	Score	Interpretation
Inadequate	0	The answer is non-compliant and/or no relevant information has been received to demonstrate the organisation can achieve the required outcomes for this contract.
Serious reservations	1	There are serious indications that the Bidder will not be able to achieve the outcomes required for this contract.
Slight concerns	2	There are slight concerns that the Bidder will not be able to achieve the outcomes required for this contract.
Fully capable	3	A satisfactory answer indicating the Bidder is fully capable of delivering the required outcomes for this contract.
More than capable	4	A strong answer indicating the Bidder is fully capable of delivering the required outcomes for this contract and will add further benefits.

5. Terms and conditions

- 5.1. Appointment Terms and Conditions will be the Royal Institution of Chartered Surveyors (RICS) Standard Form of Consultants Appointment dated May 2022, as Annex 1 – Surveyor Consultancy Agreement.
- 5.2. The RICS Standard Form of Consultants Appointment is available in three versions, for use in England and Wales, Scotland, and Northern Ireland.
- 5.3. The Surveyor *[as an organisation]* shall be pre-qualified as having demonstrated the professional competence, wherewithal and technical knowledge required to perform to the Services and that this competence and experience is appropriate to the nature and complexity of the Facilities. *[e.g., a hospital should not be surveyed by a residential surveyor; complex plant should not be surveyed by a general building surveyor].*
- 5.4. The Surveyor, as a regulated practice *[RICS etc.]* will undertake the Services in accordance with the requisite professional codes of conduct and professional due diligence as stipulated by the regulating body's *[RICS etc.]* regulations and relevant codes of practice.
- There may be more than one appropriate regulating body *[RICS, CIBSE...]*, and each code of conduct shall limit the individual or organisation to conducting only services for which it is competent to perform.
- 5.5. The Surveyor's team as, or as supervised by, chartered professionals will automatically assume a professional duty of care owed to the Appointers to undertake the Services whilst observing the skill and care of a 'reasonable professional'.
- 5.6. Collectively the above requirements bring about a necessity for the Surveyor to act diligently, rigorously, and impartially in carrying out the Services, or with 'reasonable skill and care'. 'Reasonable skill and care' is determined in consideration of the education and training of the professional and is a significantly higher standard than that which might be expected of a layperson.

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Part 2 – scope of requirements

1. Introduction

[NOTE: The purpose of this Part 2.1 Introduction is to provide details of the project to be surveyed. Project specific details are to be included by the Appointers in the following clauses 1.1 to 1.6 for the information of Bidders.]

- 1.1. *[Briefly describe the Appointers organisation size, scope, and responsibility].*
- 1.2. *[Briefly describe the scope of this tender opportunity, number of projects, location of projects, Gross Floor Area, and the survey services required].*

Contract	Site	Building	GFA

- 1.3. Outline what the Appointers are looking for from this tender process, being the opportunity to engage with a Surveyor to ensure a successful and constructive survey and handback process for the Appointers and FM Co *[and the following Stakeholders/SPV Parties, for which an additional duty of care is to be proved by the Surveyor].*

[Provide a list of Stakeholders/SPV Parties that will be impacted by the survey process and its findings].

- 1.4. Outline the Appointers team that will interface with the Surveyor when delivering the Scope of Requirements. Provide the details of each Appointer Representative and the Appointers' Lead Representative who will act as the nominated representative and lead party of the Appointers.

- 1.5. Note that the Survey will need to be conducted on operational sites delivering *[healthcare]/[educational]/[custodial]/[emergency]* services.
- 1.6. Note that close liaison will be needed between the Surveyor and the Appointers to ensure effective Services are provided.

2. Contract term

- 2.1. The contract term will be from appointment of the Surveyor to completion and sign-off of the Scope of Requirements.

3. Scope of requirements

3.1. Introduction

- a. This Scope of Requirements sets out the services to be provided, and the information to be provided within the tender return.
- b. The services break down in to three parts:
 - i. Asset Management (Compliance) Review
 - ii. Asset Condition Survey
- c. It is expected that the Asset Management (Compliance) Review will be completed ahead of the asset condition survey, to enable the Asset Management (Compliance) Review findings to inform the asset condition survey.

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3.2. The estate

- a. Please refer to Accompanying Document Annex 2 - Estate Details which details the following information regarding the Estate to be surveyed and assessed as part of this commission.
 - i. Contract
 - ii. Building Number
 - iii. Site
 - iv. New Build/Existing Building at Financial Close
 - v. Age of Existing Building at Financial Close
 - vi. Gross Floor Area (GFA) (excluding Multi Storey Car Parks)
 - vii. Confirmation of whether Multi Storey Car Park is included in scope
 - viii. Number of Multi Story Car Park Bays
 - ix. Multi Storey Car Park Gross Floor Area
 - x. Site Address
 - xi. Concession Commencement
 - xii. Concession Duration
 - xiii. Concession End
 - xiv. Contract Period (Year)
- b. Appointers are to make clear the extent to which the Surveyor is to survey and assess Known Issues.

[Insert extent of Known Issues to be surveyed and assessed by the Surveyor]

3.3. Elements in scope

Please refer to Accompanying Document Annex 3 - Elements in Scope which details the Elements to be surveyed and assessed per building, as part of this commission.

3.4. Asset management (compliance) review

3.4.1. Compliance Audit Principles, Scope, and Outputs

- a. The compliance review shall adopt the following review principles for all assets and systems:
 - i. Assess the data and systems in place
 - ii. Comment on the management of risk in respect of health and safety
 - iii. Comment on the management of risk in respect of compliance
 - iv. Provide details of noncompliance
- b. The compliance review scope and required output is included in Annex 4 – Asset Management (Compliance) Review Checklist.
- c. Data captured from the Asset Management (Compliance) Review may be used by the SPV in the fulfilment of its contractual obligations, e.g., Service Improvement Plans.

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3.4.2. Compliance scale and interpretation guide

The following compliance scale is to be used when carrying out the asset management (compliance) review. Each asset, system and area shall be assessed against the following criteria, with grade 'green' being deemed compliant and grades 'amber' and 'red' being non-compliant. The survey shall be conducted in accordance with all relevant industry guidance.

Compliance Assessment Scale

Grade	Assessment Guide
■ Green	Compliant – all the necessary health and safety control measures are functioning as intended and the relevant Project Requirements are met in full
■ Amber	Evidence of partial compliance – some of the relevant Project Requirements are met; however, issues were noted that mean it does not meet all of the Relevant Project Requirements. Actions will be necessary to address the deficiencies noted.
■ Red	Limited or no information of compliance, or the basic requirement is not being met. Systems, procedures and/or control measures are not functioning as designed and/or will have an impact on either statutory compliance and/or relevant Project Requirements. Action is required in order to demonstrate compliance.
■ Grey	System, service, or requirement is not applicable to the site or the relevant Project Requirements.

3.4.3. Material or imminent risks to health & safety

Any material or imminent risks to health and safety should be notified immediately to FM Co and the Appointors' Lead Representative (including, without limitation, notifications required under the RICS Surveying Safely/ HSAWA Duty of Care).

3.4.4. Findings and additional services

- a. Where the Surveyor believes that it is necessary for further and/or specialist inspections, opening-up, witness of operation, or other aspect in addition to the Scope of Requirements in order for it to be able to apply the 'Compliance Scale' appropriately and/or otherwise to allow it to assign a Compliance Scale appropriately, it shall notify the Appointers of the matter in writing as soon as possible and consult with the Appointers as to the measures proposed to be taken to resolve such matter by the most appropriate means.
- b. The Surveyor shall meet with the Appointers to discuss the recommendations made and agree the further action to be taken.

3.5. Condition survey

3.5.1. Condition Survey Principles, Scope, and Outputs

- a. The Survey shall adopt the following principles for all assets:
 - i. Assess the data and systems in place;
 - ii. Carry out an industry standard Non-Intrusive Survey and assessment;
 - iii. Carry out a project-specific Non-Intrusive Survey and assessment.
- b. The condition survey required output is included in Annex 5 – Data Capture Requirement.
- c. The data captured from the Survey may be used by the SPV in the fulfilment of its contractual obligations, e.g., maintenance and lifecycle plans.

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3.5.2. Base data

- a. Base Data is to be provided by the Appointers to the successful Bidder, and shall comprise the following information:
 - i. Accommodation Schedule
 - ii. As-built Drawings
 - iii. Room Data Sheets
 - iv. O&M Manuals
 - v. Asset Register
 - vi. Condition Appraisals
 - vii. PPM Task Lists
 - viii. PPM Schedules
 - ix. Equipment List (to the extent not included in the Asset Register)
 - x. Variations Log
 - xi. Environmental Condition Data

(As relevant and required contractually under the Project Agreement).

b. Contract Additional Information

In addition to the above Base Data, the following Contract Additional Information is to be provided to the Surveyor:

- i. Annual Maintenance Plans (to the extent not included in the PPM Schedules)
- ii. Five-Year Maintenance Plans
- iii. Project Agreement and associated Schedules

(As relevant and required contractually under the Project Agreement).

Note: PPM Schedules, Annual Maintenance Plans and Five-Year Maintenance Plans may in some instances be included in a single Schedule of Planned Maintenance.

3.5.3. General

The Surveyor shall conduct the Survey in accordance with all relevant industry guidance.

3.5.4. Non-intrusive survey

- a. A Non-intrusive Survey is to be carried out, comprising of a comprehensive, non-intrusive, room by room, asset by asset survey, inclusive of Accessible Ceiling Inspections.
- b. The Non-intrusive Survey will include [100]% of the Maintainable Assets, subject to reasonable access.
- c. The non-intrusive condition survey will assess the condition of each asset against two standards, being an assessment against the relevant industry standard condition gradings and condition indicators, and an assessment against the relevant Project Specific condition gradings and condition indicators. This will generate comparative condition data for the Appointers to consider during the preparation of maintenance plans.

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3.5.5. Asset condition assessment – non-intrusive survey - industry standard

- a. This [Healthcare] facility condition survey is to be carried out against the [Healthcare] industry standard [NHS Risk Based Methodology for Establishing and Managing Backlog (2004)] condition gradings, as follows:

[Note: Use the relevant sector specific/industry standard condition gradings and condition descriptions where applicable/available.]

Industry Standard Condition Grading

Condition Grade (Industry Standard) [Healthcare]	Condition Description (Industry Standard) [Healthcare]
A	As new and can be expected to perform adequately to its full normal life
B	Sound, operationally safe and exhibits only minor deterioration
B/C	Currently as B, but will fall below B within 5 years
C	Operational, but major repair or replacement is currently needed to bring up to condition B
D	Operationally unsound and in imminent danger of breakdown

- b. The associated [Healthcare] industry standard [NHS Risk Based Methodology for Establishing and Managing Backlog (2004)] building assets and engineering assets condition indicators are to be used.

[Note: Use the relevant sector specific/industry standard condition indicators where applicable/available.]

- c. Should sector specific industry standard condition gradings and condition indicators not be available the Healthcare industry standard NHS Risk based Methodology for Establishing and Managing Backlog (2004) condition gradings and building assets and engineering assets condition indicators could be used if agreed by the Appointers.

3.5.6. Asset condition assessment – non-intrusive survey - project specific

- a. In addition, this [Healthcare] facility condition survey is to be carried out against project specific condition gradings, as follows:

Project-Specific Condition Grading

Condition Grade (Project Specific)	Condition Description (Project Specific)
A	As new and fully compliant with the relevant Project Requirements
B	Fully compliant with the relevant Project Requirements, sound, operationally safe, exhibits only minor deterioration and in the case of internal and external fabric is of good appearance
B/C	Currently as B, but will fall below B within 5 years
C	Operational, but major repair or replacement is currently needed to bring up to condition B
D	Operationally unsound and in imminent danger of breakdown

Note: The above project-specific condition descriptions may change once the project-specific condition indicators have been developed and agreed by the Appointers.

- b. The associated project-specific condition indicators are to be compiled by the Surveyor using the project-specific condition indicators template provided in Annex 6 - Project Specific Asset Condition Indicators and utilised when undertaking the project-specific condition assessment.
- c. The project-specific condition indicators are to be based on the [NHS Risk Based Methodology for Establishing and Managing Backlog (2004) building assets and engineering assets condition indicators framework], amended as required to reflect project-specific condition requirements.
- d. It is to be noted that “compliant with the relevant Project Requirements” is a project specific definition which will require the determination and agreement of all physical asset condition/compliance requirements as required by the Project Agreement. This is a substantial task that will

Chapter 4 Asset Condition Handback Survey Tender Scope

require appropriate interpretation and competence. All detailed grade indicators are relative to project-specific 'relevant Project Requirements' and should not be read as transferable across projects. Project-specific condition indicators are to be agreed with the Appointers prior to commencing Surveys. Appointers and the Surveyor are to take into account good industry practice when agreeing project specific condition indicators. Refer to guidance Appendix C-Asset Condition Classification for guidance regarding the compilation of project specific condition indicators, and good industry practice.

3.5.7. Non-intrusive survey exclusions

The Non-Intrusive Survey is to exclude the following:

- a. Physical dismantling.
- b. Opening-up.
- c. Disruptive investigations.
- d. Survey subjects which are: covered, unexposed or inaccessible.
- e. Any form of physical or material testing or analysis.
- f. Validation of the combustibility, surface spread of flame characteristic or similar Building Regulation compliance of cladding panels or any other materials in the buildings.
- g. Structural engineering appraisal of the building.
- h. Inspection of cavity or other restraint wall ties or structural connections which by their nature are built into the construction and not visible without a measure of disruptive works.
- i. Design audit, asbestos survey, any underground services inspections, environmental or nature audit or exploration for the incidence of invasive species.
- j. Investigation into seepage pollution or contamination of any kind in, on, or around the assets, or which may affect the subject of the Survey.

- k. Re-measurement of the Facilities (save for as required by the review of As-Built Drawings).
- l. Full timber inspection (statement that parts or services are free from rot, beetle, contamination, corrosion, or other similar defects).
- m. Investigation into the unsuitable use of high alumina cement or calcium chloride, calcium silicate brickwork, calcium silicate reaction in concrete, wood wool slabs used as permanent shuttering, cavity wall tie failure, radon gas seepage, PBCB or other materials considered as deleterious in construction, except insofar as such matter may come to knowledge in the normal course of inspection of the materials and state of repair.
- n. Full access and itemised fire-stopping inspections.
- o. Sample or analysis of the sulphate content of the load bearing sub-soil adjacent to the foundations, or enquiries as to general ground conditions.
- p. Environmental Risk Assessments or Flood Risk Assessments.
- q. Written enquiries in respect of existing user rights, proposed use, town planning and road widening, legal interests, prescriptive rights, easements, wayleaves, or statutory consents.
- r. Disability Access Audit pursuant to The Disability Discrimination Act 2005.
- s. Fire risk assessment validation/compliance or fire strategy alignment
- t. Access into confined spaces

3.5.8. Accessible ceiling inspections

The Survey shall include a sample of inspections to ceiling voids of not less than [10]% Gross Floor Area. The location of ceiling inspections is to be such that all room types, corridors, spaces, and functions are proportionately represented.

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3.5.9. Data capture

Please refer to Accompanying Document Annex 5 - Data Capture Requirement which details the data to be captured and reported on, as part of this commission. NRM coding to level 4 is to be included for all assets surveyed.

3.5.10. Material or imminent risks to health & safety

Any material or imminent risks to health and safety should be notified immediately to FM Co and the Appointors' Lead Representative (including, without limitation, notifications required under the RICS Surveying Safely/ HSAWA Duty of Care).

3.5.11. Pilot survey

- a. A Pilot Survey *[is/is not]* to be undertaken to inform the main survey.
- b. *[The Pilot Survey will need to include a sample of assets across all Elements in Scope but covering a manageable Gross Floor Area m² to enable the pilot to be undertaken in a [4] week period, including a [2] week site survey, followed by a [2] week analysis and feedback period to inform the main survey prior to main survey commencement.]*
- c. *[For this tender, the agreed Pilot Survey scope is to be as below:*
 - i. Building/Zone *[XXX]*
 - ii. GFA *[X]m²]*

d. *[The requirement for a Pilot Survey has been determined in considering the following:*

- i. *Gross Floor Area to be surveyed*
- ii. *Complexity of building and engineering services to be surveyed*
- iii. *Availability of Base Data*
- iv. *Access restrictions*
- v. *Familiarity with service scope*
- vi. *Other]*

e. *[The Pilot Survey is to include the following services:*

- i. *Asset Management (Compliance) Review*
- ii. *Asset Condition Survey]*

3.5.12. Findings and additional services

- a. Where the Surveyor believes that it is necessary for further and/or specialist inspections, opening-up, witness of operation, or other aspect in addition to the Scope of Requirements in order for it to be able to apply the relevant 'Condition Grade Condition Indicators', and/or otherwise to allow it to assign a Condition Grade appropriately, it shall notify the Appointers of the matter in writing as soon as possible and consult with the Appointers as to the measures proposed to be taken to resolve such matter by the most appropriate means.
- b. The Surveyor shall meet with the Appointers to discuss the recommendations made and agree the further action to be taken.

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3.6. Sampling

3.6.1. Principle

For all aspects of the Services for which a sample is required to be taken, the Surveyor shall undertake a review of no less than the specified sample sizes specified within this Scope of Requirements in order to complete the Asset Management (Compliance) Report, and Condition Survey Report.

Additional sampling will only be carried out with the agreement of the Appointers.

3.6.2. Sample factors

Where sampling applies, relevant items are to be selected to form the sample data, having regard to the following factors:

- a. In the case of the Accessible Ceiling Inspections, the anticipated clinical disruption and asset density *[to be assessed in conjunction with the Appointers]*.
- b. In case of the remainder of the Services, on a risk-based criticality-derived basis having regard to the table of Critical Areas and Assets *[to be agreed by the Appointers]*

3.6.3. Sample sizes

The following sample sizes shall apply:

Service Heading	Service	Sample Size	Reference
Asset Management (Compliance) Review	As-built Drawings Review	[100] % of general arrangement drawings.	See "Annex 4-3 As Built Drawings", for General Arrangement Drawings to review. Review drawings from desktop and site survey. Identify sufficiency and discrepancies.
Asset Management (Compliance) Review	As-built Drawings Review	[10] % of elevation drawings, and schematics, covering architectural, mechanical, external services, and external works.	See "Annex 4-3 As Built Drawings", for elevation drawings and schematics to review. Review drawings from desktop and site survey. Identify sufficiency and discrepancies.
Asset Management (Compliance) Review	Room Data Sheets Review	[10] % of GFA, such that all room types, corridors, spaces, and functions are proportionately represented.	Review Room Data Sheets from desktop and site surveys. Identify sufficiency and discrepancies.
Asset Management (Compliance) Review	O&M Manuals Review	[10] % of fabric assets and [10] % of engineering assets, such that all asset types are reasonably represented.	Review O&M manuals from desktop and site survey. Identify sufficiency and discrepancies.
Asset Management (Compliance) Review	Asset Register Review	[10] % of fabric assets, and [10] % of engineering assets, such that all asset types are reasonably represented.	See "Annex 4-4 Asset Register Requirement", for available Asset Register. Review Asset Register from desktop and site survey. Identify sufficiency and discrepancies.
Asset Management (Compliance) Review	PPM Tasking Review	[10] % of statutory and mandatory maintenance PPM tasks, and [10] % of routine, non-statutory and non-mandatory maintenance PPM tasks.	Review PPM Task List from desktop and site survey. Identify sufficiency and discrepancies.

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Service Heading	Service	Sample Size	Reference
Asset Management (Compliance) Review	PPM Scheduling Review	[10] % of PPM schedules, such that all types of PPM scheduling are reasonably represented.	Review PPM Scheduling from desktop and site survey. Identify sufficiency and discrepancies.
Asset Management (Compliance) Review	Equipment List Review	[10] % of equipment assets, such that all equipment types are reasonably represented.	See "Annex 4-5 Equipment List Requirement", for available Equipment List. Review Equipment List from desktop and site survey. Identify sufficiency and discrepancies.
Asset Management (Compliance) Review	Variation (Change Order) Review	[10] % of Variations (Change Orders).	Review Variations from desktop and site survey. Identify sufficiency and discrepancies.
Asset Management (Compliance) Review	Environmental Condition Review	[10] % of Gross Floor Area, such that all room types, corridors, spaces, and functions are proportionately represented.	See "Annex 4-6 Environment Condition", for proposed environmental condition validation check sheet. Review environmental condition from desktop and site survey. Identify sufficiency and discrepancies.
Asset Management (Compliance) Review	CAFM System Review	[10] % of fabric assets and [10] % of engineering assets, such that all asset types are reasonably represented.	Review CAFM system from desktop and site survey. Identify sufficiency and discrepancies.
Condition Survey	Non-intrusive Condition Survey - Industry Standard	[100] % of Assets.	Conduct Non-intrusive Industry Standard condition survey as per Scope of Requirements.

Service Heading	Service	Sample Size	Reference
Condition Survey	Non-intrusive Condition Survey - Project Specific	[100] % of Assets.	Conduct Non-intrusive Project Specific condition survey as per Scope of Requirements.
Condition Survey	Accessible Ceiling Inspections	Ceiling voids to a total of [10] % of Gross Floor Area, such that all room types, corridors, spaces, and functions are proportionately represented.	Conduct Accessible Ceiling Inspections as per Scope of Requirements.

Refer to guidance [Appendix B-Base Data](#) for guidance regarding Base Data assessment.

Refer to guidance [Appendix C-Asset Condition Classification](#) for guidance regarding asset condition assessment.

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3.6.4. Findings and additional services

- a. For all aspects of the Services for which a sample basis is required to be adopted, the Surveyor shall undertake a review of no less than the specified sample size in order to complete the Condition Survey Reports, and Asset Management (Compliance) Reports.
- b. The Surveyor shall include full details of the review of the initial samples inspected in the Condition Survey Reports, and Asset Management (Compliance) Reports, and shall provide recommendations for any further action to be taken, which may include:
 - i. Undertaking no further action in respect of a particular sample
 - ii. Expanding the sample
 - iii. Undertaking more targeted review of particular issues, and/or
 - iv. Such other action as the Surveyor considers appropriate to ensure that the Base Data and Facilities comply with and can be reasonably demonstrated to comply with the Project Requirements
- c. The Surveyor shall meet with the Appointers to discuss the recommendations made and agree the further action to be taken, if any. Such action shall be Additional Services and shall be completed prior to issue of the Final Appointers Report.

3.7. Reports

3.7.1. Asset management (compliance) report

The 'Asset Management (Compliance) Report' contents shall focus on excel data provision, to enable Appointers to readily access, review, filter, and extract data for the purposes of asset management compliance clarification and forward management improvement planning.

The '**Asset Management (Compliance) Report**' is to reflect the importance of asset condition data consistency, conformity and accuracy, to provide efficient rectification planning. Consistent excel templates and data presentation is required and is to be prioritised over narrative reporting and free text.

The contents of the Asset Management (Compliance) Report are set out below. Refer to the [Example Asset Management \(Compliance\) Report](#) for more information.

1. Front Cover Sheet: Site/building photograph, date of issue, issue number/reference
2. Introduction: Purpose, surveyors
3. Asset Management (Compliance) Review Compliance Scale: Confirmation of Asset Management Review Compliance Scale grading and associated assessment criteria
4. *[Asset Management (Compliance) Review Summary Narrative: Summary narrative of key Outputs from the Asset Management Compliance Review, by category and Element]*
5. Asset Management (Compliance) Review Checklist: Summary of key outputs by category and Element
6. Asset Management (Compliance) Review Checklist: Copy of the completed Review Checklist
7. Additional Services: List and summary scope of Additional Services undertaken Summary of Additional Services findings and recommendations

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3.7.2. Condition survey report

The 'Condition Survey Report' contents shall focus on excel data provision, to enable Appointers to readily access, review, filter, and extract condition data for the purposes of asset condition clarification and forward maintenance planning.

The 'Condition Survey Report' is to reflect the importance of asset condition data consistency, conformity and accuracy, to provide efficient rectification planning. Consistent excel templates and data presentation is required and is to be prioritised over narrative reporting and free text.

The contents of the Asset Condition Survey Report are set out below. Refer to the [Example Condition Survey Report](#) for more information.

The Condition Report to be issued shall include the following sections:

1. Front Cover Sheet: Site/building photograph, date of issue, issue number/reference
2. Introduction: Purpose, surveyors, time of survey
3. Condition Assessment Criteria
4. Confirmation of condition assessment grading and associated condition descriptions used for industry standard, and project specific standard, *[Summary Narrative: Summary narrative of key findings, by Element]*
5. Elemental Summary of Asset Conditions: Elemental summary, table, graphs
6. Schedule of Asset Condition Grades:

Assets that have failed industry standard assessment and failed project-specific assessment: **fail/fail**

Assets that have met industry standard assessment but failed project-specific assessment: **pass/fail**

Assets that have failed industry standard assessment, but met project-specific assessment: **fail/pass**

7. Data Capture Sheet: The full data set captured as part of the survey
8. Additional Services: List and summary scope of Additional Services undertaken Summary of Additional Services findings and recommendations

3.8. Report issue and sign off process

There will be a requirement to issue reports per service part, per contract, as follows:

3.8.1. Reports

- a. Draft Appointers Report issued for review, discussion, and comments (version 1).
- b. Final Appointers Report issued (version 2).

3.9. Progress reports

The following progress reports are to be issued during the survey and reporting period:

- a. *[Periodic]* project team progress reports (frequency to be agreed and inserted), to comprise:
 - i. Health & Safety
 - ii. Programme
 - iii. Base Data Provision
 - iv. Condition Survey Data generation
 - v. Asset Management (Compliance) Review Data generation
 - vi. Access Issues
 - vii. Stakeholder Liaison Issues
 - viii. Resourcing

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b. Monthly senior management progress reports, to comprise:

- i. Health & Safety
- ii. Programme
- iii. Base Data
- iv. Condition Survey Reporting
- v. Asset Management (Compliance) Review Reporting
- vi. Access
- vii. Stakeholder Liaison
- viii. Resourcing
- ix. Commercial
- x. Technical
- xi. Financial

c. Quarterly Director progress reports, to comprise:

- i. Health & Safety
- ii. Programme
- iii. Base Data
- iv. Reporting Status
- v. Access
- vi. Stakeholder Liaison
- vii. Resourcing
- viii. Commercial
- ix. Technical
- x. Financial

3.10. Meetings

The following meetings are to be organised and attended:

- a. *[Weekly joint Appointers Representative(s) and Surveyor project team review meetings]*
- b. *Monthly joint Appointers Representative(s) and Surveyor senior management project review meetings*
- c. *Quarterly joint Appointers Representative(s) and Surveyor Director(s) project review meetings*
- d. *Draft Appointers Report review meetings*
- e. *Ad-hoc meetings as and when required*
- f. *Additional review meetings as and when required]*

3.11. Fee payments

Monthly meetings will be held between representatives from the Appointers project team and the Surveyor project team to determine the level of fees due to be paid, based on the staged payments agreed between the Appointers and the Surveyor.

3.12. Site information for survey

The Base Data will be made available to the Surveyor to assist in the provision of the required surveys and reports.

All reasonable steps will be made to make the Base Data available to the Surveyor.

Should the Base Data not be able to be provided, the Surveyor will remain responsible for the completion of the Survey and the issue of the required reports for the agreed fee and to the agreed timescales.

Chapter 4 Asset Condition Handback Survey Tender Scope

3.13. Liaison with site FM team, sub-contractors, and manufacturers

- a. The Surveyor will need to liaise with the *[Facilities Management site team]* to arrange access to sites and buildings, the Site Information for Survey, site inductions, health & safety updates, and security checks.
- b. All Surveyor staff engaged on site will need to hold the appropriate security cover/clearance, enhanced DBS and any other certification required to conduct surveys on the sites included in this tender.
- c. Access to sites and buildings is to be arranged through the *[Facilities Management site team]*. Access will be made available as much as practicable, as the Facilities being surveyed will remain operational during the survey period. The Surveyor will remain responsible for the completion of the Survey and the issue of the required reports for the agreed fee and to the agreed timescales.
- d. *[It is assumed that surveys will be carried in [normal working hours].]*

3.14. To be returned with the tender

Bidders are to return the following with their Tender Return:

- a. Confirmation of your understanding of the Scope of Requirements
- b. Price: Completed Tender Summary template
- c. Quality: Proposed Working Practice and Approach
- d. Quality: Added Value & Technology
- e. Quality: Handback considerations
- f. Quality: Experience and references
- g. Survey programme
- h. Reporting/milestone programme
- i. Asset Management (Compliance) Review Methodology
- j. Condition Survey methodology

- k. The methodology for the determination of asset condition
- l. The methodology for the determination, agreement, and application of project specific condition indicators in relation to the project specific condition survey
- m. Confirmation of acceptance and understanding of Accompanying Documentation
- n. Bidder company structure and organogram, including:
 - i. Organisation structure
 - ii. Senior management team
 - iii. Project management team
 - iv. Project delivery team
 - v. Project support team
 - vi. Building fabric expertise
 - vii. Mechanical and Electrical services expertise
 - viii. Relevant PFI expertise
 - ix. Key contact to interface with the Appointers' Lead Representative
- o. Confirmation of resource as internal, subcontracted or agency
- p. Proposed escalation process to manage issues that may arise
- q. An example of a completed survey report in the format required
- r. Proposed change mechanism should the scope of Services need to be amended

Chapter 4 Asset Condition Handback Survey Tender Scope

4. Accompanying documentation

The following documentation is referred to within this tender and is provided to Bidders as part of the Scope of Requirements:

- 4.1 Annex 1 – Surveyor Consultancy Agreement
- 4.2 Annex 2 – Estate Details
- 4.3 Annex 3 – Elements in Scope
- 4.4 Annex 4 – Asset Management (Compliance) Review Checklist
- 4.5 Annex 5 – Data Capture Requirement
- 4.6 Annex 6 – Project Specific Asset Condition Indicators

Download the [Annex pack](#)

Part 3 – Tender price return

1. Introduction

This section sets out the format that Bidders are to use to return tenders, and the assessment weighting between price and quality.

2. Tender price return format

Tenders are to be returned in the format provided in the Accompanying Documentation section below, including:

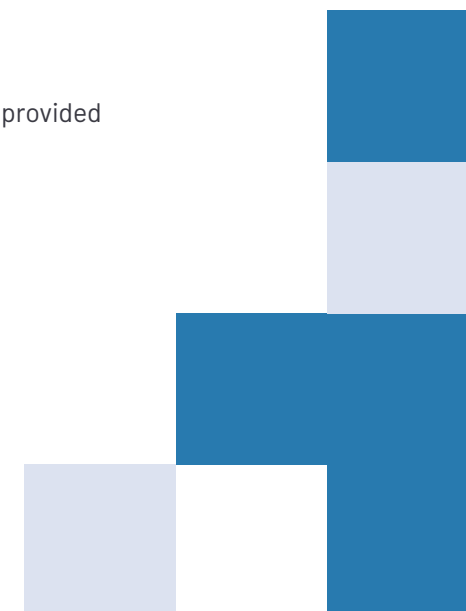
- 1. Tender Summary
- 2. Rates for Additional Services

3. Accompanying Documentation

The following Tender Sum Template is to be completed and provided as part of the bid:

- 4.1 Annex 7 – Tender Summary Template
- 4.2 Annex 8 – Bid Evaluation Example

Download the [Annex pack](#)





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