

Capital investment and property business approval guidance for NHS trusts and foundation trusts

Annex 2: Post-project evaluation templates

13 February 2023

These templates provide a pro-forma which can be used by Trusts to complete the Post Project Evaluation (PPE) exercise. For any business cases requiring NHS England and DHSC approval, completion of a PPE is a condition of approval.

Trusts can use these two templates to complete the two-stage PPE exercise:

- Stage 1: for an initial review within six months of business case approval or from commissioning a new service and/or facility.
- Stage 2: for a further review two years (recommended) after commissioning a new service and/or facility.

Project completion report: Stage 1 (to be completed within six months from commissioning a new service and / or facility)		
SECTION 1: KEY INFORMATION		
Lead organisation		
Integrated care system/board		
Capital scheme name/business case name		
National programme (if relevant, eg diagnostics)		
Project identifier (if relevant)		
Date full business case (FBC) was approved		
Site or sites where this scheme was delivered		
Nature of project (IT, equipment, construction, refurbishment, etc)		
Project SRO	Name	
	Contact address	
	Email	
	Telephone	
Project main contractor/supplier		
Total budget £m		
Funding sources	Public dividend capital £m	
	Internal sources £m	
	Other (please specify) £m	
Date the trust board signed off this project completion report		

SECTION 2: POST COMPLETION REVIEW

Ref	Review heading	Requirement	Trust response	Trust RAG rating
1	Project start date	a) What start date was given in the approved FBC?		
		b) Was this achieved? If not, why?		
		c) Have all approval conditions been met? If not, please provide details.		
2	Project completion date	a) What completion date was given in the approved FBC?		
		b) Was this achieved? If not, why?		
3	Strategic case – service need	a) Was the service/business need as set out in the business case fully delivered?		
		b) If not, why not?		
		c) If not, what is being done to resolve the shortcoming?		
		d) Will resolution of the shortcoming be achieved in time to prevent issues arising with service delivery?		
		e) How will that be funded?		
		f) Did service needs vary during the project? If so, why and what was the impact?		
4	Economic case – societal, non-cash, quality or patient benefits	What were the key societal, non-cash, quality or patient benefits in the FBC and to what extent have these been achieved?		

SECTION 2: POST COMPLETION REVIEW

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5	Financial case – project costs	a) Please confirm the FBC outturn cost and final cost, and provide detail of the various elements (construction, fees, inflation, etc) to support any over or underspend.							
		b) Was there any overspend on the scheme, and how was this funded?							
		c) Where required, was that overspend authorised?							
6	Financial case – CDEL	Has the CDEL profile changed since the FBC? Please provide an updated CDEL position.	CDEL source	Year £m	Year £m	Year £m	Year £m	Year £m	
			Total						
6	Financial case – revenue impact	Please provide an update on the revenue impact of the scheme compared with the financial case in the FBC, and how any cost pressures are being managed.							
8	Financial case – financial benefits	Please confirm the key financial benefits in the FBC (CapEx, OpEx and Lifecycle) and confirm to what extent these have been achieved (eg backlog maintenance reduction, staff reduction, etc).	Capex						
			OpEx						
			Lifecycle						
9	Financial and economic case – efficiencies	a) Were the planned operational and financial efficiencies achieved?							
		b) If not, why not?							
		c) If not, what is now being done to achieve them?							

SECTION 2: POST COMPLETION REVIEW

Ref	Review heading	Requirement	Trust response	Trust RAG rating
10	Commercial case – legal	a) Was there any need to take legal action or seek arbitration during the project and if so, what was the cause, value and outcome?		
		b) Are there any legal issues associated with the project still to be resolved and if so, why, what value and outcome?		
11	Commercial case – procurement method	a) What method of procurement was used for the project?		
		b) Would the trust use this procurement method again? If not, why not?		
		c) Please provide the name of the contractor used under the framework.		
		d) Were there any shortcomings or concerns with the framework process generally? If so, please identify.		
		e) Where there were fundamental problems with the overall procurement method(s) selected by the trust, have these been documented and will they be acted on/taken into account for future projects?		
12	Commercial case – conflict	a) Were there any major conflicts between the trust, the contractor or other stakeholders?		
		b) If yes, please give the reason, and state whether these have been resolved or are outstanding issues.		

SECTION 2: POST COMPLETION REVIEW

Ref	Review heading	Requirement	Trust response	Trust RAG rating
13	Estates – BREEAM	a) What BREEAM target rating was expected and achieved?	Target rating	
			Actual rating	
		b) Where applicable, why was the BREEAM target rating not achieved?		
14	Estates – design solution	a) The NHS England business case process refers to estate design/project solutions that are appropriate and supported by design quality assessment. Did this project undergo independent design appraisal? (i) If no , please explain why not. (ii) If yes , please state the process used, eg AEDET, DQI, etc.		
		b) If independent design appraisal was carried out (as identified in a above), was a DQI Stage 5 in-use report (or similar) produced? (i) If yes , were any in-use issues identified that impacted (positively or negatively) on the scheme? If so, please give details. (ii) If no report was produced, will one be and its findings reviewed?		
		c) The benefit of framework contracts is the provision of a post-construction/post-occupancy evaluation by the prime contractor. Where the project was		

SECTION 2: POST COMPLETION REVIEW

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		delivered by a framework, please summarise the outcome.		
15	Estates – Net Zero Carbon (NZC)	a) NHS and government policy requires compliance with the NHS NZC standard in relation to mandatory targets, where projects fall in scope of that compliance. Were those targets established by the project team for this project at the time the business case was prepared, and reflected in the FBC?		
		b) Have those targets been met by this project? If no , please explain why not.		
		c) If the relevant NZC targets have not been met, please provide details on how this non-compliance will be mitigated or resolved.		
16	Management case – project team	a) Was the trust project team and overall resource appropriate for the project?		
		b) If not, what will change for future projects?		
		c) Will the resources and skills of the project team be retained by the trust?		
17	Management case – project ‘blockers’	a) Were any significant project ‘blockers’ identified by the trust?		
		b) If so, how were these overcome?		
		c) Could they have been avoided by earlier action?		

SECTION 2: POST COMPLETION REVIEW

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		d) Could they have been avoided with an alternative approach to the project? If so, what would that alternative approach have been?		
18	Post-project evaluation (PPE)	a) Confirm dates for starting and completing the full PPE (Stage 2) and provide any supporting information.		
		b) Confirm that the funding allocated to the PPE process remains fully available for the process to be completed.		
19	Summary	a) Did the project fully meet the critical success factors it was expected to address?		
		b) If not, what was not achieved and why?		
		c) Can the trust do more to deliver even bigger benefits from this project?		
		d) What would that involve and how would it be funded?		
		e) Has the trust recorded significant lessons learned that can be applied to future projects?		

SECTION 3: LESSONS LEARNED AND ACTIONS IMPLEMENTED BY THE TRUST

LESSONS LEARNED (including provider performance, client performance and procurement performance)

What initial lessons has the trust learned from project initiation to bringing the new service/facility into use?

Please consider positive lessons learned from things that went particularly well, but also those learned with the benefit of hindsight or feedback from others such as patients and staff, contractors, etc.

Lessons learned (positive): *Include for trust project management performance and procurement, and contractors and consultants who performed well, and how/why, etc.*

Please consider negative lessons learned from things that went particularly badly, but also those learned with the benefit of hindsight or feedback from others such as patients and staff, contractors, etc.

Lessons learned (negative): *Include for trust project management performance and procurement, and contractors and consultants who did not perform well, and how/why, etc.*

Please describe the actions and processes the trust has implemented as a result of the highlighted lessons learned. Comment on any immediate impacts these actions and processes have had on the trust.

Actions and processes implemented by the trust as a result of the 'lessons learned' above. *Include actions taken, planned and in the process of being implemented.*

SECTION 4: TRUST BOARD SIGN-OFF AND COMMENT

TRUST BOARD/ICS: COMMENT AND SIGN-OFF

The trust board/ICB is asked to comment on how this project progressed, including lessons learned and implications for the running of future projects for the trust as a whole.

Trust board comment

Date

Project completion report: Stage 2 (recommended to be completed two years from commissioning a new service and/or facility)	
SECTION 1: KEY INFORMATION	
Lead organisation	
Integrated care system/board	
Capital scheme name/business case name	
National programme (if relevant, eg diagnostics)	
Project identifier (if relevant)	
Date full business case (FBC) was approved	
Site or sites where this scheme was delivered	
Nature of project (IT, equipment, construction, refurbishment, etc)	
Project senior responsible officer (SRO)	Name
	Contact address
	Email
	Telephone
Project main contractor/supplier	
Total budget £m	
Funding sources	Public dividend capital £m
	Internal sources £m
	Other (specify) £m
Date the trust board signed off this project completion report	

SECTION 2: POST COMPLETION REVIEW

Ref	Topic	Key considerations of a PPE	Trust response	Trust RAG rating
1	Summary evaluation	Provide a brief description of the project – covering service objectives, expected benefits, start date, completion date, original capital costs at time of approval, final outturn capital costs, and reasons for any variances between approved and final costs.		
		Was the project completed on time, within budget and in accordance with the approved business case?		
		Were there any significant barriers to completing the project?		
		Were any unexpected problems experienced during the preparation and implementation of the project?		
		What lessons were learned?		
2	Revisiting the strategic context	Was the investment needed?		
		Did anything change in the project environment that rendered the original project objectives unsound?		
		Have commissioners continued to support the project?		
		Were the assumptions made at the appraisal stage borne out by actual experience?		

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Ref	Topic	Key considerations of a PPE	Trust response	Trust RAG rating
		Was the organisation ready (ie cultural readiness) for the investment?		
		What lessons were learned?		
3	The investment decision	Was the decision-making process robust, sound and consultative?		
		Were any important stakeholders overlooked or insufficiently involved during the consultation process?		
		Were the right options identified and assessed?		
		Was the right option chosen?		
		Was the risk analysis valid?		
		Was the costed risk register appropriate and robust in practice?		
		Was the affordability analysis robust?		
		Could the decision-making process have been improved?		
		What lessons were learned?		
4	Procurement	Was the procurement based on a framework?		
		Was the framework appropriate for the project?		
		Did the framework provide value for money?		

SECTION 2: POST COMPLETION REVIEW

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		Did use of the framework reduce conflict between supplier and client (the trust)?		
		Did the framework enable and encourage co-operative working across all stakeholders?		
		Was the procurement conducted robustly and in accordance with all relevant procurement guidelines?		
		Was the bidding process competitive?		
		Was the contract negotiated and managed robustly and properly?		
		Could any steps have been taken to improve the procurement process?		
		What lessons were learned?		
5	Project management and implementation	Was the project and implementation conducted and managed effectively and properly (including communication and consultation with staff and other stakeholders, management of suppliers, contract, benefit realisation, evaluation)?		
		Was the project brief adequate and appropriately signed off before issue?		
		Was change management well managed and documented in terms of design and design creep?		

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		Was the trust board kept apprised in a timely manner of progress and any pressures developing during the project?		
		Was the project team appropriate for the project and adequately resourced?		
		Has the expertise and experience gained from the execution of the project been retained within the trust for the benefit of future projects?		
		What lessons were learned?		
6	Benefits management	Was the need for benefit management recognised?		
		Were benefits identified properly?		
		Were suitable plans made to effect their realisation?		
		Were benefits monitored and assigned to appropriate managers or business units?		
		Was timing for their delivery correctly assessed?		
		Were appropriate targets sets for benefits?		
		Were the cash and non cash-releasing benefits delivered in line with the approved business case?		
		Were the risks to benefit delivery identified and properly assessed?		

SECTION 2: POST COMPLETION REVIEW

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		What lessons were learned?		
7	Organisational impact and change management	What support was provided by senior management in preparing for implementation of the project?		
		Was change managed properly?		
		Was design sign-off in relation to construction schemes robust and well informed?		
		Was appropriate support and training provided?		
		Was change communicated effectively?		
		Was the consultation process effective and sufficiently comprehensive?		
		What lessons were learned?		
8	Outcome and impact	What were the direct and indirect outcomes from the project?		
		Were there any undesirable outcomes?		
		What impact did the project have on the organisation sponsoring the project?		
		What impact did it have on staff?		
		What impact did it have on commissioners?		
		What impact did it have on patients/ service users?		

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		What impact did it have on other stakeholders (including non-NHS organisations) in the local health economy?		
		How do the actual outcomes compare with those envisaged in the original business case?		
		How do outturn costs, benefits and risks compare with those assumed and estimated in the original business case?		
		How does the timing of the various outcomes compare with what was assumed in the business case?		
		What was the process by which outcomes were achieved?		
		What lessons were learned?		
9	Lessons for future projects	With the benefit of hindsight, would other options have met the project objectives?		
		Would you have chosen the same preferred service solution?		
		Would you have managed the procurement process in the same way?		
		Would you have used the same framework for the project?		
		Would you have implemented the project in the same way?		

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		Is there anything that you would have done differently?		
		Were specialists engaged at an early enough stage in the project and were business cases robust from the outset?		
		Were the approving bodies – DHSC/NHS England, etc – involved at an early enough stage in the process to avoid abortive work or the need to resubmit the various business cases due to the approvers' needs and requirements not being met?		
10	Post-occupancy evaluation (POE)	Has a post-occupancy evaluation (POE) been carried out?		
		Has the POE been shared with the project team to assist with future schemes?		
		Have the records relating to the project been collated and securely filed for future reference when preparing new schemes or projects?		
		Has the design and construction team provided relevant information to the trust to help future schemes and the day-to-day management of the facility?		
		Are stakeholders satisfied their comments on design have been correctly interpreted?		
		Does the new facility function as it was envisaged?		

SECTION 2: POST COMPLETION REVIEW

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		Are there any fundamental design issues that need to be resolved?		
		Where shortcomings have been identified, has the cause been evaluated to avoid problems in future projects?		
		What lessons were learned?		
11	Approvers' input	Was the input from and engagement with the various approvers timely, clear and supportive?		
		Did the approvers clearly explain their expectations and required deliverables?		
		What lessons were learned?		
		Were business case approval conditions clear and concise?		
12	External support	Was external support adequate?		
		Was the brief to the external support appropriate to ensure the trust's needs were met?		
		What lessons were learned?		

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