

Introduction to BS 11000 and the Link to PPC 2000

This paper provides an overview of BS 11000 'Collaborative Business Relationships'. This paper does not attempt to describe the benefits of collaboration - as readers of this publication will, no doubt, have already sought and, hopefully, experienced them. Thus, the paper describes its genesis, outlines its structure, explains its core requirements and highlights key similarities/differences with the PPC/TPC contracts.

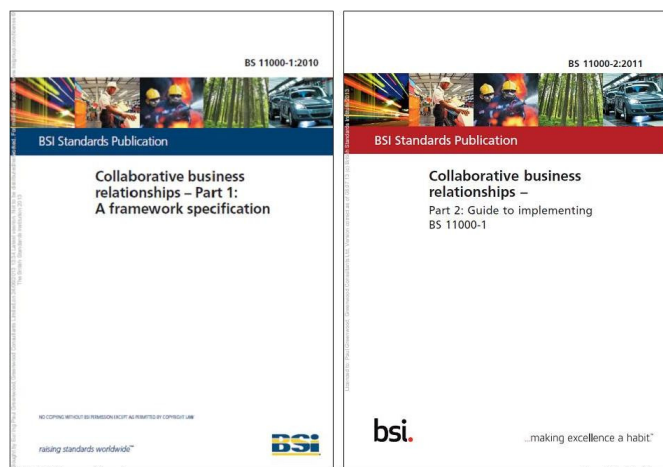
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Introduction

BS 11000 provides "a strategic framework to establish and improve collaborative relationships in organisations of all sizes", from concept to disengagement, and is the first national standard of its type. BS 11000 has two parts: Part 1, a 'Framework Specification' (the Standard) and Part 2, a 'Guide to Implementing BS 11000-1' (the Guide).



The Standard includes both a change programme for the development of a collaborative relationship and a system for managing it. It provides a basis for gap analysis and, in a similar manner to the PPC/TPC contracts, reduces the risk of collaboration and time to implement, whilst improving the probability of success.

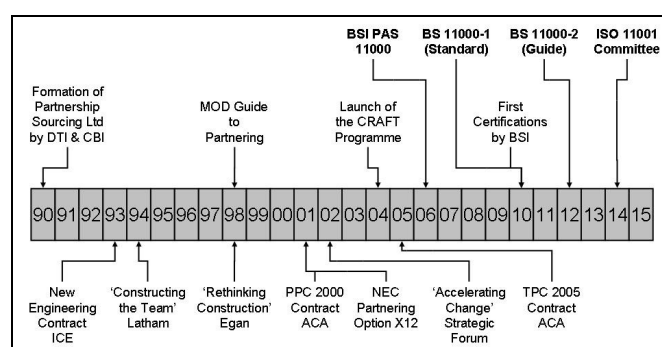
The Standard is flexible and may be applied across a variety of relationship topologies. For example, by a client and its consultants and constructors on a single programme/project; by a client and contractor in a relationship managing a portfolio or undertaking multiple programmes/projects; or by a constructor managing their supply-chain. However, its application is based upon the premise that collaborative relationships will only be established "where collaboration can open new strategic opportunities" or provide "potential for improvement" that would not otherwise be available.

Background

The Standard has its genesis in the early 1990s. Whilst construction was searching for a better way of working, with the publication of the NEC and 'Constructing the Team' (Latham), the DTI (now BIS) and the CBI established a JV to help

businesses develop effective partnered relationships. The JV facilitated partnerships and developed a range of tools, techniques and processes that became the CRAFT framework (Collaborative Relationship Assessment Fulfilment Transformation). Subsequently, CRAFT was published, as a publicly available specification, PAS 11000, in 2006.

PAS 11000 was first adopted in the traditionally challenging aerospace and defence contracting sectors. An assessment and certification process was trialled and, shortly after the publication of BS 11000-1, in 2010, a group of pilot organisations were certified to the Standard, by BSI.



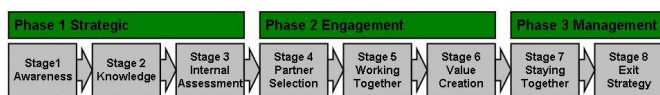
The Standard has since been applied extensively in the rail sector and is rapidly being adopted for major facilities management frameworks.

Compatibility with Collaboration in Construction

Anyone who has been involved in applying the tenets of 'Rethinking Construction' (the Egan Report) via PPC/TPC contracts will recognise many of the hard systems tools, techniques and processes that are embedded in the Standard; such as those for risk, value and performance management. Such tools, techniques and processes are compatible with, for example, the Strategic Forum Integration Toolkit and the Housing Forum Partnering Toolkit.

However, the Standard seeks to influence such 'soft' items as leadership, behaviour and competencies for collaboration, at a much earlier stage than most frameworks (if mentioned at all) - before any commitment to a particular procurement programme or form of contract.

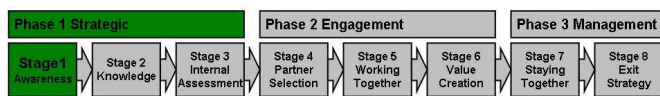
The Framework



The Standard's framework consists of three Phases (Strategic, Engagement and Management) and eight Stages, ranging from Awareness (Stage 1, an initial exploration of the potential benefits of collaboration) through to Exit Strategy (Stage 8, the rules for disengagement).

The Standard contains detailed 'requirements' - they are often more detailed than customary management system specifications, e.g. ISO 914/18001. The Guide describes potential methods of implementing each requirement and shows how these fit together as mini-processes within each Stage. In practice, businesses may find it more appropriate to adopt a gateway approach, ensuring that all requirements in a Stage are satisfied before the end of it, rather than following the strict linear process shown in the Guide.

Awareness



In this opening Stage, the business reviews its objectives and explores the potential benefits and opportunities of collaboration.

The Standard requires that the business: establish its awareness of collaborative working; develop its policy for collaboration; identify its strategic objectives and where these may be enhanced by collaboration; and identify the potential benefits that may arise. With the initial direction and commitment established, the business is required to analyse its current/potential relationships to find out where collaboration may provide additional benefits or open new strategic opportunities.

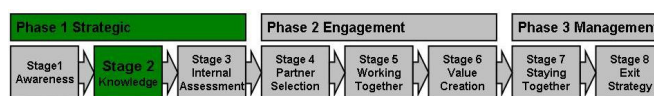
To many people, this is a conventional strategic approach. Where the Standard may now differ is in its early focus on: having competency models in place (that will assure collaborative behaviour); identifying the key staff and their roles in potential collaborative initiatives; and ensuring that such

individuals have appropriate skills to support collaboration.

The Standard requires the business to undertake risk assessments for the potential relationships. Again, this is quite conventional, but it also requires early consideration of competency and cultural aspects.

Finally, the Standard requires the business to: prioritise and plan for each significant relationship identified; and to establish procedures, a Relationship Management Plan (RMP) and other documentation.

Knowledge



In this Stage, the business builds its knowledge in order to be able to evaluate the potential opportunities, identified above, and to develop a specific implementation strategy for each of them.

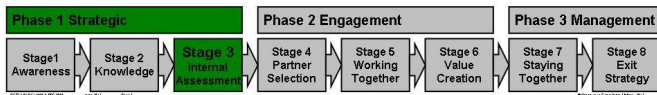
The Standard requires that procedures be in place to capture and manage knowledge and, particularly, to establish what knowledge is to be shared with, or to be protected from transfer to, collaborative partners.

The Standard then sets out detailed requirements for the development of the strategy and business case for each opportunity - including consideration of an initial exit strategy, i.e. the rules for disengagement.

At this stage, the Standard also defines more detailed requirements for ensuring appropriate competencies and behaviours are in place and for establishing and maintaining the risk management process.

From this point forward through the framework, each Stage requires that the RMP be reviewed and updated to capture the outputs of this stage.

Internal Assessment



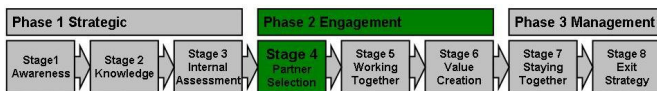
In this Stage, the business undertakes an assessment of its capability and readiness to successfully engage in a collaborative relationship. This is important in order to understand further development needs and to establish the fit required with a potential partner.

Thus, the Standard requires the business to carry out a structured assessment of its strengths and weaknesses, starting at executive level, and then to establish a collaborative profile. Typically, the profile will be in the form of a management 'maturity' grid, highlighting gaps where, for example, additional staff development or recruitment, may be required.

The business can now start to map out, and the Standard requires that, a profile of a potential partner is established, as a basis for future selection for a particular collaborative opportunity. This must be accompanied by an internal action plan to carry the business through the next Stages.

It is at this Stage that the Standard introduces a general requirement for senior executive review of the collaborative relationship management system. This is analogous to the conventional Management Review requirement in ISO 9/14/18001.

Partner Selection



In this Stage, the business implements a structured approach to the identification, evaluation and selection of a partner, or partners, for each collaborative opportunity. This is, perhaps, the first Stage where anyone working in a traditional construction regime will recognise a similarity with their conventional design, procure and construct process.

The Standard requires the business to nominate potential collaborative partners and evaluate their profiles against the collaborative profile developed in the previous Stage. In a traditional construction regime, this would be the pre-qualification process.

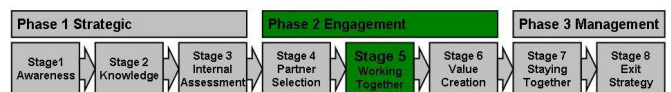
The Standard continues with partner evaluation and selection; requiring the establishment of 'partner selection action plans' based upon the partner selection criteria developed in the previous Stage. In a traditional construction regime, this is would be the a tender planning process.

The Standard then breaks from a traditional construction regime and requires the structured development of common/joint objectives - based upon the objectives of the initiating business and the requirements of the new collaborating partner. We are now clearly converging with the PPC/TPC ethos.

The Standard continues with the requirement for the business to "establish a negotiation strategy to facilitate collaboration and instigate this based on the business strategy, objectives and partner evaluation and intended principles for working together." So now a clear intersection with the tasks undertaken during the PPC/TPC selection and pre-construction phases.

Finally, the Standard requires that the collaborative partner is selected (based upon the overall evaluation, including partner selection criteria and negotiations) and appropriate principles and arrangements agreed. Note, the similarity with establishment of a PPC/TPC Project Partnering Agreement.

Working Together

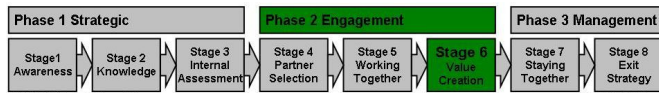


In this Stage, the initiating business and the new collaborating partner together establish a joint platform for collaborative working.

Thus, the Standard contains requirements for establishment of: governance, organisation, knowledge management, communications management, risk management, business process management, contracting arrangements, performance measurement, monitoring and continual improvement. This reads like the pre-construction phase tasks in a Partnering Timetable - showing the close compatibility with the PPC/TPC ethos and contractual processes.

This Stage closes with the repeating section on development and updating of the RMP, first mentioned at Stage 1, including a requirement for an 'intervention process, including issue resolution'.

Value Creation

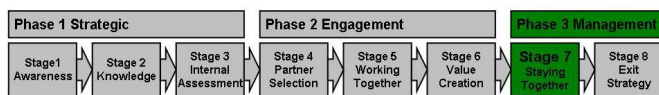


In this Stage, the partners define how they will create additional value from the collaborative relationship through continual improvement and innovation.

The Standard requires the establishment of: a value creation programme (including definition of what is 'value' to the partners); performance indicators and specific improvement targets; and an improvement team to execute the programme. Again, this has parallels with the value engineering and continual improvement programmes embedded in PPC/TPC Partnering Timetables and contractual processes.

Finally, the Standard requires the establishment of a learning process to capture knowledge and lessons from within/without the relationship and an innovation process that generates value-adding ideas for evaluation and, if appropriate, for implementation. On a PPC/TPC project, with all structuring, planning and preparation now complete, the Commencement Agreement would be signed.

Staying Together



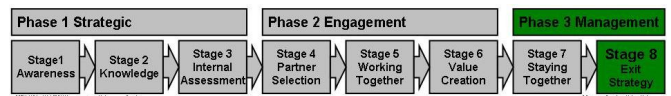
In this Stage, the partners now implement the agreed arrangements, jointly managing the relationship and creating value for each partner.

Here the Standard requires: ongoing management, ensuring that each partner operates their part of the agreed governance process; joint monitoring and measurement of the relationship; maintenance of behaviours and trust; delivery of measurable performance; and the creation of additional value through improvement and innovation. Again, this

is familiar to those who have operated PPC/TPC's contractual processes as they were intended.

Finally, the Standard requires the operation of a joint issue resolution procedure, with appropriate escalation, and the periodic review of the joint exit strategy, which is described in the following Stage.

Exit Strategy



In this final Stage, the partners jointly define the rules for disengagement, recognising that relationships, like the business environment, are subject to change. Early definition of such rules, recognises potential trigger points, ensures clarity of arrangements and, subsequently, helps assure the long-term value of the relationship to each partner after disengagement.

The Standard requires the joint management team to establish and maintain a joint exit strategy. The exit strategy must take into account: the planned end of the relationship or the premature exit of one party; the potential affect of exit upon other internal and external stakeholders; arrangements for business continuity; and, if necessary, the need for an orderly transition to another partner.

A joint exit strategy is contemplated during the pre-construction phase of a project under PPC and by joint review at any time under TPC, so as to ensure orderly disengagement of partners in line with the Standard.

The Author

Paul Greenwood is Managing Director of Greenwood Consultants, a consultancy facilitating the development of collaborative business and project relationships, performance measurement and improvement, and management systems in construction businesses and on their projects.

Paul is an Egan pioneer and veteran member or facilitator of a dozen Constructing Excellence and Housing Forum Working Groups and Demonstration Projects focussing on: collaborative working, regeneration and sustainability, KPIs and benchmarking, etc. He is an Accredited BS 11000 Collaborative Relationships Facilitator.

References

- BS 11000-1:2010 'Collaborative Business Relationships - Part 1: Framework Specification', British Standards Institution, 2010.
- BS 11000-2:2011 'Collaborative Business Relationships - Part 2: Guide to Implementing BS 11000-1', British Standards Institution, 2011.
- 'Raising the Standard for Collaboration', David E Hawkins, The British Standards Institution, 2013.
- 'Collaborative Working: The Principles', Constructing Excellence, June 2011.
- 'Integration Toolkit', Strategic Forum for Construction, 2004.
- 'Partnering Toolkit', Housing Forum, 2004.

Useful Links

- See the presentation 'BS 11000 and the Link to PPC 2000', that was given to the ACA PPC/TPC Steering Group:
<http://www.slideshare.net/GreenwoodConsultants/bs-11000-and-the>
- Purchase a copy of BS 11000-1:2010:
<http://shop.bsigroup.com/en/ProductDetail/?pid=000000000030212011>
- See potential BS 11000 Certification Bodies:
<http://www.bsigroup.co.uk/en-GB/our-services/certification/how-to-get-certified/>
<http://www.lrga.co.uk/standards-and-schemes/quality/bs11000.aspx>
- See the Greenwood Consultants website:
<http://www.greenwoodconsultants.com/>

PPCTPC User Groups

A PPC/TPC User Group, consisting of active users of the ACA/ACE Project Partnering Contracts PPC2000, SPC2000 and TPC2005 in a wide variety of projects, was formed in London in 2003, is administered by the ACA and has been meeting regularly ever since.

Objectives set by the now renamed PPC/TPC Steering Group are:

- to provide forums for networking and mutual support to other users
- to gather hard data on how PPC2000, SPC2000 and TPC2005 are being used, through the exchange and discussion of practical experience in order to develop the contracts effectively
- to promote good practice in the use of PPC2000/SPC2000/TPC2005 - all now in Amended 2008 versions with PPC in a 2013 version
- to hold an annual conference and maintain links with registered users through User Group newsletters

By 2006 a further 10 regional groups had been set up around the UK. Users of any of the ACA/ACE project partnering contracts are invited to join one of these regional groups - the application form can be used below. The PPC/TPC Steering Group sets policy for regional group operation and is responsible for the PPC/TPC User Group Newsletters and any conference/workshop or training developments. Further information with back issues of Newsletters can be found at www.ppc2000.co.uk

Members the PPC/TPC Steering Group at 2013 are: *Shane Hughes – Savills– Chair; Alison Low – Association of Consultant Architects; Marian Burke – Moat Housing; Francis Brown – PRP Architects; Christian Carlisle – Circle Housing; Paul King – Rider Levett Bucknall; David Mosey – Kings College London; Kevin Murray – Ministry of Justice; Paul Nicholls – United House; Gerry McNerney – Vinci; Jonathan Oxlade – Hackney Homes; Kim Newman – PML Group; Jason Russell – Surrey County Council; Peter Sharman – Mulalley; Antony Silk – Amicus Horizon; Tyron Stalberg – MITIE; Neil Thody – Cameron Consulting.*

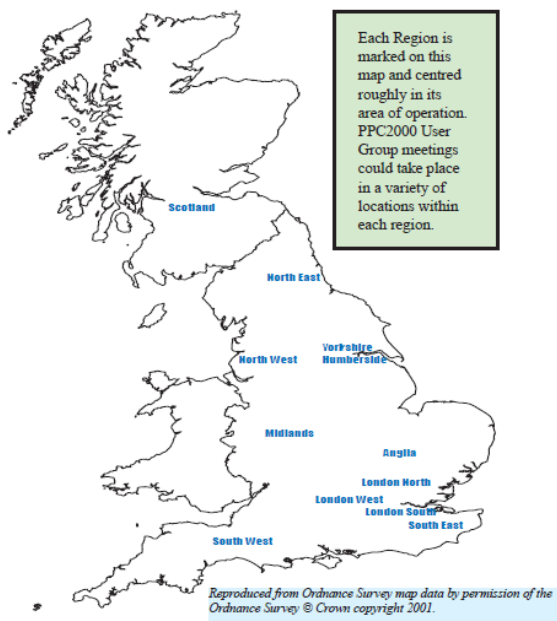
PPC/TPC User Group Subscription Form - 2013

I wish to join the following PPC/TPC User Group

Tick the User Group of your choice

(the usual location for meetings is included in brackets where appropriate)

- ☐ South West England (Yeovil)
- ☐ South East England (Sittingbourne)
- ☐ London North
- ☐ London West
- ☐ London South
- ☐ Midlands (Birmingham)
- ☐ Yorkshire & Humberside (Leeds)
- ☐ North West England (Bolton)
- ☐ North East England (Newcastle upon Tyne)
- ☐ Scotland (Glasgow)



Please send this form with your subscription fee to:
Alison Low, Coordinator PPC/TPC Steering Group
c/o ACA, 60 Godwin Road, Bromley, BR2 9LQ
Tel/Fax: 020 8466 9079
Email: ppcug@acarchitects.co.uk

My subscription entitles me to:

- 12 months membership of a PPC/TPC User Group with free access to any organised regional meetings if organised
- Access to contact details of any other PPC/TPC User Group member either in your region or nationally (you can opt out of this if required)
- All mailings, by post or email - including Newsletters - from the PPC/TPC User Steering Group
- 15% discount on any PPC/TPC and related documents supplied mail order direct from ACA Publications
- Membership discounts at any events held during the year by the PPC/TPC Steering Group such as the Annual Conference

Name

Company

Address

Tel Fax

Email Date

Membership is by individual but can be transferred within the same company if necessary. *Upon receipt of this form and the subscription fee, you will be sent full details of your regional User Group coordinator and your subscription will run for 12 months from the 1st of the month following receipt of your registration.*

- ☐ I enclose a subscription fee of £50.00 (No VAT due). Cheques to be made payable to: 'ACA' - an invoice will be sent (BACS payments can also be made - enquire of the PPC/TPC Steering Group Coordinator at address above)

PPC/TPC Steering Group

The PPC/TPC Steering Group consists of experienced user members of PPC2000, SPC2000 and TPC2005. The inaugural group formed in 2003 for discussion, support and future development of these project partnering contracts. The PPC/TPC Steering Group sets policy and supports the regional user groups and has editorial control over the PPC/TPC newsletters.

At December 2013, members of the PPC/TPC Steering Group are:

Shane Hughes - Savills - Chair
Alison Low - Association of Consultant Architects
Rosemary Beales - Association for Consultancy and Engineering
Francis Brown - PRP Architects
Marian Burke - Moat Housing
Christian Carlisle - Circle
Paul King - Rider Levett Bucknall
Assad Maqbool - Trowers & Hamlin
Jonathan Oxlade - Hackney Homes
Garry McNerney - Vinci Facilities
David Mosey - Trowers & Hamlin
Kevin Murray - Ministry of Justice
Paul Nicholls - United House
Kim Newman - PML Group
Sally Partridge - Association of Consultancy and Engineering
Jason Russell - Surrey County Council
Antony Silk - Amicus Horizon
Peter Sharman - Mulalley & Co Ltd
Tyron Stalberg - MITIE
Neil Thody - Cameron Consulting

Steering Group Coordinator & User Group Enquiries

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Jenny Jackson, Harlow Associates
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Membership Structure 2013

PPC/TPC User Groups inaugurated in January 2005 and have developed subsequently according to member requirements. The current structure is as follows:

Any individual using PPC2000, TPC2005 or SPC2000 or intending to use these contracts can register for membership of the PPC/TPC User Groups. Upon registration each member is allocated a 'region' and sent details of this membership structure.

Each region has a coordinator who is the communication link between the Steering Group based in London and that region. Members are given the contact details of their coordinator at joining. The Regional Coordinators liaise when necessary with the Steering Group Coordinator who in turn manages the user group network overall.

Members through their regional coordinator or Steering Group Coordinator can:-

1. Organise and set up meetings with or without speakers as required. Members are expected to offer premises for meetings at no cost to other members and meeting venues should therefore rotate. However, a small charge for speakers can be levied with the coordinator's agreement if this is appropriate.
2. Communicate with other members in their region or any member of the national network of PPC User Groups by obtaining a contact list from the Steering Group Coordinator. This option allows members to share and discuss partnering matters under PPC/TPC/SPC freely. Any member not wishing to be contacted should opt out directly with the Steering Group Coordinator.
3. Only User Group members will be given details of other members in the User Groups and these details will only extend to name, company, contact telephone and email.

Further benefits of User Group membership:-

4. The option to make active use of the www.ppc2000.co.uk website - a 'members only' section will be included if required.
5. Periodic receipt of a PPC/TPC User Group Newsletter or Newsheet keeping members up to date with developments in the use of PPC/TPC/SPC and partnering generally.
6. Discount of 15% on any Partnering contract purchased directly from ACA - see order form on the www.ppc2000.co.uk website.
7. Discount at the PPC/TPC User Group annual conference. This discount amounts to almost the annual membership fee to the User Groups.

The Annual Conference is the general meeting for all User Group members held in October each year at a variety of locations throughout the UK.