

DEPARTMENT OF EDUCATION

**CAPITAL PROGRAMME – PROCESS OF DETERMINING
ALLOCATIONS**

September 2002

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1 Introduction

- 1.1 This document provides guidance for school authorities¹ on the process within the Education Service for determining the annual capital programmes for both “conventional” and PPP funding. It sets out the roles and responsibilities in progressing schemes from identification by a school authority through to allocation of funds and details the process and criteria that operate.
- 1.2 There are many schools in need of major works and a substantial backlog exists. Resources, whether conventional capital or PPP, are limited and so major works schemes must compete (on the basis of educational need) for these centrally held funds. Funds are allocated annually through the conventional and PPP programmes. To be considered for allocation, a scheme must appear on a Contenders List and, in the case of PPP, be part of a PPP cluster of schemes. There are two Contenders Lists – one for conventional funding and one for PPP. To be included on a Contenders List, schemes must have undergone various steps including the approval of certain formal planning stages.
- 1.3 Some capital schemes arise as a result of development proposals. This document deals with development proposals only as they affect the process of determining capital programmes. Advice and guidance on the development proposal process itself can be obtained from Development Branch in Rathgael House, Bangor.
- 1.4 In the main, this guidance documents the practice of the past and confirms various criteria used at different points in the process. The guidance will continue to apply to all future programmes but may be amended from time to time by the Department and revisions issued.
- 1.5 The timetable provided at Annex F specifies the **latest dates** on which the stages listed may be completed within the capital allocation process cycle. This provides clarity to school authorities in progressing potential schemes. Schemes progress at different rates and it should not be assumed that schemes will necessarily progress from proposal to

¹ School authority means the person or persons who act on behalf of the school in seeking capital funding i.e. ELBs, Catholic Trustees working through CCMS, Trustees/Governors of voluntary schools, Trustees /Governors of maintained schools (including Irish Medium schools).

Ministerial announcement in one 12 month cycle. Schemes may meet the deadlines for particular stages in one year but not progress sufficiently to be included in a Contenders List until the next year. Unsuccessful schemes from one year's capital allocation cycle are generally carried forward to the next year's Contenders List (and included on the Capital Priorities Planning List).

2 Roles and Responsibilities

2.1 School authorities have the primary responsibility to undertake the planning and development work necessary to ensure that their highest priority schemes (or scheme) are included on the Contenders Lists for consideration by the Minister.

2.2 The role of the Department and the Minister is to ensure that proposed schemes are justified and that funds are allocated according to educational need within available resources. The Department and Minister fulfil this role by:

- publishing the Schools Capital Priorities Planning List, which lists schemes recognised as major works under various categories of prioritisation;
- approving economic appraisals and planning stages;
- assessing and approving development proposals; and
- approving the allocation of funds to schemes from the Contenders Lists according to educational need within available resources.

2.3 The Education Committee advises and scrutinises the work of the Minister and Department in the operation of this process.

2.4 Annex B sets out roles and responsibilities in more detail.

3 Process

Inclusion of Schemes on Schools Capital Priorities Planning List

- 3.1 New schemes for possible inclusion on the Department's planning list are identified by school authorities. When requested, the Department and school authorities will assess a potential scheme, usually through a condition questionnaire followed by a site meeting. If approved, the scheme is designated a priority classification and can be included on the Schools Capital Priorities Planning List. The deadline for approval and inclusion on the annual Schools Capital Priorities Planning List is 31 May. Given that site meetings would have to be completed before this date, notification of schemes should be as early as possible.
- 3.2 However, at 31 May school authorities may have identified other schemes for possible inclusion on the list but for which Departmental approval has not yet been obtained. Accordingly, school authorities should notify the Department in writing of potential major work schemes where funding is sought. This will include both those schemes where Departmental approval for inclusion in the Schools Capital Priorities Planning List has been obtained and those which have not, but which the school authority wishes the Department to consider for inclusion.
- 3.3 The Department will compile a new Schools Capital Priorities Planning List, consult with the Education Committee and publish it on the DE website by 31 July. Additionally the Department will also publish on its website a list of those schemes under consideration for inclusion in the Schools Capital Priorities Planning List. This is the key document through which the Department will publish an annual composite picture of the major works schemes required in the Education Estate. This lists (by priority category) the schemes presented by school authorities and which are recognised by the Department, at that point in time, as warranting appraisal or planning.

Prioritisation of Schemes for Inclusion on Next Contenders List

- 3.4 Annex C sets out the criteria for determining whether a scheme will compete for conventional or PPP funding. School authorities will be advised on approval of the Economic Appraisal² whether the scheme is to compete for conventional or for PPP funding. There should be no formal planning of schemes competing for PPP after completion of the Economic Appraisal.
- 3.5 Ordinarily when a scheme is designated to compete for conventional funding it will continue to do so until successful and similarly for PPP schemes. Occasionally it may be desired to re-designate a conventional scheme to PPP or vice-versa. In general the Department will not agree to this as a transfer from conventional to PPP will result in planning effort being wasted and from PPP to conventional will result in a scheme being excluded from consideration for a period. It is therefore essential that where school authorities wish to discuss the re-designation of a scheme as conventional or PPP it does so when advising of its priorities (ie at 30 June – see paragraph 3.6) or on completion of the Economic Appraisal. The Department will then discuss the designation of the scheme with the school authority and, if appropriate, re-designate the scheme.
- 3.6 School authorities having more than one scheme should notify the Department in writing by 30 June of their priorities for inclusion in the forthcoming Contenders Lists. Such priorities should be capable of meeting the necessary requirements for inclusion on the Contenders Lists (see Annex D below) in time and generally will be included on the Schools Capital Priorities Planning List. Exceptionally, priorities may include potential schemes which at 31 May are under consideration for inclusion in the Schools Capital Priorities Planning List.
- 3.7 School authorities having only one scheme for the Contenders List (as will generally be the case with voluntary grammar schools, GMI schools, Irish Medium and non-Catholic maintained schools) do not need to identify priorities.

² The economic appraisal is a major planning stage in the life of a scheme and determines the recommended option for the scheme.

- 3.8 When confirming priorities, school authorities should rank their priorities starting with Category 1 schemes, then Category 2 and then Category 3. Some of these schemes may have been on previous Contenders Lists whilst others may still need to progress through the required planning stages. School authorities with responsibility for more than one school should ensure that they provide sufficient priorities whilst meeting the requirements of paragraph 3.6.
- 3.9 Schemes cannot be on both PPP and conventional Contenders Lists (subject to paragraph 3.17). By 31 July the Department will advise school authorities having priorities that are expected to be on the Contenders Lists whether the schemes are to compete for conventional or PPP funding.³ The Department will also circulate to those school authorities having schemes for the PPP Contender List the complete list of the expected PPP contenders based on the information supplied to the Department. The Department will provide an indication of the likely limit on the total value of clusters in the forthcoming PPP programme. This will assist school authorities in the development of PPP clusters (see paragraph 3.13 ff).
- 3.10 Occasionally, a scheme that was not included in a school authority's priorities at 30 June may nonetheless meet the criteria for inclusion in a Contenders List (see below). In such cases, the Department will advise whether it is to compete for conventional or PPP funding on completion of the economic appraisal.

Contenders Lists

- 3.11 To be included in a Contenders List, a scheme must meet the criteria set out in Annex D by 31 January each year – the cut-off date. It is the responsibility of school authorities to ensure that their identified priorities meet these requirements in time.
- 3.12 Economic appraisals relating to schemes for the Contenders Lists should be submitted to the Department for approval by 31 October each year at the latest and be of satisfactory quality. If economic appraisals submitted to the Department for approval contain significant errors and omissions, they may be returned to the school authority for

³ For those priorities with approved Economic appraisals, the Department will have previously advised on approval of the appraisal which funding route is to apply. For other priorities, the Department will advise at this point, its indicative assessment of the funding route – to be confirmed on completion of the economic appraisal.

revision and re-submission. For the purposes of Annex F, the re-submission date will be the relevant date. Where development proposals are required the date of publication of the proposal should be no later than 1 October to allow sufficient time for the statutory process and Ministerial decision prior to the following 31 January.

PPP Clusters

- 3.13 Clustering of PPP schemes is necessary to ensure that best value for money is obtained through private sector competition and to ensure that the public sector's PPP procurement expertise is focused on a small number of PPP projects rather than thinly spread over a large number of smaller projects. Thus competition for PPP funding is between clusters which consist of schemes on the PPP Contenders List.
- 3.14 School authorities having schemes competing for PPP funds are responsible for identifying potential PPP partner school authorities in order to present clusters for competition for PPP funding which are of sufficient size (exceeding £25m but less than £45m)⁴ and have sufficient priority of educational need (see Annex E). The Department will assist school authorities in whatever way it can to develop such clusters but the responsibility rests with the school authorities. (School authorities will be provided with expected PPP Contenders Lists by 31 July – see paragraph 3.9) The relevant school authorities presenting a cluster for competition for PPP funding should do so jointly in writing to the Department by 31 January each year. Only clusters consisting of schemes on the PPP Contenders List will be considered and so all schemes in the cluster must have met the criteria for the PPP Contenders List by 31 January each year.

From Contenders List to Announcement

- 3.15 After the cut-off date (ie in February) the Department will publish the Contenders Lists on its website and consult with the Education Committee. It will make its assessment of the criteria for selection (Annex E) both in relation to conventional schemes and PPP clusters. Where a school authority has more than one scheme on the Contenders Lists being considered for allocation of funding, the Department will discuss its assessment of these schemes with the school authority. The Department will also publish the date on

⁴ Based on economic appraisal costs

which the programmes are to be announced and the Minister will make the announcement of the programmes (which will be published on the DE website). This is generally expected to be in early March.

- 3.16 On the day of the Announcement the Department will advise all school authorities who have schemes on the Contenders Lists of the outcome of the allocations. School authorities having more than one priority should advise the relevant schools as necessary.

Transitional Arrangements

- 3.17 The allocation process set out in this guidance formalises separation of PPP schemes from conventional schemes through separate Contenders Lists for conventional and PPP Funding. As a transitional arrangement the Department will allow schemes that have appeared on Contenders Lists before 2003 to continue to compete on both conventional and PPP Contenders Lists in the future. Other schemes (ie in planning but not on Contenders List previously) will be subject to the criteria outlined in this document.

Glossary

Schools Capital Priorities Planning List	The list of schemes presented by school authorities and recognised by the Department as warranting appraisal or planning. The list comprises schemes that have not been allocated funding. Schemes may be at any stage in the appraisal/planning process ie at feasibility stage or advanced planning. The list is divided into five categories of priority (see below and the published Schools Capital Priorities Planning List on the DE website). Due to the extent of the backlog in capital works, appraisal and planning is restricted to Categories 1-3. Categories 4 and 5 cannot be considered at present.
Category 1	The highest prioritisation category of the Schools Capital Priorities Planning List. This is for additional schools on identified sites or extensions to existing schools where there is clear evidence that there is an <u>unmet demand</u> created by insufficient places to accommodate pupils at suitable schools within a defined area.
Category 2	The second highest prioritisation category of the Schools Capital Priorities Planning List. This is for rationalisation proposals which replace substandard accommodation and <u>are essential to effect the rationalisation</u> (other elements of such projects may be considered for inclusion in Category 3 appropriate).
Category 3	The third highest prioritisation category of the Schools Capital Priorities Planning List. This is for schools which suffer significantly as a result of <u>several</u> serious accommodation inadequacies. This category can include certain additional nursery schools.
Category 4	The fourth highest prioritisation category of the Schools Capital Priorities Planning List. This is for substandard accommodation in schools.

Category 5	The lowest prioritisation category of the Schools Capital Priorities Planning List. This is for overcrowding and undue reliance on temporary accommodation.
Contenders List	The list of schemes that are at the required stage of planning by the due date from which the Minister will select schemes for allocation of funding. In the case of PPP, the Minister will allocate funds to clusters which must consist of schemes on the PPP Contenders List.
Conventional Funding	Non-PPP funding within the Departmental Expenditure Limit
LTE	The Long Term Enrolment of a school as approved by the Department.
NTSN	New Targeting Social Need
RIBA	Royal Institute of British Architects. The RIBA have identified Stages A to L for the conduct of Building Projects. Stage C is “Outline Proposals” and Stage D is “Scheme Design”.

Roles and Responsibilities

School Authorities

- identify proposed major work schemes (ie greater than £300,000) ⁵;
- seek Departmental approval for inclusion of scheme in the Schools Capital Priorities Planning List including priority category classification;
- identify priorities (where more than one) for inclusion in the next Contenders Lists and advise school management teams of their relative priorities;
- undertake feasibility studies, economic appraisals⁶ and, where appropriate, development proposals for schemes;
- undertake appropriate planning on projects designated to compete for conventional funding;
- liaise with other school authorities to identify clusters to compete for PPP funding;
- ensure that all documents etc submitted for Departmental approval are of sufficient quality and submitted on time to meet criteria for inclusion in Contenders Lists;
- advise school management teams of progress as required; and
- fulfil other requirements as detailed in this guidance.

⁵ CCMS consults with and provides support for Trustees in respect of the identification of proposed major work schemes, liaises with the Department and advises Trustees of progress as required.

⁶ The Department prepares economic appraisals on behalf of voluntary and grant maintained integrated schools.

Department of Education

- approves schemes for inclusion in Schools Capital Priorities Planning List including priority category classification;
- approves economic appraisals and relevant planning stages;
- advises the Minister on development proposals;
- determines amount of funding available for conventional programme and PPP programme;
- assesses competing priorities for and advising the Minister on the allocation of conventional funding according to educational need within available resources;
- assesses competing clusters/priorities for and advise the Minister on the allocation of PPP funding according to educational need within available resources; and
- fulfils other requirements as detailed in the guidance.

The Minister specifically:

- considers and approves development proposals; and
- considers, approves and announces allocation for funding for the conventional and PPP programmes.

The Assembly Education Committee

As part of their function to advise, assist and scrutinise the work of the Minister, the Education Committee is specifically invited to consider the Schools Capital Priorities Planning List and the Contenders Lists prior to the determination of the allocation of funding.

Criteria for Determining Whether a Scheme Competes under Conventional or PPP Programme

Schemes with any of the following characteristics will compete for PPP funding (unless designated by the Department to compete for conventional funding):

- 1 schemes having an estimated capital cost (at economic appraisal stage) of £5m or greater (and do not have a significant degree of refurbishment and/or extension);
- 2 schemes linked with other schemes meeting the criteria for PPP, eg, through rationalisation, development contingent on the other scheme; or.
- 3 schemes where the school authority opts to compete for PPP and the Department approves.

Schemes with any of the following characteristics will compete for conventional funding:

- 1 schemes having a significant degree of refurbishment and/or extension rather than new build;
- 2 certain phases of schemes (when relevant) that will subsequently compete as PPP schemes, eg site purchase;
- 3 other schemes not meeting the criteria to compete for PPP funding; or
- 4 schemes specifically designated by the Department to compete for conventional funding (eg some Category 1 or 2 schemes).

Criteria for inclusion in the Contenders List

To be included in the contenders list for conventional funding, schemes must:

- A have had an economic appraisal approved by the Department;
- B where required, have had a development proposal approved by the Minister;
- C have received approval from the Department to compete for conventional funding;
- D where the scheme involves post-primary provision, have had RIBA Stage D approved by the Department;
- E where the scheme involves provision for primary or special education, have had RIBA Stage C approved by the Department;
- F be ready at the cut-off date (31 January) to proceed towards tender without interruption (eg without being delayed due to another scheme's progress); and
- G have the relevant site acquired and vested where appropriate.

Certain elements of schemes, eg sites, may also be included as stand alone elements on the Contenders List but the scheme itself must meet A, B and C above.

To be included in the contenders list for PPP funding, schemes must:

- A have had an economic appraisal approved by the Department;
- B where necessary, have had a development proposal approved by the Minister;
- C have received approval from the Department to compete for PPP funding; and
- D have the relevant site acquired and vested where appropriate.

Criteria for Selection of Programme from Contenders Lists

The constraining criterion is affordability. For the conventional programme this relates both to the overall size of the programme announcement and the profile of projected spend in each year. The amount of available funding can only be determined around February. For the PPP programme, the affordability is set by reference to the limit on the total value of clusters. Whilst the actual limit can only be identified in February each year an indicative amount will be advised with the circulation of the potential PPP Contender List (see paragraph 3.10).

The main criterion is educational need. The Department assesses educational need according to the following priorities:

- 1 Category 1 projects
- 2 Category 2 projects
- 3 Category 3 projects which are themselves prioritised on a combined assessment of the following factors (in order of weight):
 - suitability for educational use;
 - physical condition;
 - proportion of temporary accommodation; and
 - other factors such as contribution to PSA/SDA⁷ targets, NTSN objectives, dispersion of resources, cross-cutting initiatives.

These priorities and factors are applied to determine which conventional schemes and which PPP clusters should succeed in the competition for funding. In the case of PPP additional factors include the value of the bundle and the coherence of the bundle for the purposes of managing procurement and delivery.

⁷ Public Services Agreement/Service Delivery Agreement

Where schemes are competing for PPP funding by virtue of being linked with other PPP schemes through development contingent on such other schemes, the linked schemes should be included in the same cluster.

In assessing the “Suitability” factor of a scheme the Department considers:

- the extent of shortfall of classrooms
- the extent of undersized classrooms;
- the extent of storage areas;
- the extent of resource areas;
- the extent of halls;
- the suitability of specialist accommodation;
- dining arrangements;
- the provision of ancillary spaces, toilets etc;
- layout and circulation space;
- the site;
- pitches and hard and soft play areas; and
- vehicular access including car parking.

In assessing the “Condition” factor of a scheme the Department pays regard to:

- health and safety issues; and
- the general condition of:
 - external walls;
 - roofs;
 - windows;
 - door/internal partitions;
 - floors;
 - ceilings;
 - electrical services; and
 - mechanical services.

Timetable

- | | |
|------------|--|
| 31 May | <ul style="list-style-type: none">- Cut-off date for schemes to be included in Schools Capital Priorities Planning List (para 3.1)- Last date for school authorities to notify Department of potential schemes (para 3.2) |
| mid-June | <ul style="list-style-type: none">- DE consults with Education Committee on Schools Capital Priorities Planning List (para 3.3) |
| 30 June | <ul style="list-style-type: none">- last date for school authorities having more than one scheme for Contenders List to notify Department of priorities, including schemes opted for PPP funding (para 3.6) |
| 31 July | <ul style="list-style-type: none">- Annual Schools Capital Priorities Planning List published (para 3.3)- Department notifies school authorities (as relevant) as to which priorities are to compete for conventional funding and which for PPP funding, expected PPP contenders and indicative limit on PPP programme (para 3.9) |
| 1 October | <ul style="list-style-type: none">- Cut-off date for publication of proposals relating to schemes to be included in Contenders Lists (para 3.12) |
| 31 October | <ul style="list-style-type: none">- Last date for submission of economic appraisals relating to schemes to be included in the Contenders Lists to the Department for approval (para 3.12) |
| 31 January | <ul style="list-style-type: none">- Cut-off date for schemes to meet criteria for inclusion in Contenders Lists (para 3.11 and Annex D)- Cut-off date for school authorities to jointly notify the Department of cluster to compete for PPP funding (para 3.14). |

- February
- Department publishes Contenders Lists on website (para 3.15)
 - Department consults with Education Committee (para 3.15)
- March
- Minister approves and announces Programme (para 3.15)

This Annex details the latest dates by which school authorities should submit the relevant documents to the Department. School authorities should however plan their work to ensure that all the requirements for Contenders Lists are met by the cut-off date of 31 January. This may require submission of relevant documents in advance of these dates.

Capital Allocation Process Guidance Transitional Arrangements to apply on publication

On publication, the Capital Allocation Process Guidance will have immediate effect. As much of the guidance confirms and clarifies the existing process, eg, the preparation of the Capital Priorities Planning List, there are few transitional issues. After the Spring 2003 Announcement the process defined in the Guidance will be fully operational. Prior to this the following transitional arrangements will apply:

- The 31.1.03 cut-off date for schemes to meet the criteria for inclusion on the Contender's Lists will apply. Paragraph 3.17 will be applicable. Annex D will apply with the following modifications.
 - conventional criteria D & E – the schemes must be at an appropriate stage of planning
- The 31.1.03 cut-off date for notifying the Department of PPP Clusters will also apply.
- Other dates in the timetable at Annex F are not requirements for inclusion on the Contender's List and thus apply immediately. The dates represent the latest dates for each stage and the Department will accord priority to schemes meeting these dates.
- Paragraph 3.4 in relation to the designation of schemes as conventional ie PPP at the economic appraisal stage will apply for all economic appraisals being approved after 30 June 2002.
- The Department will notify school authorities as to which priorities are to compete for conventional and for PPP in October and the indicative limit on the PPP Programme shortly after. (Reference paragraph 3.9).
- Paragraph 3.5 indicates that school authorities may seek the re-designation of schemes at the economic appraisal approval or 30 June. In 2002 for the purpose of seeking re-designation, the 30 June date will be replaced by 31 October.

Other than the above the guidance should be considered to be fully operational. If further advice is required please contact John Williamson, Department of Education, Rathgael House, Balloo Road, Bangor, BT19 7PR. Telephone 028 91279793, Email: john.williamson@deni.gov.uk.

**September 2002
Development and Infrastructure Division**

Addendum to Capital Allocation Process

Introduction

The Budget 2002 (Building on Progress) introduced the Strategic Investment Programme (SIP) as a means of addressing the massive infrastructure deficit in Northern Ireland. This programme relies on a variety of means of raising the necessary finance to address the deficit. The Education Service has in effect been contributing to the strategic approach for some time through the use of PPP and conventional means. The SIP endorses this approach.

Equally it is important that the methods of procurement used are appropriate for the circumstances. Such an approach is consistent with both the SIP and Achieving Excellence. Advice to the Department is that certain conventional schemes could be procured as “design and build” schemes. The benefits of such schemes are:

- The risk of design, cost and time are transferred to the contractor;
- Completion can often be achieved earlier because there is scope to overlap design and construction;
- Price certainty is obtained at tender stage, provided the Client’s requirements are well specified and there are no changes; and
- It is possible to require of the contractor a greater duty of care than would normally be required of a design consultant.

This addendum amends the Capital Allocation Process to allow for design and build schemes to be identified at the point of Economic Appraisal approval and sets out the requirements for such schemes to compete in the Contenders List for conventional funding (the Conventional Contenders List).

Amendment to the Capital Allocation Process

Schemes designated as Conventional (see paragraph 3.4 of the Capital Allocation Process) may be further designated as design and build schemes on completion of the economic appraisal. To be designated as design and build, schemes will ordinarily :

- have estimated construction costs (determined by Economic Appraisal) in excess of £2m;
- be new build schemes, not having a significant amount of refurbishment.
- be schemes not linked with other schemes meeting the criteria for PPP.

Other conventional schemes may be designated as design and build where the school authority opts for this and the Department approves. Such school authorities should advise the Department of their desire to opt for design and build as soon as possible and in any event no later than completion of the economic appraisal.

In order to be included in the Conventional Contenders List, design and build schemes are required to have:

- an approved Economic Appraisal;
- an approved development proposal where required;
- the relevant site or acquisition of the relevant site virtually completed.

The criteria for inclusion in the Conventional Contenders List for other conventional schemes (ie not design and build) are set out in Annex D of the Capital Allocation process.

December 2002.

Addendum to the Transitional Arrangements for 2002/03 Capital Allocation

2002/03 is the first year of the Capital Allocation Process. As such, the Department issued transitional guidance in October indicating that to be included on the Conventional Contenders List, schemes will be required to have “an appropriate degree of planning”. This addendum clarifies the meaning of “an appropriate degree of planning” for schemes to compete in the Conventional Contenders List.

An addendum to the Capital Allocation Process (published December 2002) describes the process for conventional schemes designated as design and build to be included in the Conventional Contenders List. Such schemes do not require planning beyond the Economic Appraisal stage.

As a transitional arrangement for 2002/03 only, other conventional schemes will be allowed to compete in the Conventional Contenders List without being planned beyond the Economic Appraisal stage. Thus, such schemes (ie schemes which are designated as Conventional but not as design and build) can be included in the Conventional Contenders List if they:

- have an approved economic appraisal;
- have an approved development proposal where required;
- have the relevant site or acquisition of the relevant site virtually completed; and
- are not linked with other schemes meeting the criteria for PPP.

Schemes having stages of planning beyond the Economic Appraisal will be able to compete in the Conventional Contenders List if they also meet the above criteria.

December 2002

Addendum to Capital Allocation Process (Annex D) – May 2003

Annex D of the “Capital Allocation Process Guidance – September 2002” specifies criteria which schemes must satisfy for inclusion in the Contenders Lists for both conventional and PPP funding.

For conventional funding these include, inter alia, having had RIBA Stages C and D approved by the Department for Post-Primary and Primary or Special Education provision respectively. The “Capital Allocation Process Guidance - Transitional Arrangements”, published in September 2002, waived these particular requirements for 2002/03.

This addendum amends Annex D to remove these requirements until further notice. The original requirement for schemes to “be ready at the cut-off date (31 January) to proceed towards tender ...” consequently becomes “... to proceed with planning ...”.

It also relaxes the requirement for potential contenders for either conventional or PPP funding to “have the relevant site acquired and vested where appropriate”. This now reads “have the relevant site or acquisition of the relevant site virtually completed”.

See below for the amended Annex D.

Criteria for inclusion in the Contenders List – May 2003

To be included in the contenders list for conventional funding, schemes must:

- A have had an economic appraisal approved by the Department;
- B where required, have had a development proposal approved by the Minister;
- C have been designated by the Department to compete for conventional funding;
- D be ready at the cut-off date (31 January) to proceed with planning without interruption (eg without being delayed due to another scheme's progress); and
- E have the relevant site or acquisition of the relevant site virtually completed.

Certain elements of schemes, eg sites, may also be included as stand alone elements on the Contenders List but the scheme itself must meet A, B and C above.

To be included in the contenders list for PPP funding, schemes must:

- A have had an economic appraisal approved by the Department;
- B where necessary, have had a development proposal approved by the Minister;
- C have received approval from the Department to compete for PPP funding; and
- D have the relevant site or acquisition of the relevant site virtually completed.