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## DfI Roads Policy & Procedure Guide: RsPPG\_E030

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<b>INTRODUCTION</b>	<b>4</b>
Purpose	4
Definitions	4
Background	6
Costs and Benefits	7
<b>DFI ROADS POLICY &amp; PROCEDURE</b>	<b>8</b>
TRAM Major Projects Programme	8
Major Projects Lifecycle	8
Stakeholder Engagement / Community Consultation	10
Social Value	10
Forward Planning Schedule	10
Major Works Database	12
Scheme Estimates and Profiles	12
Gateway Review Process	13
BREEAM Infrastructure	13
Building Information Modelling	13
Scheme Assessment Reporting	14
Preparation of Stage 1 Report – Preliminary Options	14
Preparation of Stage 2 Report – Preferred Options	15
Preparation Pool	15
Preparation of Stage 3 Report – Statutory Procedures	16
Business Case	18
Contract Documents	20
Procurement	21
Construction Programme	22

Defect Correction Period	22
Post Project Evaluations	22
<b>COLLECTIVE IMPACT ASSESSMENTS</b>	<b>24</b>
Equality Impact Assessment (EQIA) Section 75 of the Northern Ireland Act 1998	24
Rural Proofing	24
Privacy Impact Assessment	24
Impact Assessments (IAs) - formerly referred to as Regulatory Impact Assessments	24
Lifetime Opportunities – Government’s Anti-Poverty Strategy (replaces New TSN)	25
<b>REFERENCES</b>	<b>26</b>
<b>APPENDICIES</b>	<b>26</b>
Appendix A – Flowchart of the Progression of Major Works Schemes	26
Appendix B – Checklist for Major Works Schemes	27
Appendix C - Project Initiation Document	33
Appendix D – Approvals Table	35

## INTRODUCTION

### Purpose

1. This DfI Roads Policy & Procedure Guide (RsPPG):
  - a) Is aimed at all DfI TRAM staff involved with developing major road improvement schemes<sup>1</sup> through the key development and planning stages from inception to construction.
  - b) Defines the procedures for major road improvement schemes to:
    - a. Enter the Forward Planning Schedule;
    - b. Move from the Forward Planning Schedule to the Preparation Pool; and
    - c. Move from the Preparation Pool to the Construction Programme.

### Definitions

**The 'Achieving Excellence' Initiative for Northern Ireland<sup>2</sup>** - provided guidance on the project management and procurement of major construction works including detailed definitions of project roles and responsibilities which have been used in the development of previous iterations of this document. The Department of Finance Commercial Delivery Group has created a **Programme and Project Management and Assurance Web Portal<sup>3</sup>** which provides guidance on the project management and procurement of major construction works and contains useful information on the various methods of Programme and Project Management, however, the terminology used is not always consistent with the 'Achieving Excellence' Initiative and care should be taken to ensure a correct interpretation.

**Portfolio, Programme, Project Office (P3O)** - The role of DfI's Portfolio, Programme, and Project Office (P3O) is to ensure visibility on programme and project delivery and assurance, this includes the promotion of governance, transparency and best practice as well as providing a decision enabling and support function for business change within the Department.

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<sup>1</sup> [DEM 138-12 Financial Limits for Procurement of Minor \(including Maintenance\), Large Minor and Major Works Schemes](#)

<sup>2</sup> [Policy framework for construction procurement | Department for Communities](#)

<sup>3</sup> [Programme and Project Management | Department of Finance](#)

**Investment Decision Maker (IDM)** – will vary with the decision being made. The IDM for each decision is identified in **Appendix D**.

**Senior Responsible Owner (SRO)** - is appointed by the Permanent Secretary or Transport and Road Asset Management (TRAM) Grade 3 and will generally be Grade 5 Director level or Grade 6 Deputy Director level. The SRO has overall accountability for the delivery of the project ensuring the project remains focussed on achieving its objectives.

**Project Board (PB)** – Chaired by SRO and comprising of members appointed by the SRO to provide strategic project oversight, support for decision making and overall governance.

**Active Travel Programme Board (ATPB)** - The ATPB oversees the delivery of the Department's active travel programme within the delegated authority. The Board has a key role in informing, considering, and supporting decisions made by the SRO within the scope of the programme. It will be the principal mechanism for supporting the SRO.

**The TRAM Management - Peer Review Group (PRG)** - is a formal sub-group of the TRAM Management Group, comprised of Grade 5 technical directors and is responsible for providing an independent and critical review and challenge function on all technical matters for **Preliminary Options Report (Stage 1)** and **Preferred Options Report (Stage 2)**, and appraisals of business cases. In addition, the PRG may be called on to review significant decisions in relation to the **Proposed Scheme Report (Stage 3)** in advance of the Minister making a decision on publication for consultation of the statutory orders and environmental report(s). For Active Travel Projects with a value of less than £20m the PRG function will be carried out by the ATPB. For Active Travel projects valued at greater than £20m it will be at the discretion of the appropriate director as to whether the PRG or the ATPB carries out this function.

**Project Sponsor (PS)** – is appointed by the SRO and will be a PPTO in the relevant TRAM Project Team. The PS provides the interface between ownership and delivery, making day to day management decisions on behalf of the SRO to ensure that the desired project objectives are delivered.

**The Programme Manager (PM)** - is the PPTO in the TRAM Major Projects Programme Office (MPPO) with responsibility for managing the TRAM Major Projects Programme.

**Client's Representative (CR)** – is the PPTO in the TRAM MPPO responsible for overall management of the Major Works Consultancy Services Framework.

**A Major Works Scheme** - is defined as a works scheme with a total value of over £5m, with the exception of Large Minor Works, resurfacing schemes and Park & Ride schemes. In order to categorise, approve and designate appropriate funding for Large Minor Works, resurfacing schemes and Park & Ride schemes written approval shall be sought from the appropriate Director. Minor and Large Minor schemes are to be developed using the procedures set out in RsPPG E032.

## Background

2. The current TRAM Major Roads Programme has evolved over the last two decades. The programme was largely derived from the existing transport plans, particularly the Regional Strategic Transportation Network Transport Plan 2015 (RSTNTP 2015), the Investment Strategy for Northern Ireland (ISNI) and, more recently, Flagship and, the Northern Ireland City and Growth Deals schemes.
3. In August 2023, the Department published a prioritised list of major road schemes that will continue to be progressed<sup>4</sup>.
4. In June 2025, the Minister confirmed that a review of the Major Roads Programme was completed and that a number of additional major road improvement schemes would be taken forward to procurement and construction<sup>5</sup>.
5. Going forward, the Department is preparing a new Regional Transport Strategy 2035<sup>6</sup> and a suite of eight new Transport Plans<sup>7</sup> that will set out the framework for transport policy and investment decisions up until 2035. This will include a regional plan, covering the Strategic Transport Network and seven Local Transport Plans (LTPs) covering council areas, and associated active travel delivery plans focussed on developing improved pedestrian and cycling networks within the transport plan areas.
6. The Transport Plans will aim to ensure there is integration with land-use planning across all modes of transport and will set out the Department's

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<sup>4</sup> [Department publishes major roads prioritisation programme | Department for Infrastructure](#)

<sup>5</sup> [Kimmins gives green light to A32 Cornamuck Road Scheme | Department for Infrastructure](#)

<sup>6</sup> [The Transport Strategy 2035 | Department for Infrastructure](#)

<sup>7</sup> [Transport plans | Department for Infrastructure](#)

prioritised capital projects and schemes. The Transport Plans include high-level appraisal in the selection of those projects and schemes.

7. It is anticipated that any new schemes included in the new suite of Transport Plans will enter the Major Roads Programme.

### **Costs and Benefits**

8. As this RSPPG is the formalisation of existing practice, the costs and benefits are not relevant at this time.

## DFI ROADS POLICY & PROCEDURE

### TRAM Major Projects Programme

9. The delivery of the TRAM Major Roads Programme is managed through the Forward Planning Schedule, Preparation Pool, and Construction Programme. An overview of the various stages of the process for the progression of Major Works Schemes included in the Programme is provided in the flowchart at **Appendix A: Flowchart of the Progression of Major Works Schemes**. This provides an overview of how these schemes progress from inception to completion. It highlights each of the various stages of the process and identifies the points at which **TRAM Approval** is required.
10. A checklist of the work activities required during each stage of the process is shown in **Appendix B- Checklist for Major Works Schemes**.
11. It should be noted that in the event of the programme being significantly expanded the need for a Strategic Environmental Assessment (SEA) / Rural Needs Impact Assessment / Equality Impact Assessment / Health Impact Assessment must be considered.

### Major Projects Lifecycle

12. All major roads projects are progressed through the phases shown below in **Figure 1**. This RsPPG relates primarily to a Design and Build method of procurement. For other methods of procurement, including Early Contractor Involvement (ECI), TRAM MPPO and Procurement Branch should be consulted. For an ECI procurement, the contractor will generally be appointed once the project enters the Preparation Pool. A procurement strategy therefore needs to be considered prior to this phase.
13. For particularly novel and complex schemes the SRO may give consideration where appropriate to adopting the principles contained within the Infrastructure Projects Authority (IPA), Project Routemap<sup>8</sup>.

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<sup>8</sup> IPA Project Routemap [Handbook - FINAL.pdf](#)

# Major Project Lifecycle

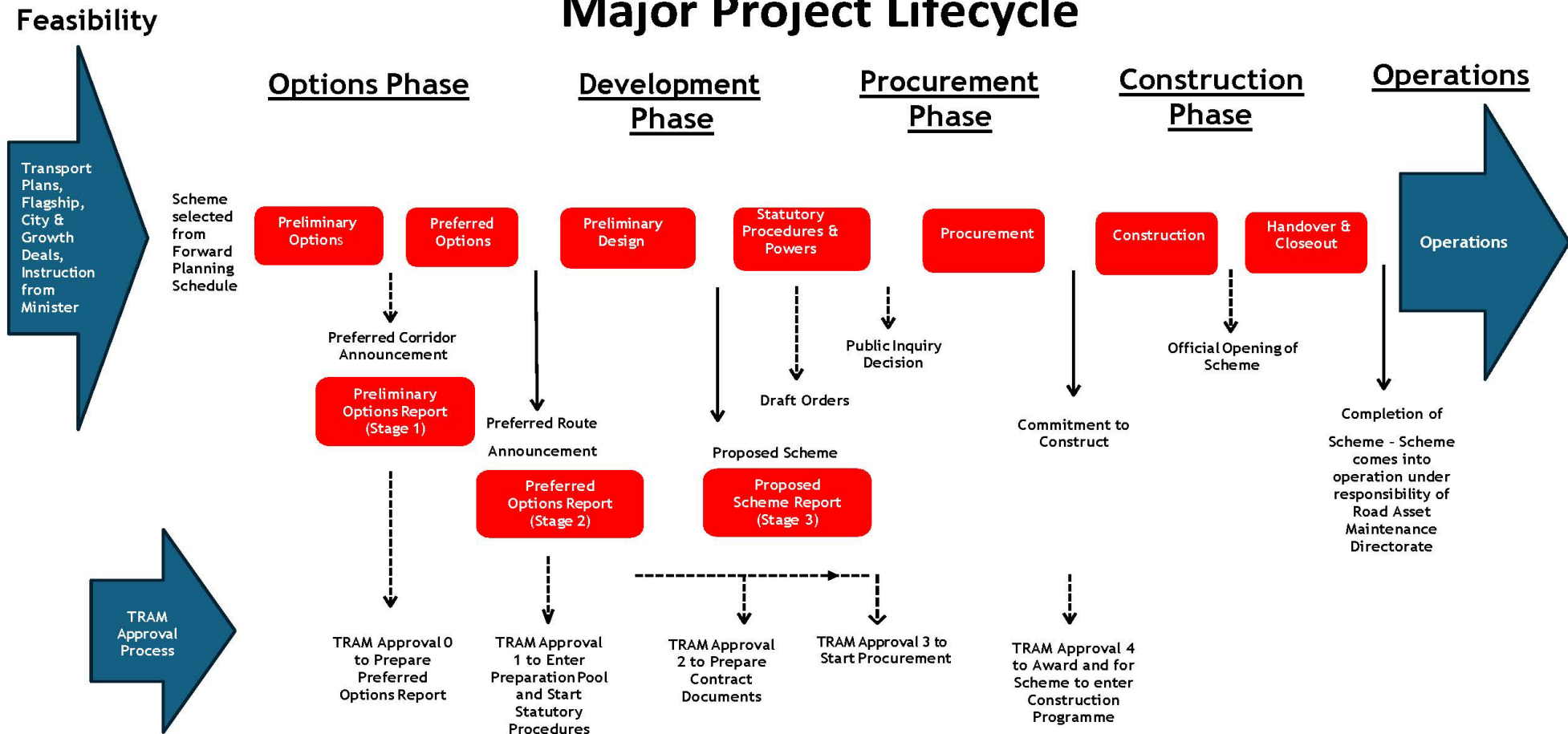


Figure 1

## Stakeholder Engagement / Community Consultation

14. Stakeholder Engagement and community consultation are important tools in the successful delivery of Major Road Projects before, during & after the project (i.e. a social licence workstream). A Stakeholder Engagement Strategy should be prepared at an early stage of the project. Consideration should also be given to the creation of a Stakeholder Reference Group.

## Social Value

15. Social Value in Procurement<sup>9</sup> was approved by the Executive on 05 December 2024 and became effective from 24 February 2025. Major Road Projects have the potential to create positive initiatives both through social value elements of the Major Works Consultancy Service Framework Contract and through the delivery of the construction contract. Project teams should engage with the Strategic Investment Board's Social Value Unit<sup>10</sup> at the earliest opportunity in order to achieve maximum social value.

## Forward Planning Schedule

16. The Forward Planning Schedule is a list of major road improvement schemes identified for preliminary development, which together with those in the Preparation Pool and Construction Programme, constitute the Major Projects Programme. The highest priority schemes within this schedule will be considered for progression into the Preparation Pool.
17. It is anticipated that any new schemes included in the new suite of Transport Plans, will enter the Forward Planning Schedule.
18. If the Minister considers the addition of further schemes to the Forward Planning Schedule these shall be assessed by the relevant Director through the submission of a **Feasibility Options Report** to the PRG. This is a high-level report, and proportionate effort should be applied. The overall purpose of the report is to provide an independent assessment of the proposed scheme for the Minister's consideration. It will highlight key areas such as its strategic context and the main issues that will impact on its development, including the advantages and disadvantages of broadly

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<sup>9</sup> [PPN 01/21 - Social Value in Procurement | Department of Finance](#)

<sup>10</sup> [About the Social Value Unit - Social Value NI](#)

defined improvement strategies. The report should consider, in a proportionate manner, the topics that would be included in a Stage 1 scheme assessment report (see DEM 182/20 - TD37/93 - Scheme Assessment Reporting)<sup>11</sup>. As well as taking account of the Department for Transport “Transport Analysis Guidance” (TAG), the Department’s Transport Planning, Modelling and Data Analytics (TPMD) unit should be consulted on the appraisal approach and the use of the Department’s suite of strategic transport models and tools. Depending on the level of detail needed in this report, it may be deemed necessary for the relevant Director to approve the commissioning of a consultant. The findings of the report will be reviewed and, if endorsed by the Minister, the project will be added to the Forward Planning Schedule.

19. The requirement for a SEA should be considered before PRG review is sought for the addition of a new scheme to the Programme. An SEA will normally be required for new programmes / transport plans, however, extensions or amendments to those programmes / plans may, in certain circumstances, require a new / amended SEA. Legal advice should be sought if there is doubt over whether a scheme is covered by an SEA.
20. To allow appointment of consultants to take forward new schemes, added to the Forward Planning Schedule following publication of the Transport Plans, a programme level business case using the Business Case Pro Forma for Professional Services, including External Consultancy should be completed by MPPO for approval by the relevant directors. This programme level business case should cover expenditure up to the point where SOCs have been approved.
21. When development of a scheme in the Forward Planning Schedule is initiated, the Permanent Secretary or the TRAM Grade 3 (as appropriate) will appoint an SRO by way of an SRO letter, as required by the DAO 05/23. The SRO will then appoint a PS.
22. SRO to arrange for creation of a Project Board which will contain appropriate stakeholders. The make-up of each project board will be specific to that project. The SRO should consider the inclusion of an external ‘critical friend’ to participate in the PB.
23. If not covered by a programme level business case, a Business Case should be completed by PS for approval by the relevant Director to cover

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<sup>11</sup> [TD 37/93 Scheme Assessment Reporting DEM 182/20 | Department for Infrastructure](#)

expenditure up to the point where an SOC is approved. MPPO will then request approval from the relevant Director to appoint a Consultant to assist with the development of the scheme. The PS will be responsible for defining the Scheme Requirements and preparing a brief for the Consultant's commission. The Client's Representative, acting on behalf of PS, shall appoint a Consultant to the scheme, subject to them preparing a Project Initiation Document (PID) and quotation to the satisfaction of the PS (A definitive list of contents of the PID is shown in **Appendix C**). Upon approval of the PID and quotation by the PS, the Client's Representative will confirm the appointment of the Consultant to the scheme.

### **Major Works Database**

24. Throughout the life of a scheme SROs and PSs should ensure that the information retained on the Major Works Database (maintained by MPPO) is kept up to date. This database will evolve to hold all the relevant information relating to a scheme and will be used for monitoring, reporting and benchmarking purposes.

### **Scheme Estimates and Profiles**

25. PSs are responsible for ensuring that the relevant Director is alerted to changes in scheme estimates as and when required. The Scheme Estimate Proforma<sup>12</sup> must be submitted at annual intervals, at each TRAM Approval Stage or when a significant change has been identified to the estimates. A fully comprehensive review of the estimates will only be required at TRAM Approval stages or when a significant change has been identified. Estimates shall be approved by the relevant SRO. It is TRAM policy that any public facing estimates will be defined as a range and not as a single figure. MPPO will define the range which should narrow as cost certainty and scheme development progresses. Only the approved range should be quoted in public facing publications and websites.
26. Scheme Profiles should be updated, with the agreement of MPPO, quarterly or when a significant change has been identified to the profile.

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<sup>12</sup> The Scheme Estimate Proforma is available within RSPPG\_E058 - <https://www.infrastructure-ni.gov.uk/publications/major-works-estimates-rsppg-e058>

## Gateway Review Process

27. The Gateway Review Process<sup>13</sup> is a key assurance mechanism designed to provide an independent objective view of a programme or project's ability to deliver on time and to budget. The SRO should arrange through MPPO and the Department's P3O for Risk Potential Assessments and Gateway / Internal Peer Reviews to be carried out at appropriate times throughout the Project Lifecycle<sup>14</sup>.

## BREEAM Infrastructure

28. An appropriate environmental assessment process, such as BREEAM Infrastructure (formerly CEEQUAL), shall be carried out on projects with a construction capital value of greater than £5m, unless agreed otherwise by the relevant Director. Where BREEAM Infrastructure is used, new projects should achieve an "Outstanding", "Excellent", or "Very Good" final BREEAM Infrastructure rating, unless site constraints or project objectives mean that this requirement conflicts with the obligation to achieve value for money. On schemes, where the BREEAM Infrastructure process applies, the PS will appoint an in-house or Consultant assessor prior to the commencement of the Preliminary Options Report. This will allow them to collate any relevant information arising from the preparation of the Scheme Assessment Reports.

29. On schemes where the BREEAM Infrastructure process applies, the PS shall arrange for the appointment of a BREEAM Infrastructure External Verifier before the final scheme design commences. The assessor may recommend this appointment at an earlier stage. The External Verifier, together with the assessor, shall agree the scoping-out of irrelevant BREEAM Infrastructure questions.

## Building Information Modelling (BIM)

30. At this stage the PS should undertake a BIM Efficiency Test in accordance with the Construction Toolkit<sup>15</sup>.

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<sup>13</sup> [Gateway Review Process | Department of Finance](#)

<sup>14</sup> Refer to [DAO \(DoF\) 05/23 \(30 Nov 2023\) - Revised guidance on engagement with the Gateway Assurance Review process and the appointment of a Senior Responsible Owner](#)

<sup>15</sup> [Construction Toolkit 30-04-24](#)

## Scheme Assessment Reporting

31. All Major Road improvement schemes in Northern Ireland are required to progress in accordance with TD 37/93 Scheme Assessment Reporting as amended by DEM 182/20<sup>16</sup>. TD37/93 (as amended) sets out the 3 stages of assessment in the development of major roads schemes.
32. As well as taking account of the Department for Transport “Transport Analysis Guidance” (TAG), the Department’s TPMD should be consulted on the appraisal approach and the use of the Departments suite of strategic transport models and tools at all stages in line with the TPMD modelling protocol.
33. Progression through each of the stages is not automatic. At each of the three stages Scheme Assessment Reports are produced, as outlined in TD 37/93 (as amended).
34. The various stages of the Scheme Assessment Reporting process are set out below.

## Preparation of Stage 1 Report – Preliminary Options

35. On selection of a scheme from the Major Projects Programme for development the SRO will prepare a Submission to the Minister recommending work on **Preliminary Options (Preferred Corridor) – Stage 1** commence. Where appropriate public consultation should be carried out to inform development of the preliminary options.
36. Upon receipt of approval, the PS will develop and submit through the relevant Director a **Preliminary Options Report (Stage 1)**<sup>17</sup> including **preliminary cost estimates** to the PRG or ATPB as appropriate for review. This **Preliminary Options Report** (equivalent to TD37/93 Stage 1 assessment report) will identify the best performing options to be taken forward and may identify a preferred corridor. It should take account of the Department for Transport “Transport Analysis Guidance”.
37. Following the review, a Submission to the Minister should be prepared recommending the **Preliminary Options (Stage 1) Report** as well as,

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<sup>16</sup> [TD 37/93 Scheme Assessment Reporting DEM 182/20](#)

<sup>17</sup> Guidance notes on completion of the Scheme Assessment Reports are in DEM 182/20 - TD37/93 - Scheme Assessment Reporting <https://www.infrastructure-ni.gov.uk/publications/td-3793-scheme-assessment-reporting-dem-18220>

seeking permission to progress development to **Preferred Options (Stage 2) - TRAM Approval 0**.

38. For schemes with an overall estimate of £50m and above, a **Strategic Outline Case (SOC)** will be submitted to DoF through the MPPO for approval of expenditure<sup>18</sup>. For schemes with an overall estimate in the range £20m - £50m, the **SOC** shall be submitted through the MPPO to DfI Economics Branch for review only. For schemes with an overall estimate in the range of £5m – less than £20m an SOC should be prepared for appropriate Director approval.

### **Preparation of Stage 2 Report – Preferred Options**

39. On receipt of approval to progress to **Preferred Options (Stage 2) development (TRAM Approval 0)** the PS will undertake a scheme appraisal. Where appropriate public consultation should be carried out to inform development of the preferred option. The PS shall submit through the relevant Director a **Preferred Options Report (Stage 2)** to the PRG or ATPB as appropriate for review. The **Preferred Options Report** (equivalent to a TD37/93 Stage 2 assessment report) will identify the preferred route and should again take account of the Department for Transport “Transport Analysis Guidance”. The PRG or ATPB as appropriate may be asked to review the options and economic elements of the Stage 2 Report.
40. A Submission to the Minister should be prepared recommending the Preferred Option, as well as, seeking approval to commence work on the **Statutory Procedures (Stage 3)**, and for entry of the scheme into the Preparation Pool – **TRAM Approval 1**.

### **Preparation Pool**

41. The Preparation Pool is a list of major road improvement schemes that will be advanced through the statutory processes up to the point where a decision to commit to invest in building the scheme can be made. This phase focuses on the preliminary design of the preferred option, taking it through the necessary statutory processes, including land acquisition, and culminates in the appointment of a contractor (or for an ECI procurement, the agreement of a Final Target Cost and entry into Phase 2).

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<sup>18</sup>[FD \(DoF\) 11/20, Better Business Cases NI, November 2020](#).

42. After entry into the Preparation Pool, the PS should arrange for the completion of drafts of the following documents: a Human Rights Impact Assessment pro forma, an Equality Impact Assessment (EQIA) screening (and possible subsequent EQIA) for projects that are not part of a previous Equality Impact Assessed Plan / Programme, a Rural Needs Impact Assessment, and a Regulatory Impact Assessment (if required). These documents should be reviewed as required in consultation with the Department's Equality Branch. Equality Branch will, where required, publish final versions of these documents.

### **Preparation of Stage 3 Report – Statutory Procedures**

43. The PS will develop a preliminary design and complete a **Proposed Scheme Report (Stage 3)** - equivalent to a TD 37/93 (as amended) Stage 3 Scheme Assessment Report, to allow progression of the scheme through the statutory procedures, or to progress to submission of planning application where applicable.
44. The Proposed Scheme Report shall be submitted to TRAM MPPO for information prior to public consultation / Public Local Inquiry.
45. The PS has responsibility for managing and overseeing the Environmental Impact Assessment (EIA) and Habitats Regulations Assessments (HRA) processes. It is a requirement of the EIA Regulations that the Department has, or has access to, sufficient expertise to examine EIA Reports. DEM 176/20 Environmental Impact Assessment – Review Procedure<sup>19</sup> formally implements procedures to meet this obligation.
46. Where a scheme may have an impact on a European site (Special Areas of Conservation (SACs) or Special Protection Areas (SPAs))<sup>20</sup>, in order to fulfil a legal requirement, the Scheme team must undertake a screening exercise to determine if there may be a significant effect. Where the

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<sup>19</sup> Refer to [Environmental Impact Assessment – Review Procedure DEM 176/20 | Department for Infrastructure \(infrastructure-ni.gov.uk\)](https://www.infrastucture-ni.gov.uk)

<sup>20</sup> European sites are defined as Special Areas of Conservation (SACs) or Special Protection Areas (SPAs) designated under the Habitats Directive 92/43/EEC and the Wild Birds Directive 2009/147/EC. These are also known collectively as Natura 2000 sites. In Northern Ireland, these are designated under the Conservation (Natural Habitats, etc.) Regulations (Northern Ireland) 1995 (as amended). These regulations implemented the Habitats Directive and will continue to apply after 1 January 2021. Some operability changes have been made through the Conservation (Natural Habitats, etc.) (Amendment) (Northern Ireland) (EU Exit) Regulations 2019.

likelihood of a significant effect can be excluded, a screening report should be prepared and legal advice sought before being signed off by the PS.

47. SRO should initiate land acquisition procedures in line with RsPPG S029.
48. SRO should initiate the drafting of any necessary statutory orders and the Vesting Order. The Trunk Road / Direction Order, Vesting Order, Bridge Orders and Navigation Orders should be prepared in conjunction with HQ Lands Branch. Stopping-up and Private Accesses Orders, Abandonments, Traffic Regulation Orders, Disabled Parking Bays, etc. should be prepared in conjunction with Transport Legislation Branch.
49. A submission to the Minister should be prepared recommending approval to publish the notices of intention to make orders, environmental impact assessment report, commence public consultation and to make a formal announcement. Subject to approval the relevant Director shall instruct the Land Branch to publish the draft Statutory Orders.
50. SRO should consider arranging to brief Infrastructure Committee on proposed scheme.
51. Where the statutory procedures for schemes are delivered using the planning process under the Planning Act (NI) 2011 rather than through the Roads Order the guidance contained in this RsPPG should be adapted accordingly.
52. Depending on the volume and content of comments and level of objections arising from the public consultation a submission will be prepared by the SRO for the Minister recommending either to proceed without recourse to public local inquiry or announce a public local inquiry. The purpose of a public local inquiry is to enable objectors and supporters to present their evidence and voice their views before an independent Inspector and to examine the case for and against the road proposal. After the close of the inquiry, the Inspector will produce a report clearly setting out their conclusions. They do not make a decision but recommend a course of action.
53. If the inspector recommends significant modifications to the scheme, the PRG or ATPB as appropriate may be called upon to review the proposed modifications.

54. If a public local inquiry is held, after considering the Inspector's Report, the Minister will decide to confirm, modify or reject the scheme.
55. If the decision is taken to accept the scheme the SRO will prepare in conjunction with MPPO a Departmental Statement and a submission recommending the Minister announces Notice of Intention to Proceed / Making of Statutory Orders. Any ministerial decision to proceed with a scheme is announced by way of a written or oral Ministerial Statement.
56. Following the decision to proceed with the scheme and to make the necessary statutory orders an SL1 Letter (along with drafts of the proposed Statutory Orders) is to be issued to inform the Committee that the Department proposes to make the Statutory Orders.
57. Where a scheme may have a significant effect on a European Site a report to inform an Appropriate Assessment shall be prepared. The Appropriate Assessment will be made by the Department. On completion of an Appropriate Assessment the Minister, if content, shall accept the Appropriate Assessment which will be referred to within the Departmental Statement when announcing Notice of Intention to Proceed. Reference should be made to requirements of DEM 176/20 Environmental Impact Assessment – Review Procedure.

## **Business Case**

58. A **Business Case**<sup>21</sup> is required for all major road improvement schemes. A business case formalises the process of defining the problem and identifying the solution that offers the best value for money. All business cases should be developed in line with current Government guidance and best practice, including the Department's Finance Manual<sup>22</sup> and the Department of Finance (DoF), Better Business Cases NI<sup>23</sup> and its complementary suite of guidance elsewhere on the Better Business Case NI webpage, including the updated supplementary guidance Incorporating Environmental and Climate Considerations into Business Cases<sup>24</sup>. This

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<sup>21</sup> TRAM Major Projects Programme Office and DfI Economics Branch can be contacted to provide assistance in completing business cases.

<sup>22</sup> [DfI accounting procedures manual | NICS Intranet](#) - Intranet only link available – external bodies requiring access should be referred to MPPO.

<sup>23</sup> Refer to [Better Business Cases NI | Department of Finance](#)

<sup>24</sup> [Incorporating Environmental and Climate Considerations into Business Cases | Department of Finance](#)

guidance includes a requirement that PAS 2080: Carbon Management in Infrastructure should be applied when appraising infrastructure projects. Business case guidance must be applied in line with the principle of proportionate effort. For all business cases (including SOCs) as well as taking account of the Department for Transport “Transport Analysis Guidance” (TAG), the Department’s TPMD should be consulted on the appraisal approach and the use of the Departments suite of strategic transport models and tools at all stages in line with the TPMD modelling protocol.

59. For most schemes an Outline Business Case (OBC) should be prepared prior to commencement of procurement. A Full Business Case (FBC) will then be required prior to award of contract.
60. Where vesting or significant advanced works such as service diversions are to be carried out in advance of the main procurement or where contracts are procured using a two-phased ECI approach, it may be necessary to prepare the OBC at an earlier stage. An OBC to allow advanced vesting / advanced works / Phase 1 ECI award followed at an appropriate time by an FBC to allow Phase 2 ECI award. Advice on this should be sought from TRAM MPPO.
61. The PS will prepare the business case which should be developed in consultation with DfI Economics Branch and other relevant reviewers (e.g. policy, finance, procurement, commercial, etc.) from an early stage. When complete it should be forwarded to DfI Economics Branch and the other relevant expert reviewers to obtain approval for their respective sections of the report. The report shall then be reviewed by the PRG or ATPB as appropriate. For schemes over £20m (City Deals projects - £20m of Central Government expenditure, roads projects capital expenditure £20m<sup>25</sup>)<sup>26</sup> the business case must also be submitted to and expenditure approved by the DoF (through MPPO) prior to commencing procurement.
62. It is recognised that the OBC cannot be finalised until the parameters of the scheme have been fixed following consideration of the Inspector’s Report arising from any Local Public Inquiry held.

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<sup>25</sup> [DfI - Specific Delegations \(Sept 2025\).pdf](#)

<sup>26</sup> [UPDATED - DAO \(DoF\) 05/25 - Departmental Delegations/requirements for DoF Approval](#)

It is important to note the following:

- a. A scheme should not be sub-divided to remove the need for DoF Approval.
  - b. If approved scheme costs are projected to rise above £20m during scheme construction, DoF approval must be sought as soon as possible and before the limit is breached.
  - c. For all schemes TRAM MPPO should be notified if costs vary by more than 10% (up or down) from the approved estimate.
  - d. For schemes greater than £20m TRAM MPPO should be notified if costs vary by more than 10% (up or down) from the approved estimate (or any other margin of cost stipulated by DoF in their approval letter).
  - e. The same applies where project implementation is expected to be delayed by more than 12 months by comparison to the timescale indicated in the approved business case.
  - f. Where there are any *non-standard* DoF conditions of approval, the SRO, through TRAM MPPO, should ensure that these are brought to the attention of the Minister through a formal submission.
  - g. TRAM MPPO should be notified if the cumulative cost of client changes exceeds 5% of the approved estimate during construction.
63. Upon approval of the expenditure detailed in the business case MPPO will enter the scheme into the Dear Accounting Officer (DAO) Departmental Finance Partner (DFP) Departmental Delegations Database for monitoring by DfI Economics Branch on a biannual basis.
64. The PS may have to submit a revised business case if the conditions in DoF's approval of the OBC have not been complied with. Refer to the Better Business Cases NI<sup>27</sup>.

## Contract Documents

65. Upon completion of the statutory procedures and approval of the expenditure detailed in the business case, the SRO will make a submission to Minister through the relevant Director recommending approval to start the preparation of contract documents for the scheme (**TRAM Approval 2**). This submission should identify any significant changes to the scheme since **Preferred Options (Stage 2) (TRAM Approval 1)**.

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<sup>27</sup> Refer to [Better Business Cases NI | Department of Finance](#)

66. If **TRAM Approval 2** is granted, the preparation of contract documents should commence. Market engagement<sup>28</sup> should be carried out at this stage to inform the procurement procedure, possible tender evaluation criteria and overall project timetable.
67. Following completion of the contract documents, a submission to the Minister should be prepared by the relevant TRAM Director recommending approval for procurement to commence - **TRAM Approval 3**.

## Procurement

68. Upon approval, the SRO will (subject to finance being available) submit a request to the Minister through the relevant Director for authority to procure (**TRAM APPROVAL 3**) and subsequently award the contract for the scheme (**TRAM APPROVAL 4**)<sup>29</sup>.
69. The principles and strategic objectives for public procurement are set out in the Public Procurement Policy Statement that was approved by the Executive on 05 June 2025 and applies to all public bodies<sup>30</sup>. The management of the progression of the Major Works schemes through the procurement process should be carried out in conjunction with DfI Procurement Branch.
70. For procurement, commercial and contracting key principles please refer to the Sourcing and Construction Toolkits<sup>31</sup> and Construction Playbook<sup>32</sup>.
71. Following the completion of the procurement process or Phase 2 ECI award, the PS will have to prepare a Full Business Case (FBC). The FBC will have to be submitted to DoF Supply if the conditions in DoF's approval of the OBC have not been complied with.
72. Appropriate TRAM Director to prepare and submit a submission to the Minister recommending the awarding of the contract (**TRAM Approval 4**) and subsequent announcement of the decision. If approved, the scheme will move into the Construction Programme.

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<sup>28</sup> [Sourcing and Construction Toolkits | Department of Finance](#)

<sup>29</sup> Schemes that are part of a DBFO package or that have early contractor involvement may use a different procurement procedure. Refer to TRAM Major Projects Programme Office and DfI Roads Procurement Branch for advice on specific schemes.

<sup>30</sup> [Public Procurement Policy Statement | Department of Finance](#)

<sup>31</sup> [Sourcing and Construction Toolkits | Department of Finance](#)

<sup>32</sup> [https://assets.publishing.service.gov.uk/media/6312222de90e075880923330/14.116\\_CO\\_Construction\\_Playbook\\_Web.pdf](https://assets.publishing.service.gov.uk/media/6312222de90e075880923330/14.116_CO_Construction_Playbook_Web.pdf)

## **Construction Programme**

73. The Construction Programme is a list of major road improvement schemes due to commence, currently under construction, or recently completed.
74. To mark construction commencement the SRO will submit a further submission to Minister inviting the Minister to attend the sod cutting.
75. Further submissions to the Minister will be required to announce important progress and inviting them to carry out the official opening of the scheme.
76. The approach and strategy for handover into operation and maintenance shall be defined and agreed prior to the commencement of construction and reviewed as the scheme progresses. Upon certification of practical completion, the scheme comes into operation under the responsibility of the Road Asset Maintenance Directorate. The PS should ensure that the maintenance manuals are handed over in a timely fashion, in advance of the maintenance period and Post Project Evaluations.

## **Defect Correction Period**

77. After the construction of the scheme is complete, the defect correction period, formerly known as the maintenance period, will begin. Its duration can vary, depending on the terms of the contract, and may include different durations for different types of defects or defects in different parts of the works, but a duration of 12 months is typical. During that period, the contractor is obliged to address any defects that arise, whether they become apparent during the defect correction period or are a result of the contractor's work during the construction phase. The contractor will be required to rectify these defects at their own cost within a reasonable period.

## **Post Project Evaluations**

78. Post Project Evaluations<sup>33</sup> for Major Road schemes are to be carried out by the project team. This is a two-stage process with the first being the undertaking of the Post Management Evaluation (PME) and the second being the undertaking of the Post Benefit Evaluation (PBE). The PME should be undertaken one year after completion. The PBE, to allow the

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<sup>33</sup> The Post Project Evaluation proformas and Guidance notes are available from TRAM Major Projects MPPO. For non-standard TRAM Major Road Schemes, the project team should consult with MPPO to agree an appropriate approach to the Post Project Evaluation.

gathering of traffic and accident data, should be undertaken three years after completion.

79. An important element of Post Project Evaluation is to highlight Lessons Learned. To help the PS to identify lessons learned at scheme completion more effectively, a Lessons Learned Log is to be compiled as the scheme progresses. This Log will be contained within the PID and will therefore be a live document to be reviewed on an ongoing basis. Consideration should be given to carrying out an end of project workshop between the parties to openly and honestly finalise the lessons learned collaboratively. PSs should ensure that lessons learned are regularly forwarded to the MPPO. The information will be collected to compile the Major Projects Input to the Departmental Audit and Risk Assurance Committee (DARAC) Annual Lessons Learned Report.
80. The PS is to ensure that the BREEAM Infrastructure award process has been completed on the schemes that were selected for BREEAM Infrastructure Assessment.

## **COLLECTIVE IMPACT ASSESSMENTS**

### **Equality Impact Assessment (EQIA) Section 75 of the Northern Ireland Act 1998**

An EQIA screening analysis was completed, and no Section 75 equality issues arise from the introduction of this Policy and Procedure Guide as it provides updated guidance for DfI TRAM Staff and consultants' staff when developing major road improvement schemes from inception to construction.

This guidance document has undergone EQIA screening, and it was considered that a full Equality Impact Assessment was not required.

A copy of the completed 'Equality Screening Analysis Form' has been signed off and forwarded to the DfI Equality Unit.

### **Rural Proofing**

As this RsPPG implements a process to be used at various road scheme locations, a Rural Needs Impact Assessment and a Human Rights Impact Assessment are not required. Each scheme should be assessed for impacts.

This guidance has undergone Rural Needs Impact screening, and it was considered that a full Rural Needs Assessment was not required, as any potential impact will need to be considered at a local level on a scheme-by-scheme basis.

### **Data Protection Impact Assessment**

A full DPIA is not required for this proposed updating of the RsPPG. The proposed review and revision will not require the collection of any information about individuals. The current systems in place within DfI TRAM to ensure compliance with data protection obligations will not be impacted.

### **Impact Assessments (IAs) - formerly referred to as Regulatory Impact Assessments**

This revised RsPPG does not introduce any new regulatory burden, so an Impact Assessment has not been carried out in the updating of this document. A Regulatory Impact Assessment is therefore not deemed necessary as it will not impose either a direct or an indirect impact on businesses, charities, social economy enterprises or the voluntary sector.

## **Lifetime Opportunities – Government’s Anti-Poverty Strategy (replaces New TSN)**

This RsPPG updates the procedures for developing major road improvement schemes through the key development and planning stages from inception to construction.

Anti-Poverty issues have not been identified in the development of this RsPPG and as such offers no opportunities to assist the Government’s Anti-Poverty Strategy.

**APPENDICES**

**Appendix A –  
Flowchart of the  
Progression of Major  
Works Schemes**

## Appendix B – Checklist for Major Works Schemes

1. Scheme selected from Transport Plans, Flagship and City and Growth Deals, or on instruction from Minister enters the Forward Planning Schedule.

### Options Phase

2. Scheme initiated for Preliminary Development.
3. Permanent Secretary or TRAM Grade 3 acting appoints an SRO (Grade 5 Director level / Grade 6 Deputy Director level).
4. SRO appoints PPTO from relevant team as Project Sponsor (PS).
5. SRO to arrange for creation of a Project Board which will contain appropriate stakeholders.
6. A programme level business case using the Business Case Pro Forma for Professional Services, including External Consultancy should be completed by MPPO for approval by the relevant directors to cover expenditure up to the point where an SOC is approved.
7. If not covered by a programme level business case, a Business Case should be completed by PS for approval by the relevant Director to cover expenditure up to the point where an SOC is approved.
8. On selection of a scheme from the Major Projects Programme for development the SRO will prepare a Submission to Minister recommending work on **Preliminary Options (Preferred Corridor) – Stage 1** commence.
9. MPPO seeks SRO approval from the relevant Director to appoint consultants to assist with scheme development.
10. PS defines Scheme Requirements and prepares a brief for Consultant's commission.
11. Client's Representative will appoint a Consultant to the scheme subject to them preparing a PID and quotation to the satisfaction of the PS.
12. Upon approval of the PID and quotation by the PS, the Client's Representative will confirm appointment of the Consultant to the scheme.
13. Consult with TPMD on appraisal approach.
14. For schemes with a construction capital value > £5m an appropriate environmental assessment such as BREEAM Infrastructure shall be carried out.

15. Where BREEAM Infrastructure applies, the PS appoints an in-house or Consultant assessor, unless agreed otherwise by the relevant Director.
16. PS shall arrange for the appointment of a BREEAM Infrastructure External Verifier before final scheme design commences.
17. PS undertakes a BIM Efficiency Test in accordance with Construction Toolkit.
18. PS will develop and submit a **Preliminary Options Report (Stage 1)** including preliminary cost estimates to PRG / ATPB for review.
19. A Submission to Minister should be prepared recommending **Preliminary Options (Stage 1) Report** / permission to progress to **Preferred Option (Stage 2) – TRAM Approval 0**.
20. For schemes with an overall estimate of £50m and above a SOC will be submitted through MPPO to DoF for approval of expenditure. For schemes with an overall estimate in the range £20 - £50m, the SOC shall be submitted through MPPO to DfI Economics Branch for review. For schemes with an overall estimate in the range of £5m – less than £20m an SOC should be prepared for appropriate Director approval.
21. SRO arranges through MPPO and Department's P3O for Risk Potential Assessments (RPA) and Gateway / Internal Peer Reviews to be carried out at appropriate times throughout the project lifecycle. Gate 1 Gateway / Internal Peer Review should be completed following approval of SOC.
22. On receipt of approval to progress to **Preferred Options (Stage 2) development (TRAM Approval 0)** PS will undertake a scheme appraisal and submit (through the relevant Director) a **Preferred Options (Stage 2) report** to PRG / ATPB for review.
23. A submission to Minister recommending approval of the Preferred Option and seeking approval to commence Statutory Procedures and entry of the Scheme into the Preparation Pool (**TRAM Approval 1**).
24. Scheme enters into Preparation Pool.

### **Development Phase**

25. PS arranges for the completion of a Human Rights Impact Assessment pro forma, an Equality Impact Assessment (EQIA) screening (and possible subsequent EQIA) for projects that are not part of a previous Equality Impact Assessed Plan / Programme, a Rural Needs Impact Assessment, and a Regulatory Impact Assessment (if required).

26. PS will develop a preliminary design and complete a **Proposed Scheme (Stage 3) Report** to allow the progression of the Scheme through statutory procedures, or to progress to submission of planning application where applicable.
27. The **Proposed Scheme (Stage 3) Report** should be submitted to MPPO for information prior to public consultation / public local inquiry.
28. The PS manages and oversees the Environmental Impact Assessment (EIA) and Habitats Regulations Assessments (HRA) processes.
29. Where a Scheme may have an impact on a European Site the scheme team must undertake a screening exercise to determine if there may be a significant effect.
30. Where the likelihood of a significant effect can be excluded, a screening report should be prepared and the need to take legal advice considered before SRO sign off.
31. SRO should initiate the drafting of any necessary statutory orders and the Vesting Order. The Trunk Road / Direction Order, Vesting Order, Bridge Orders and Navigation Orders should be prepared in conjunction with HQ Lands Branch. Stopping-up and Private Accesses Orders, Abandonments, Traffic Regulation Orders, Disabled Parking Bays, etc. should be prepared in conjunction with Transport Legislation Branch.
32. Submission to Minister prepared recommending approval to publish notices of intention, environmental impact assessment report, commence public consultation and make formal announcement.
33. Upon approval, the relevant Director instructs Lands HQ Branch to publish for consultation the draft Statutory Orders and Vesting Orders
34. PS to attempt to resolve any objections to each of the above Notices. If objections cannot be resolved, it may be necessary to hold a public local inquiry. Depending on the substance of the objections raised, the SRO may ask the Director of Engineering to give approval to proceed without recourse to a public inquiry.

35. A submission will be prepared by the SRO for the Minister recommending either to proceed without recourse to public local inquiry or announce a public local inquiry.
36. If a public local inquiry is held, following receipt of the Inspectors Report, the SRO will report and recommend to Lands Headquarters Branch the way forward in the form of a draft Departmental Statement. This is required to be submitted to the Minister for approval before publication.
37. If a scheme proceeded without recourse to a public local inquiry a Departmental Statement would also to be prepared and published.
38. Upon acceptance of scheme a submission to Minister recommending publication of Notice of Intention to Proceed / Making of Statutory Orders.  
  
Note: Lands Headquarters Branch on receiving the submission, requesting a statutory rule to be made, will first prepare SI submission seeking approval from the Minister and the DfI Committee on the policy in respect of this statutory rule. The PS / SRO/ relevant Director may have to attend the DfI Committee to explain the scheme and answer member's questions.
39. Following the decision to proceed with the scheme and to make the necessary statutory orders an SL1 Letter (along with drafts of the proposed Statutory Orders) is to be issued to inform the Committee that the Department proposes to make the Statutory Orders.
40. Where a scheme may have a significant effect on a European Site a report to inform an Appropriate Assessment shall be prepared.
41. Department will make the Appropriate Assessment.
42. If content, Appropriate Assessment accepted by Minister.
43. Appropriate Assessment referred to within Departmental Statement when announcing Notice of Intention to Proceed.
44. PS will prepare an OBC for review by DfI Economics Branch and other relevant expert reviewers (e.g. policy, finance, procurement, commercial, etc.) for approval.
45. Report reviewed by PRG / ATPB.
46. For schemes > £20m Business Case to be submitted to and expenditure approved by DoF prior to procurement commencing.

47. Upon approval of expenditure the scheme should be entered into DAO (DFP) Departmental Delegation Database for monitoring by DfI Economics Branch.
48. Upon completion of statutory procedures and approval of expenditure in the business case, SRO will make a submission to Minister recommending approval to start preparation of contract documents (**TRAM Approval 2**).
49. If **TRAM Approval 2** is granted, preparation of contract documents to commence.
50. Review and update RPA and prepare for Gate 2 Gateway / Internal Peer Review.
51. Submission to the Minister should be prepared by the relevant TRAM Director recommending approval for procurement to commence (**TRAM Approval 3**).

### **Procurement Phase**

52. Upon approval, SRO will submit a request to the relevant Director for authority to procure / award contract.
53. Following completion of the procurement process / Phase 2 ECI award, the PS will prepare an FBC.
54. The FBC will be submitted to DoF Supply if the conditions in DoF's OBC approval have not been complied with.
55. Review and update RPA and prepare for Gate 3 Gateway / Internal Peer Review.
56. The relevant Director will prepare and submit a submission to Minister recommending awarding of contract (**TRAM Approval 4**) and subsequent announcement.
57. If approved, scheme moves to Construction Programme.

### **Construction Phase**

58. SRO will submit a submission to Minister inviting the Minister to attend a sod cutting.
59. Further submissions to Minister to announce important progress and inviting Minister to carry out the official opening of scheme.

60. Review and update RPA for Gate 4 Gateway / Internal Peer Review (only for Novel Schemes e.g. PFI, PPP, DBFO, Toll, cross departmental delivery, BRT, Active Travel, unusual structures, etc.).

### **Operations**

61. Scheme comes into operation under responsibility of Road Asset Maintenance Directorate.
62. PS ensures maintenance manuals are handed over in a timely fashion.
63. Upon scheme completion, the defect correction period begins.
64. Post Project Evaluation to be carried out. Post Management Evaluation (PME) within twelve months.
65. Review and update RPA for Gate 5 Gateway / Internal Peer Review (only for Novel Schemes).
66. Post Benefit Evaluation (PBE) undertaken three years after completion.

## **Appendix C – PROJECT INITIATION DOCUMENT**

The Project Initiation Document (PID) defines all major aspects of the project and forms the basis for its management and the assessment of overall success. The PID shall include, but not be limited to:

- Statement of the relevant Option used from NEC4 Professional Services Contract (Option E: Time based contract or Option C: Target Contract as applicable). and 'Data provided by the *Consultant*' as required by Contract Data Part Two.
- Activity Schedules for each key task indicating the staff input (names, grades and hours) to establish a quotation for the work.
- Project background and definition.
- Project scope and deliverables / outputs.
- Project aims and objectives.
- Project organisational structure with names and titles.
- Roles and responsibilities / job definitions / management plan.
- Methodology / standards / procedures.
- Reporting and control.
- Communication plan.
- Inception reports to be completed and agreed prior to each key stage.
- Expenses (estimate of mileage costs)
- Sub-consultants to be employed (where appropriate) and costs.
- Project quality plan incorporating quality responsibilities; quality control and processes; tools to be utilised; acceptance criteria; and quality management system and standards.
- Project programme/plan in MS Project Gant Chart Format (updated monthly).

- Constraints and assumptions.
- Milestone / delivery summary (updated monthly).
- Project cost summary showing the total current estimate of the Work Package broken down into out-turn and profiled expenditure (updated monthly).
- Change control register.
- Risk and opportunities register.
- Decision Register
- Project dashboard (to be developed and updated as the project evolves).
- Lessons learnt log (to be developed and updated as the project evolves).
- Safety Issues.
- Post Project Review.
- Social value delivery plan; and
- GDPR schedule.

The Project Initiation Document is a working document and can be one or several documents. It shall be kept up to date with additions / revisions being incorporated as the project progresses.

## Appendix D – Approvals Table

Development Stage	Decision	Approval decision point <sup>34</sup>	RsPPG V5 IDM <sup>35</sup>	RsPPG E030 V6 Investment Decision Maker	SUB to Minister	Comment / Activity
<b>Project Initiated</b>	Start development of scheme identified in transport plans / other <sup>36</sup> .			Minister <i>[possibly informed by new DfI capital prioritisation group]</i>	SUB recommending commencement of work on Preliminary Options	It is anticipated that in most cases future road schemes to be progressed will be selected from the forthcoming suite of transport plans.
<b>Preliminary Options (Stage 1)</b>	Preliminary Option approval – for a road scheme, the preferred corridor.		R&RMG	Relevant TRAM Director following review by TRAM Management Peer Review Group (PRG) / Active Travel Programme Board (ATPB).	SUB Recommending Prelim Options and Approval to Start Preferred Option	Best performing options / preferred corridor identified. Summary paper previously presented to R&RMG.
<b>Approval to start Preferred Option development</b>	Approval to start Preferred Option development	Gateway 0 / TRAM Approval 0	R&RMG	Minister		Approval to continue development may be withheld / not requested (eg. if no funding)
<b>Prepare Strategic Outline Case</b>				Relevant TRAM Director OPTIONAL: TRAM Management PRG - Review of SOC, if required.		Prepare Strategic Outline Case (SOC) following approval of the Stage 1 report and Minister's approval to commence Stage 2. OPTIONAL – If deemed necessary (level of strategic options), SOC to be reviewed by Peer Review Group prior to submission to DfI Economics Branch / DoF Supply.

<sup>34</sup> Approval to continue development to next stage may be withheld (eg. if no funding)

<sup>35</sup> Investment Decision Maker in current version of RsPPG E030 – Roads & Rivers Management Group.

<sup>36</sup> Could include a Feasibility Study for a possible new scheme initiated by the Minister.

<b>Development Stage</b>	<b>Decision</b>	<b>Approval decision point<sup>34</sup></b>	<b>RsPPG V5 IDM<sup>35</sup></b>	<b>RsPPG E030 V6 Investment Decision Maker</b>	<b>SUB to Minister</b>	<b>Comment / Activity</b>
<b>Preferred Option (Stage 2)</b>	Preferred Option approval – for a road scheme, the preferred route.	Gateway 1 / TRAM Approval 1	R&RMG	Relevant TRAM Director following review by TRAM Management PRG / ATPB. Review of Options and Economics	SUB Recommending Preferred Option and Approval to Start Statutory Procedures	Preferred option / route identified. Stage 2 Report to be reviewed by Peer Review Group as the main optioneering and economics will be carried out at this stage.
<b>Approval to start Statutory Procedures</b>	Approval to start Statutory Procedures			Minister		Approval to continue development may be withheld / not requested (eg. if no funding)
<b>Statutory Procedures (Stage 3)</b>	Various during this stage.		Relevant TRAM Director	Minister	SUBs Recommending publication of Statutory Orders and commencement of Public Consultation / announcement of Public Inquiry (if required)	Statutory Processes: <ul style="list-style-type: none"> <li>• EIA Report, HRA and draft Orders prepared.</li> <li>• Public consultation.</li> <li>• Public Inquiry (if required).</li> </ul>
				OPTIONAL Relevant TRAM Director following review by TRAM Management Peer Review Group PRG / ATPB of significant decisions		OPTIONAL – Depending on the level of change resulting from the Public Inquiry.

<b>Development Stage</b>	<b>Decision</b>	<b>Approval decision point<sup>34</sup></b>	<b>RsPPG V5 IDM<sup>35</sup></b>	<b>RsPPG E030 V6 Investment Decision Maker</b>	<b>SUB to Minister</b>	<b>Comment / Activity</b>
	Notice of Intention to Proceed.		Minister	Minister	SUB Recommending Minister Announce Intention to Proceed / Making of Statutory Orders	Minister makes decision, informed by SUB from the relevant TRAM Director making recommendation. Ideally this decision would lead to procurement etc, however funding uncertainty has resulted in schemes pausing at this stage eg. Notice to Proceed Announced but Statutory Orders not made / Notice to Proceed Announced and Direction Order made but Vesting Order not made. Only making of Vesting Order commits Department to spend.
<b>Prepare Outline / Full Business Case</b>				TRAM Management PRG / ATPB - Review of Full Business Case		OBC / FBC to be reviewed by Peer Review Group prior to submission to DfI Economics Branch / DoF Supply.
<b>Preparation of Contract Documents</b>	Approval to prepare contract documents.	Gateway 2 / TRAM Approval 2	R&RMG	Minister	SUB Recommending to Minister to prepare contract documents	Contract documents preparation. Funding certainty usually necessary before decision made although may be as a result of an instruction from the Minister.
<b>Start Procurement</b>	Approval to start procurement.	Gateway 3 / TRAM Approval 3	R&RMG	Minister	SUB recommending to Minister to approve the commencement of procurement	Procurement competition takes place. Funding certainty necessary before decision made. The Minister may announce decision (following SUB from the relevant TRAM Director).

<b>Development Stage</b>	<b>Decision</b>	<b>Approval decision point<sup>34</sup></b>	<b>RsPPG V5 IDM<sup>35</sup></b>	<b>RsPPG E030 V6 Investment Decision Maker</b>	<b>SUB to Minister</b>	<b>Comment / Activity</b>
<b>Update OBC / FBC (if required)</b>				Relevant TRAM Director OPTIONAL: TRAM Management PRG / ATPB - Review of FBC		If DoF approval conditions not complied with or carrying out 2-stage ECI procurement, prepare update to OBC / FBC to submission to DfI Economics Branch / DoF Supply. OPTIONAL Review by the Peer Review Group (depending on the extent of the change) prior to submission to DfI Economics Branch / DoF Supply.
<b>Contract Award</b>	Approval to award contract.	Gateway 4 / TRAM Approval 4	R&RMG	Minister	SUB to Minister to award contract	Contract awarded and construction commences. The Minister would normally announce decision (following SUB from the relevant TRAM Director).
<b>Construction Phase</b>					SUBs to Minister inviting them to sod cutting / announce important progress / carryout official opening	Construction phase.
<b>Handover and Closeout</b>						Completion of maintenance manuals, defect correction period and Post Project Evaluations.
<b>Operations</b>						Scheme in operation under Road Asset Maintenance.