(DfI) Roads Policy & Procedure Guide: RsPPG_E078

Title	Development of Active Travel Minor Works and Large Minor Works Schemes (<£10m) within DfI Active Travel Teams
Version	1
Owner	Director of A5WTC and Active Travel
Certification	This document represents DfI Transport & Road Asset Management Policy and is to be implemented with effect from the date of issue. Certified: Director of Engineering
Date Issued	12th August 2026

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INTRODUCTION

Purpose

1. This DfI Roads Policy & Procedure Guide (RsPPG) is aimed at all DfI staff involved with developing dedicated active travel capital projects within DFI's active travel teams from initial identification through to completion and post-project evaluation.

2. This guidance sets out the governance framework, processes and requirements for the development, approval and delivery of active travel capital projects with a value of up to £10m. Department of Finance approval shall also be sought for any project that may be considered novel, contentious, repercussive, or which could set an expensive precedent. DfI Active Travel Programme Management Office should be consulted in the first instance.

Definitions

3. **The Department** - The Department for Infrastructure (DfI).

4. **Dedicated Active Travel Capital Projects** – Dedicated Active Travel Capital projects are carried out by the Active Travel Directorate and typically include a combination of footpaths, segregated cycling facilities and/or shared pedestrian and cycling facilities.

5. **Active Travel Programme Board (ATPB)** - The Active Travel Programme Board will oversee the delivery of the active travel programme within the delegated authority.

6. **Investment Decision Maker (IDM)** - The Investment Decision Maker for active travel projects is the Senior Responsible Owner. The ATPB will have a key role in informing, considering and supporting decisions made by the Senior Responsible Owner (SRO) within the scope of the programme. It will be the principal mechanism for supporting the SRO.

7. **The Senior Responsible Owner (SRO)** - A formally appointed SRO will chair the Programme Board. The SRO will have personal accountability for the delivery of the Active Travel Programme and will be accountable for the delivery of its objectives and policy intent. This accountability relates only to implementation, it will remain for the Minister, to account for the relevant policy decisions and development. The SRO is supported

by the Programme Owner in the day-to-day management of the programme.

8. **The Programme Owner (PO)** - The Programme Owner is the Grade 6 for Active Travel. The PO is responsible for ongoing management of the programme on behalf of the SRO, ensuring that governance arrangements are maintained and that desired programme objectives and outputs are delivered. The PO is accountable to the SRO for overall programme performance.

9. **Programme Managers (PGM**) - Programme Managers are generally the Principal Professional and Technical Officers (PPTOs) or Grade 7s in the Active Travel Delivery Teams, including the Head of Greenways, Behavioural Change and HQ Technical Support. The PGM is responsible for managing the programme at a divisional level to ensure delivery of outputs and realisation of benefits. PGMs are not responsible for day-to-day project management.

10. **Project Sponsors (PS)** - Project Sponsors are generally the Senior Professional Technical Officers (SPTO) in the Active Travel Delivery Teams. The PS acts as the interface between programme management and project delivery, making day-to-day decisions to ensure that the project objectives are delivered on time and to the required standard. They will also work closely with the Programme Management Office and respective delivery teams.

11. **Project Manager (PM)** - The Project Manager will be a Higher Professional Technical Officers (HPTO) with responsibility for the day-to-day management of the project. This includes coordination with the Consultant or in-house design team and oversight of project delivery activities.

12. **Programme Management Office (PMO)** - The Programme Management Office is led by a Grade 7. The Head of the PMO and their team will work closely with the PO, PSs and wider active travel team to ensure overall integrity and coherence of the programme. This includes oversight of finance, governance, communications, risk management, monitoring and programme controls, and other relevant areas. The PMO also acts as the secretariat for the Active Travel Programme Board.

13. **Divisional Roads Manager (DRM)** - The Divisional Roads Manager is responsible for the management and maintenance of road infrastructure

within a defined geographic division. They facilitate divisional oversight of scheme development and interfaces with divisional teams and work programmes.

14. **Active Travel Support Office (ATSO)** - The Active Travel Support Office (ATSO) is a temporary function appointed by the Department to provide technical support and coordination, for the delivery of the active travel programme.

Background

15. This guidance replaces RSPPG E032 for active travel capital projects below £10m and establishes a consistent and standardised approach to active travel delivery across the Department, proportionate to the scale, cost, and complexity of individual schemes.

16. The Climate Change Act (Northern Ireland) 2022 requires the Department for Infrastructure to develop transport sectoral plan which allocate a minimum of 10% of overall transport budgets to active travel. In response, the Department has established a centralised Active Travel function to support a more coordinated and joined-up approach to active travel policy development and programme delivery. This guidance provides clarity on the governance, processes and responsibilities required to support delivery.

17. This document applies to schemes directly delivered by dedicated Active Travel Divisional Delivery teams under the Active Travel Directorate. Other schemes that provide active travel benefits shall continue to be delivered by wider Departmental teams under their existing governance arrangements. The Programme Management Office will collate financial and performance information periodically to ensure that programme delivery and spend, and wider active travel investment, is accurately recorded and reported in line with good governance principles.

18. The Active Travel Delivery Plan (ATDP) sets out updated priorities and design principles for the delivery of active travel capital projects in urban areas. It is supported by the Belfast Cycling Network (BCN) Delivery Plan and the Strategic Plan for Greenways, which together provide a framework for the prioritisation, design, and delivery of walking, wheeling and cycling infrastructure across Northern Ireland. Delivery teams should ensure that these plans inform the development of their work

programmes and that schemes are progressed in line with these priorities.

19. For people living in rural settlements, key destinations are often within walking distance, however road safety concerns or accessibility issues may prevent people from making these short journeys actively. In this context, the best return on investment is likely to involve improving the pedestrian environment to ensure that walking and wheeling are as attractive as possible. Scheme promotors should bring forward Local Transport Safety Measures (LTSM) pedestrian enhancements in line with existing policies.

20. Where schemes are located on, or interface with trunk roads, designs should align with the guidance of the Active Travel Design Guide while also complying with the requirements of the Design Manual for Roads and Bridges (DMRB), with any departures or relaxations clearly documented. Scheme Design Overview forms are required for sub-standard design elements on other roads.

Best Practice

21. Active travel projects shall be delivered in accordance with a robust governance framework and in line with Managing Public Money NI.

22. In accordance with Better Business Cases NI, approval for capital projects must be obtained from the appropriate authority, with decisions based on value for money, regularity and propriety. Projects above defined thresholds or projects considered novel, contentious, repercussive, or which could set an expensive precedent shall also require approval from the Department of Finances.

23. Approval must be obtained at the appropriate delegated level prior to committing any expenditure, and this should be reflected in project programmes and timescales.

24. Delivery teams shall ensure that all project documentation, including proportionate business cases, approvals and supporting evidence, shall be clearly recorded and stored in an appropriate and easily identifiable project container within Content Manager to ensure transparency, consistency and auditability.

25. Delivery teams shall ensure that projects are developed in a structured and proportionate manner, with appropriate consideration given to risk,

value for money, stakeholder engagement and deliverability at each stage of the project lifecycle.

26. Meaningful engagement involves developing and maintaining Social License for our activities. It provides approval to deliver projects beyond those secured on paper by business cases or planning consents. It's about achieving and sustaining stakeholder and community support for investment making things better for people, planet and prosperity.

27. It involves building and maintaining trust and partnership working with and across stakeholders through all stages of project development and delivery. It's much more than consultation, which is always vital but too often initiated too late. It's about nurturing coalitions from the start, understanding issues, emotions and different perspectives, and enabling these to be heard, involved and addressed to shape better options and ways to deliver transformative change and reform.

Costs and Benefits

28. The costs and benefits of active travel schemes shall be identified and developed as part of the preliminary design process and shall form a key component of the business case.

29. In line with Better Business Cases NI, schemes shall clearly demonstrate value for money, with costs and benefits proportionately assessed and evidenced.

30. Business cases shall set out the anticipated costs of the scheme, including design, construction and associated risks, alongside the expected benefits. These may include improvements to safety, accessibility, health outcomes, environmental performance and network effectiveness.

31. Delivery teams shall clearly demonstrate how the scheme aligns with programme objectives, active travel strategies and associated delivery plans as appropriate.

32. The approach to monitoring and evaluation shall also be defined at an early stage, with clear and measurable deliverables identified to enable post-project evaluation.

33. The Project Sponsor will be responsible for benefits realisation. Post Project Evaluations will be monitored by the PMO, with any overdue

evaluations or material shortfalls in benefits reported through programme governance arrangements.

DFI ROADS POLICY AND PROCEDURE

Active Travel Minor and Large Minor Capital Works Programme

34. The Active Travel Minor and Large Minor Capital Works Programme comprises schemes identified through published delivery plans and other sources which support the vision and objectives of the Active Travel Programme.

35. All schemes within this programme shall be developed, assessed and delivered in accordance with the processes and governance requirements set out in this guidance.

36. The flow chart in Appendix 1 provides an overview of progression of schemes from identification through approval to completion.

Minor and Large Minor Schemes Lifecycle

37. All minor and large minor active travel capital projects shall be progressed through a structured, phased lifecycle from initial concept through to completion. Figure 1 (page 12) illustrates the typical phased lifecycle of active travel schemes, including key hold points, decision gateways and progression through to procurement, construction and close out.

38. This guidance is based on a traditional design approach, whereby a consultant or in-house design team is appointed following approval of the business justification. There may be occasions where a non-traditional approach required, such as a partial financial contribution or design input to a project being delivered by another party. In these circumstances a tailored approach shall be adopted based on the principles outlined, to ensure robust governance and transparency in decision making.

39. Projects shall progress through feasibility, preliminary design and detailed design stages, followed by procurement and construction. Procurement shall be undertaken as part of the approval process at Hold Point 2. Progression between stages shall be subject to formal approval at the defined hold points.

40. At each stage, projects shall be developed to an appropriate level of detail to support informed decision-making, ensuring that objectives, costs and risks are clearly defined prior to progression.

Active Travel Programme Board

41. The Active Travel Programme Board (ATPB) provides programme-level oversight and assurance, including consideration of emerging risks, exceptions and lessons learned, and may recommend escalation or intervention to the SRO where appropriate.

42. The ATPB does not approve business cases. Approval of business cases shall be undertaken in accordance with the agreed delegated limits and approvals processes set out in this guidance.

43. Delivery teams shall provide assurance to the ATPB through the Programme Owner that governance requirements have been met across the programme.

Scheme Identification and Prioritisation

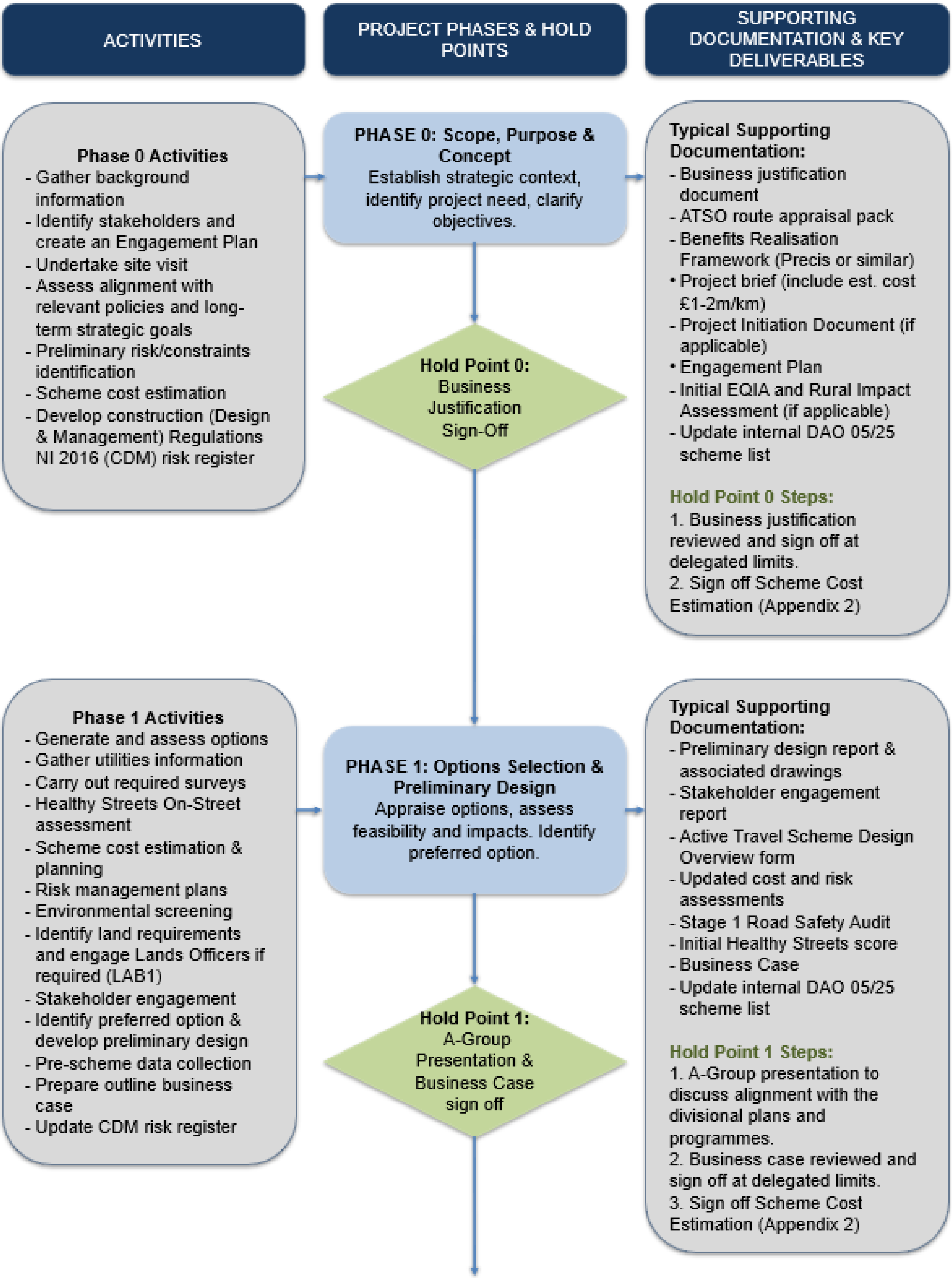
44. Active travel capital projects may be identified through the Active Travel Delivery Plan (ATDP), Belfast Cycle Network (BCN), Local Transport Plans, assessment of rural needs or from other sources, including members of the public, political representatives, other Departments and public bodies.

45. These schemes will initially be assessed by the Project Sponsor (PS) using a proportionate route assessment process in line with the principles of 'People, Places, Provision', alongside an evaluation of value for money, strategic fit and deliverability. The Project Sponsor (PS) will determine whether the scheme should progress.

46. Where a scheme is not taken forward, the Project Sponsor shall inform the requester and provide the reasons for the decision.

47. All schemes being progressed will be added to the 10-year Capital Works Programme. Schemes shall be progressed with consideration to annual budgets and future profiles, staff and design resource capacity and contractor availability. Inclusion in the 10-year Capital Works Programme does not constitute approval to commit expenditure, which remains subject to the appropriate business case approvals.

Figure 1 - Progression of schemes from identification through approval to completion



ACTIVITIES	PROJECT PHASES & HOLD POINTS	SUPPORTING DOCUMENTATION & KEY DELIVERABLES

Phase 2 Activities

- Produce and finalise detailed design
- Conduct appropriate environmental assessment and secure approvals (if required)
- Purchase Lands if required (LAB3)
- Carry out appropriate statutory procedures
- Consider buildability including temporary traffic management
- Update CDM Risk Register and communicate residual risks

PHASE 2: Detailed Design and Planning
Finalise design, meet regulatory requirements, prepare for construction

Supporting Documentation:

- Final design documentation including Active Travel Scheme Design Overview Form
- Detailed cost estimate
- Financial planning & project schedule
- Stage 2 Road Safety Audit
- Land sign off –permission to enter & accommodation agreement (if required)
- Approval in Principle for Structures and / or Geotechnical approval (if applicable)

Hold Point 2 Steps:

1. A-Group presentation (if significant change in scope)
2. Legislation & Lands
- TRO Consultation with Public and Statutory Bodies.
- Publication of TRO (if Required).
- Confirmation of access to all lands required for construction.
3. Sign off - Proceed to procurement at PGM and PMO level (Appendix 6)

Hold Point 2:
Permission to Proceed to Procurement

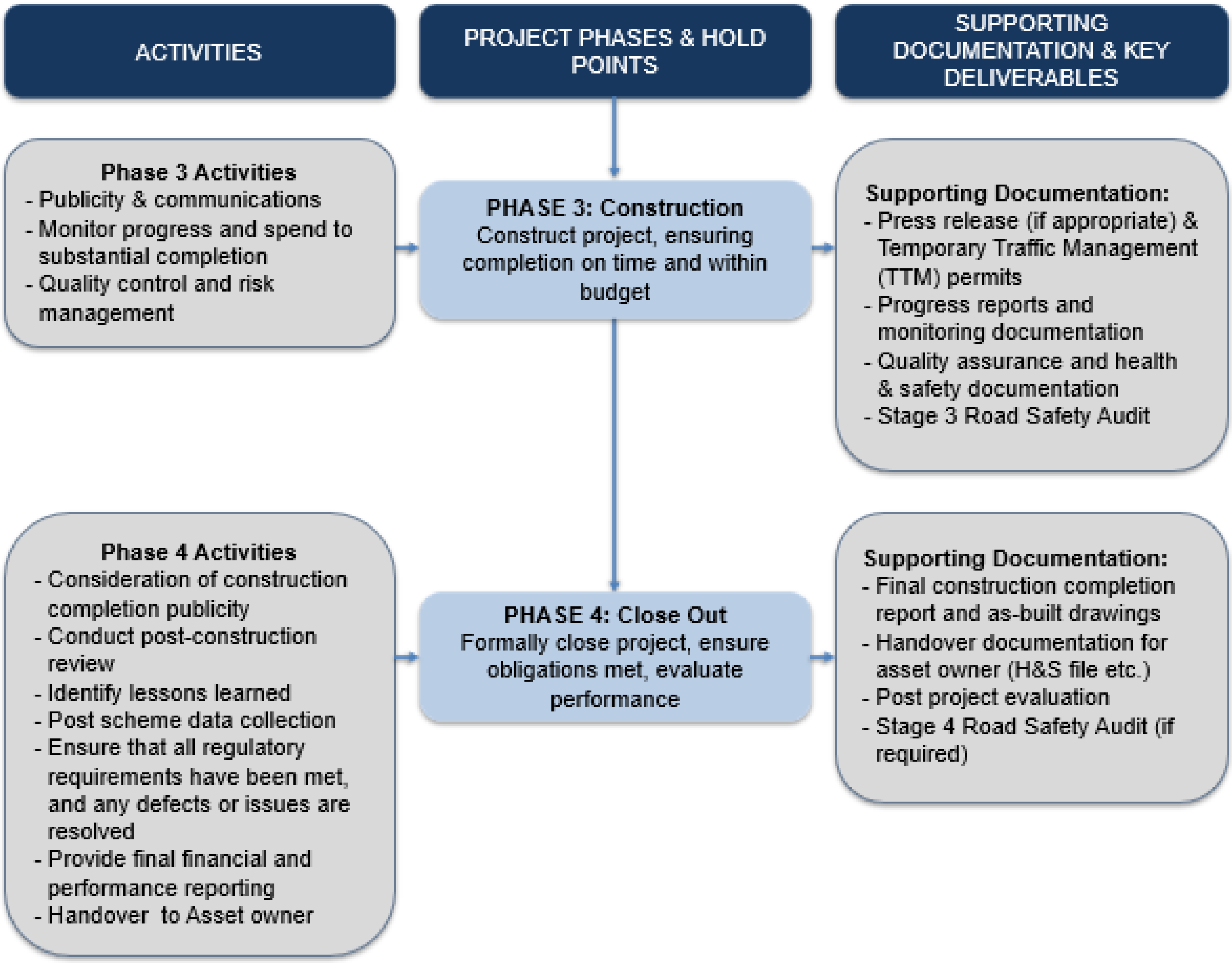
Procurement Activities

- Prepare tender documentation
- Conduct procurement and tender process in line with required standards

Procurement
Secure contractor and finalise arrangements

Supporting Documentation:

- Tender documentation
- Evaluation reports
- Award contract/Works Order
- Update internal DAO 05/25 scheme list


ACTIVITIES
PROJECT PHASES & HOLD POINTS
SUPPORTING DOCUMENTATION & KEY DELIVERABLES
Phase 3 Activities
- Publicity & communications
- Monitor progress and spend to substantial completion
- Quality control and risk management
PHASE 3: Construction
Construct project, ensuring completion on time and within budget
Supporting Documentation:
- Press release (if appropriate) & Temporary Traffic Management (TTM) permits
- Progress reports and monitoring documentation
- Quality assurance and health & safety documentation
- Stage 3 Road Safety Audit
Phase 4 Activities
- Consideration of construction completion publicity
- Conduct post-construction review
- Identify lessons learned
- Post scheme data collection
- Ensure that all regulatory requirements have been met, and any defects or issues are resolved
- Provide final financial and performance reporting
- Handover to Asset owner
PHASE 4: Close Out
Formally close project, ensure obligations met, evaluate performance
Supporting Documentation:
- Final construction completion report and as-built drawings
- Handover documentation for asset owner (H&S file etc.)
- Post project evaluation
- Stage 4 Road Safety Audit (if required)

Phase 0: Scope, Purpose and Concept

48. Phase 0 establishes the strategic context for the scheme, identifies the need for intervention and defines the project objectives. The activities and supporting documentation associated with this phase are set out in Figure 1 (page 12).

49. At this stage, schemes should be developed to clearly demonstrate alignment with the Department's Active Travel Benefits Realisation Framework, and to provide an initial understanding of the opportunities and constraints associated with the route. This includes consideration of the existing environment, stakeholder context and any key risks which may influence the development of the scheme.

50. The Active Travel Support Office (ATSO) will support this stage through the provision of an Engineering Pack, which identifies the route, outlines potential interventions and provides an initial evidence base to inform scheme development. These packs are intended to support early decision-making and provide a consistent starting point for design development across divisions.

51. Delivery teams shall use this information, alongside site-based assessments and stakeholder engagement, to develop a clear project brief and initial cost estimate. The level of detail at this stage should be proportionate, but sufficient to demonstrate the need for the scheme and justify progression.

52. The outputs of Phase 0 shall form the basis of the Business Justification, which is required to progress to Hold Point 0.

Hold Point 0: Business Justification Sign-Off

53. Hold Point 0 provides a clear decision point to confirm that there is a justified need for the scheme before progressing to preliminary design. The key deliverables associated with this hold point are set out in Figure 1 (page 12).

54. At this stage, a Business Justification shall be prepared and approved at the appropriate delegated level (see Table 1 – page

19). The Business Justification shall clearly set out the purpose of the scheme, the rationale for its prioritisation and its alignment with active travel plans (if applicable).

55. The cost included for approval at this stage shall relate to the estimated cost to inform the Outline Business Case (OBC) only. This shall be proportionate to the stage of development and sufficient to support decision-making. Indicative costs to complete the scheme are for information purposes and planning only at this stage.

56. Scheme cost estimation shall be undertaken in accordance with Appendix 2. This shall include high-level estimates of design, surveys, utilities, construction, site supervision and land costs, based on the information available at Phase 0. Any third-party contributions shall also be identified and recorded, along with the name and date of the approving officer for the Business Justification.

57. An estimated spend profile shall be prepared to support programme planning and financial management.

58. The current threshold for completion of a Risk Potential Assessment (RPA) is £5m based on the whole life cost of the scheme. This includes both initial capital costs and any ongoing operational or maintenance costs. As such, minor and large minor capital schemes with a total whole life cost exceeding £5m will require an RPA to be undertaken.

Programme Monitoring and Progression

59. A scheme Business Justification with a value >£100k shall be entered into the DAO 05/25 Departmental Delegations Database for monitoring by the DfI Economics Branch on a biannual basis.

60. Approval at Hold Point 0 confirms that the scheme is suitable to progress to Phase 1: Option Selection and Preliminary Design. No further design development shall be undertaken until approval has been obtained.

Phase 1: Option Selection & Preliminary Design

61. Phase 1 develops the scheme from initial concept to a preferred option through the appraisal of options and assessment of feasibility and impacts. The key activities and supporting documentation associated with this phase are set out in Figure 1 (page 12).

62. At this stage, delivery teams shall undertake a proportionate options appraisal to identify and justify a preferred option. Where appropriate, this appraisal should be structured in accordance with the Options Framework set out in Better Business Cases Northern Ireland guidance. The appraisal shall consider feasibility, safety, accessibility, environmental impacts and overall deliverability, and demonstrate how the preferred option aligns with project objectives and relevant sustainability criteria.

63. The development of options shall be informed by site-based assessments, stakeholder engagement and relevant surveys, including utilities and land requirements where appropriate. Evidence of stakeholder consultation and feedback shall be documented and used to inform the selection and refinement of the preferred option.

64. The preliminary design shall be developed to a level sufficient to demonstrate how the preferred option integrates with the surrounding network and meets the needs of users, particularly for walking, wheeling and cycling. Key risks, constraints and opportunities shall be identified and addressed at this stage.

65. A Stage 1 Road Safety Audit shall be undertaken, alongside initial Healthy Streets or equivalent assessments (see Appendix 3 Pre and Post scheme data collection), to support the development of the preferred option.

66. The outputs of this phase shall inform the Outline Business Case (OBC), which shall include the preferred option, updated cost estimates, risk assessment and supporting evidence. The OBC shall demonstrate that the scheme is viable, deliverable and represents value for money. The OBC should include a proposed

procurement strategy, in liaison with DfI Centre of Procurement Excellence (CoPE) as required.

67. Business case templates are available on the Department for Finance's website at https://www.finance-ni.gov.uk/publications/business-case-pro-formas. Table 1 (page 19) provides guidance for the pro forma to be used, depending on the value of the scheme. All business cases should be proportionate to the scale and complexity of the scheme. For schemes below the Measured Term Contract (MTC) threshold, the Business Case Pro Forma for Minor Expenditure should be used.

68. Completion of Phase 1 enables progression to Hold Point 1, where the scheme will be subject to A-Group engagement and formal approval of the Outline Business Case.

Hold Point 1: A-Group Engagement & Business Case Sign Off

69. Hold Point 1 provides a clear decision point to confirm that the preferred option has been appropriately developed, assessed and justified prior to progression to detailed design. The key deliverables associated with this hold point are set out in Figure 1 and comprise completion of the A-Group engagement, approval of the Outline Business Case (OBC) at the appropriate delegated level, and sign-off of the scheme cost estimation in accordance with Appendix 2. The OBC will include all sunk costs incurred to inform the OBC along with full scheme costs.

70. A-Group engagement provides advisory input to support scheme development and decision-making. It does not constitute formal approval, which remains with the appropriate delegated decision-maker.

Outline Business Case (OBC) Approval

71. At this stage, the Outline Business Case (OBC) shall be reviewed and approved at the appropriate delegated level (see Table 1 – page 19).

Table 1 - Delegated limits for business case approvals as outlined in [Chapter 23 of the Accounting Procedures Manual.]

	Total Proposed Expenditure	**Level of Approval Required**	**Business Case Template**
Capital projects – Active Travel	Up to £200k	HQ PPTO	Minor Expenditure
	£200k to £1.5m	Grade 6 / Deputy Director for Active Travel	Minor Expenditure <MTC; Moderate Expenditure >MTC
	£1.5m to £10m	Grade 5 / Director for Active Travel	Moderate Expenditure
	>£10m	DoF	Major Expenditure
	All other managed services	Grade 5 / Director for Active Travel	Professional services

72. The delegated limit approval process in this section applies to projects delivered directly by Active Travel delivery teams. Projects delivered by the wider Department shall follow their respective line management approval structures.

73. The submission shall demonstrate that a robust options appraisal has been undertaken, a preferred option has been identified and that the scheme is viable, deliverable and aligned with programme objectives and active travel plans. It shall also demonstrate value for money and provide sufficient evidence to support progression to detailed design.

74. Where business cases exceed the delegated authority of PPTO / Grade 7, the responsible PPTO shall review and endorse the business case prior to submission for approval at the appropriate level. The Programme Management Office (PMO) shall be consulted in advance of submission.

75. Department of Finance approval shall be sought for any project that may be considered novel, contentious, repercussive, or which could set an expensive precedent. Where there is uncertainty, DfI

Active Travel Programme Management Office should be consulted in the first instance.

A-Group Engagement

76. The scheme shall be subject to an A-Group engagement. The purpose of the A-Group is to provide divisions with sufficient sight of active travel projects and to improve the quality of design through constructive review and feedback. The review shall be documented using the ‘A’ and Mini ‘A’ Group Presentation Form (Appendix 4), and minutes of the review meeting shall be recorded and saved on Content Manager (CM).

77. The level of review shall be proportionate to the value of the scheme, as set out below:

    - For schemes valued above £200k, the review shall be undertaken by the A-Group, chaired by the DRM, with Senior Management present or represented.
    - For schemes valued between £50k and £200k, the review will typically be undertaken by the A-Group. Where delegated by the DRM, the review may be chaired by a PPTO. Other Senior Management Team members may be represented at SPTO grade.
    - For schemes valued up to £50k, approval may be given by the PPTO, with any engagement with other divisional teams recorded and saved in the project CM container. Delivery teams may allocate funding to Section Engineers to deliver these schemes, which are not required to follow the full appraisal and approval process.

Scheme Cost Estimation and Financial Governance

78. Scheme cost estimation shall be updated in accordance with Appendix 2 at the preliminary design stage. This shall include estimates for design, surveys, utilities, construction, site supervision and land costs.

79. Details of any third-party contributions shall be recorded, along with the name and date of the approving officer for the Outline Business Case. An updated estimated spend profile shall also be prepared to support programme and financial planning.

80. Responsible PPTOs and delivery teams shall ensure that all active travel expenditure is linked to an approved business case and is fully tracked. Expenditure shall not be committed, and work shall not commence, prior to approval being granted.

81. Delivery teams shall work with the PMO to ensure that all schemes are recorded on a centralised system, with programme performance reported periodically to the Active Travel Programme Board.

Business Case Considerations

82. The Outline Business Case shall demonstrate that the scheme has been robustly developed and assessed. Consideration should include, but is not limited to:

- Strategic clarity, ensuring the scheme contributes to relevant plans including the Active Travel Delivery Plan, Belfast Cycling Network Delivery Plan and Strategic Plan for Greenways and rural needs. Where schemes do not align, a clear rationale shall be provided.
- Commercial considerations, including appropriate allocation of responsibilities and sound financial management.
- Availability of resources and capability to deliver the scheme.
- A clear and measurable approach to monitoring and evaluation.
- Use of consistent and comparable management information.
- Application of appropriate engineering methods and standards, including the Active Travel Design Guide.
- Confirmation that an appropriate procurement approach will be followed.

83. Where there is uncertainty, delivery teams shall consult with the Programme Management Office.

Programme Monitoring and Progression

84. Upon approval of the Outline Business Case, the scheme shall be updated on the DAO 05/25 Departmental Delegations Database for monitoring by the DfI Economics Branch on a biannual basis.

85. Approval at Hold Point 1 confirms that the scheme is suitable to progress to Phase 2: Detailed Design and Planning. No further progression shall be made until approval has been obtained.

Phase 2: Detailed Design and Planning

86. Phase 2 develops the preferred option to a detailed design stage and prepares the scheme for procurement and construction.

87. At this stage, the detailed design shall be finalised to a level sufficient to support procurement and construction. The design shall reflect the preferred option approved at Outline Business Case stage and incorporate any feedback from the A-Group engagement.

88. The Project Manager (PM) shall confirm that the detailed design remains consistent with the approved Outline Business Case, including the scheme objectives, preferred option and cost. Where any of these elements have undergone a significant change, Appendix 5 shall be completed and submitted alongside an updated Appendix 2 for approval by the original Outline Business Case approver.

89. A significant change is defined as a material change to the delivery timeline of more than twelve months, an increase or decrease in scheme costs of greater than 10% or a change in scope. Any change which materially affects the strategic fit, user outcomes or deliverability of a scheme should be escalated for consideration, regardless of whether formal cost or time thresholds are exceeded. Where the approved option has changed, the Outline Business Case shall be revisited.

90. The detailed design and supporting documentation, including a Stage 2 Road Safety Aduit, shall demonstrate that the scheme is fully developed, deliverable, and ready for implementation. This

shall include confirmation of scheme costs, any required approvals, and a clear approach to delivery.

91. The outputs of this phase shall provide a completed detailed design package and supporting documentation sufficient to enable progression to Hold Point 2 for approval to proceed to procurement.

Hold Point 2: A-Group Engagement, Legislation/TRO and Sign-off to proceed to procurement

92. Hold Point 2 provides a formal gateway to confirm that the detailed design has been completed, the scheme remains aligned with the approved Outline Business Case, and all requirements are in place to proceed to procurement. The key deliverables associated with this hold point are set out in Figure 1 (page 12).

A-Group Engagement (if applicable)

93. If there has been a significant change in scope, the scheme shall be subject to a final A-Group engagement to assess progress, confirm alignment with divisional and strategic objectives, and ensure the scheme is ready to proceed to procurement. A-Group engagement provides advisory input to support scheme development and decision-making. It does not constitute formal approval, which remains with the appropriate delegated decision-maker.

94. The Project Manager (PM) shall confirm that the scheme remains consistent with the approved Outline Business Case, including the scheme objectives, preferred option and cost. Any significant changes shall have been identified and addressed during Phase 2 in accordance with the change control process.

Legislation/Traffic Regulation Orders

95. All required statutory processes shall be identified and progressed as part of this phase. This includes Traffic Regulation Orders (TROs), where applicable.

96. Further detail on the TRO process is set out in the relevant TRO Process guidance document.

Proceed to Procurement Sign-Off

97. Appendix 6 shall be completed and signed off by the Programme Management Office (PMO) and Programme Manager before proceeding to procurement.

98. Any public-facing cost estimates shall be based on the pre-tender estimate with an optimism bias level of 20% applied. This value shall be used consistently across all public-facing materials. Optimism bias (OB) shall be applied at all stages using the approved OB calculator located on page 20 of Active Mode Appraisal Toolkit User Guide.

99. The Programme Management Office shall be kept informed of scheme progress. Where appropriate, press notices shall be prepared and opportunities for scheme announcements or events identified.

Scheme Cost Estimation (Appendix 2)

100. Scheme Cost Estimation (Appendix 2) shall be updated. This shall include updated estimates for design, surveys, utilities, construction, site supervision and lands costs.

101. Details of any third-party contributions shall be recorded, along with the name and date of the approving PPTO. An updated estimated spend shall also be prepared.

Procurement

102. Following approval at Hold Point 2, procurement activities shall be undertaken in accordance with the relevant procurement routes and thresholds. Procurement methods include Term Contracts and Standalone Tenders/Call Off Contracts. Engagement with CoPE is advised for tender development as early as possible and contract award.

Proceed to construction

103. Following completion of procurement, the site supervisor and contractor shall be appointed, and the scheme shall be prepared for construction.

104. Pre-construction requirements shall be completed prior to commencement on site. This shall include, but is not limited to, completion of property condition surveys, submission and acceptance of the construction programme, and preparation of the Pre-Construction Health & Safety Plans and Environmental Management Plans for review and acceptance.

105. The principal designer, site supervisor and contractor shall ensure that any pre-construction activities are identified and progressed. This may include coordination with utility providers, enabling works, and any environmental or archaeological requirements associated with the scheme.

106. Construction shall not commence until all necessary approvals, documentation and pre-construction requirements have been submitted and accepted

Construction

107. Phase 3 involves the delivery of the scheme on site in accordance with the approved detailed design. The key activities and supporting documentation associated with this phase are set out in Figure 1.

108. At this stage, the Contractor shall undertake the works in accordance with the approved design and contract documentation agreed at Hold Point 2. The Site Supervisor and Project Manager shall oversee the works to ensure compliance with the approved design, specifications and quality requirements.

109. The Site Supervisor shall be responsible for managing delivery of the scheme, ensuring that the works are undertaken in line with the agreed programme and budget. This includes the management of risks and issues arising during construction and taking appropriate action to minimise impacts on delivery.

110. The Site Supervisor shall ensure that the works are carried out in accordance with the contract requirements, including compliance with health and safety and environmental obligations. A Stage 3 Road Safety Audit shall also be undertaken.

111. Delivery teams shall maintain appropriate oversight of scheme delivery and ensure that governance requirements are met. This includes continued stakeholder engagement, where appropriate, and ensuring that any changes arising during construction are managed in accordance with the established change control process.

112. Delivery teams shall ensure that financial monitoring and reporting requirements are met throughout the construction phase.

113. Delivery teams, as budget holders, are responsible for completing all financial returns issued by the Programme Management Office (PMO) within required timescales. Reported expenditure shall be reconciled against AccountNI and projected spend shall be updated to reflect the current financial year and future commitments.

114. Accurate and timely financial reporting is essential to support effective programme management and decision-making by the Active Travel Programme Board.

115. The outputs of this phase shall be a completed scheme ready for handover and close out.

Close Out

116. Phase 4 involves the formal completion, handover and evaluation of the scheme. The key activities and supporting documentation associated with this phase are set out in Figure 1, which include a Stage 4 Road Safety Audit (if required).

117. The Project Manager shall ensure that the scheme is formally handed over in accordance with the contract requirements and that all contractual obligations have been fulfilled, including agreement of the final account and resolution of any outstanding issues.

118. The Project Manager shall ensure that all relevant documentation is obtained from the Contractor and/or Site Supervisor and stored on Content Manager (CM) within the scheme folder. This shall include, but is not limited to, as-constructed drawings, the Health and Safety File, pre- and post-scheme surveys, and Public Safety Risk Assessments (PSRAs).

119. A Post Project Evaluation (PPE) shall be undertaken by delivery teams in accordance with Appendix 7. This shall be completed within 12 months after scheme completion, to confirm that the scheme objectives have been achieved and that the works have been delivered in line with the approved cost and programme.

120. The PPE shall include an assessment of whether the benefits identified in the Outline Business Case have been realised and measured appropriately. The Project Sponsor will be responsible for benefits realisation. Post Project Evaluations will be monitored by the PMO, with any overdue evaluations or material shortfalls in benefits reported through programme governance arrangements.

121. Lessons learned shall be captured by delivery teams as part of the close out process and shall be provided for inclusion in the DfI Active Travel Annual Lessons Learned Report.

122. The outputs of this phase shall be a fully completed and closed scheme, with all documentation finalised, benefits evaluated and lessons learned recorded.

123. Completion of Phase 4 marks the end of the scheme lifecycle as set out in Figure 1

COLLECTIVE IMPACT ASSESSMENTS

Equality Impact Assessment (EQIA) Section 75 of the N. Ireland Act 1998

124. This guidance document has undergone an Equality Screening Analysis and it was considered that a full Equality Impact Assessment was not required.

125. A copy of the completed 'Equality Screening Analysis Form' has been signed off and forwarded to the DfI Equality Unit. The screening analysis can be viewed on the DfI website: https://www.infrastructure-ni.gov.uk/publications/type/impactassessments?search=screening

Rural Proofing

126. A rural needs impact assessment has been carried out under the Rural Needs Act (NI) 2016. The rural needs impact assessment has been forwarded to the DfI Equality Unit.

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

127. The role of an Impact Assessment is to provide a detailed and systematic appraisal of the potential impacts of new legislation or regulations etc, e.g. codes of practice, in order to assess whether the regulation is likely to achieve the desired objectives. This RsPPG only updates pre-existing policies and procedures and there is therefore no new impact identified. An Impact Assessment has not been carried out in the updating of this RsPPG.

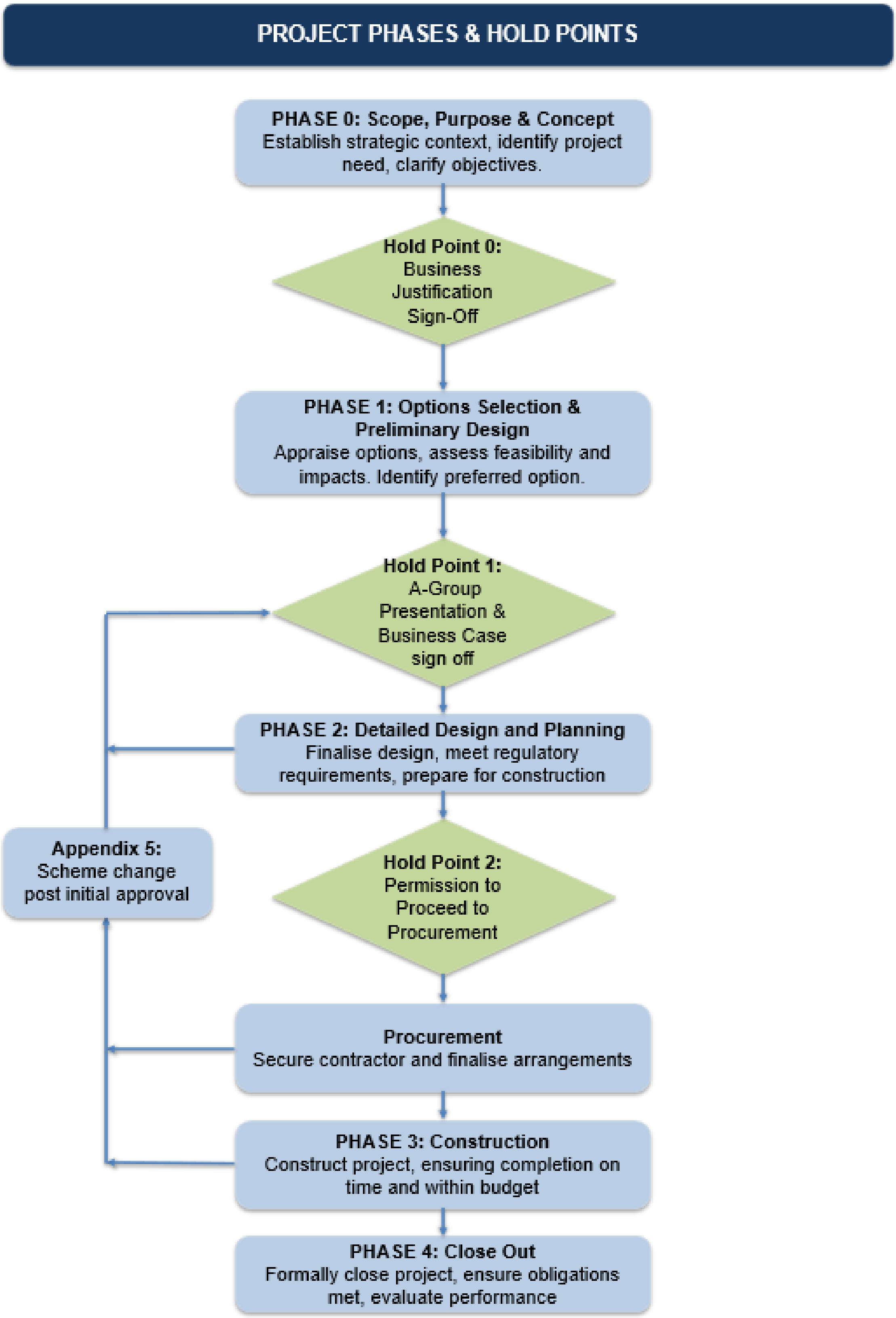
Lifetime Opportunities – Government's Anti-Poverty Strategy (replaces New TSN)

128. This RSPPG formalises the procedure for approval of active travel schemes which by their nature provides affordable travel choices to many people.

Privacy Impact Assessment

129. A privacy impact assessment screening has been completed, and it concluded that a privacy impact assessment is not necessary for this RsPPG.

Appendix 1: Flowchart of the Progression of Active Travel Capital Schemes



Appendix 2: Scheme Cost Estimation

Guidance on Appendix 2

This appendix sets out the standard approach for the preparation and presentation of scheme cost estimates for Active Travel capital projects. It provides a consistent template to ensure costs are captured, reported and reviewed at key stages of the project lifecycle, supporting robust financial governance and decision-making.

Cost estimates are required at all key approval stages, including initial business justification (Phase 0), Outline Business Case (Phase 1), proceed to procurement (Phase 2) and construction (Phase 3).

The template captures the full anticipated cost of a scheme, including design, surveys and investigations, utilities, construction, construction management and land, alongside total project costs, third-party contributions and the net cost to the Active Travel budget.

Allowances for risk and uncertainty shall be incorporated within estimates through appropriate contingency and optimism bias. Any public-facing cost estimates shall be based on the pre-tender estimate with an optimism bias level of 20% applied. This value shall be used consistently across all public-facing materials. Optimism bias shall be applied at all stages using the approved OB calculator located on page 20 of Active Mode Appraisal Toolkit User Guide.

Appendix 2 shall be completed and updated at each stage of scheme development, with all changes clearly recorded and aligned with the relevant approval processes. It forms a key part of the audit trail, ensuring transparency, consistency and accountability in the development and delivery of schemes.

SCHEME NAME	
Job Number	
Council Area	
Project Sponsor	

Capital Cost	Design Costs*	Survey/ Investigation Costs*	Services Cost*	Construction Cost*	Construction Management Costs*	Land Cost*	Total Project Cost	Less 3rd party contributions **	Total Cost to Active Travel	Approved By	Date of Approval
Phase 0: Initial Assessment Stage							£0.00		£0.00		
Phase 1: Preliminary Design Stage/Preferred Option/Business Case							£0.00		£0.00		
Hold Point C: Proceed to procurement							£0.00		£0.00		
Phase 3: Construction Phase (Award contract)							£0.00		£0.00		

*Please ensure Optimism Bias and/or contingency percentage is included, if required.
**i.e. NIE, carriageway resurfacing, Network Development etc.

SCHEME NAME	
Job Number	
Council Area	
Project Sponsor	

Capital Cost	**Active Travel Budget Profile**			
	Year	**Year**	**Year**	**Year**
Phase 0: Initial Assessment Stage				
Phase 1: Preliminary Design Stage/Preferred Option/Business Case				
Hold Point C: Proceed to procurement				
Phase 3: Construction Phase (Award contract)				

Appendix 3: Pre and Post Scheme Data Collection

Guidance on Appendix 3

Appendix 3 lays out the information that should be collected before the scheme commences inform the business justification and outline business case.

The post scheme data collection will be used to collate the Post Project Evaluation and inform reports to the Active Travel Programme Board.

Pre Scheme Data Collection:

Pre Scheme Data Collection	Score
RAT PPP Score	/9
RAT Unweighted Score	/42
Number of key destinations to be connected	
Estimated resident population within a three-minute cycle or a nine- minute walk of completed infrastructure.	
Healthy Streets Score	/42
Existing number of users (physical count)	
KMs of new or improved proposed footway/ shared/cycle lane/ segregated cycling	

Post Scheme Data Collection:

Pre Scheme Data Collection	Score
Number of key destinations connected	
Estimated resident population within a three-minute cycle or a nine- minute walk of completed infrastructure.	
Healthy Streets Score	/42
Number of additional journeys made by walking, wheeling and cycling following completion of schemes (over 3 years period).	
KMs of new or improved footway/ shared/cycle lane/ segregated cycling	

Appendix 4: A Group Presentation Form

The purpose of the A-Group engagement is to provide collaboration across divisions and to improve the quality of schemes through constructive review and feedback. The review shall be documented using the ‘A’ and Mini ‘A’ Group Presentation Form, and minutes of the review meeting shall be recorded and saved on Content Manager (CM).

Scheme Proposal

‘A’ GROUP – Presentation form

SCHEME TITLE:	Date of meeting:

Location:

Council Area:	**Stretch No:**

Proposing Section:

Scheme Champion:

Functional Activity:	**Cost Centre:**

Description:

Objectives:

Transportation Opportunities:

Additional Comments:

£K Estimate:

Land Requirement:

Planning Requirement:

PPTO Signature: **Date:**

For Meeting Use: -

Action									
Approve		Resubmit		Abandon		Refer to A Group		Refer to C Group	

Post Completion Review required Y / N

Appendix 5: Scheme Changes Post Initial Approval

Guidance on Appendix 5

Appendix 5 should be completed where there is a significant change in the scheme after the initial approval has been given by the appropriate person. For Costs this means 10%. It is important to remember that Appendix 5 must be completed if the costs escalate above these thresholds, regardless of when a scheme is included in the programme.

Appendix 5 applies to those schemes where there has been a significant change in a scheme between the approval being received and the scheme construction being completed. It applies equally to schemes where there is a change prior to construction commencing and schemes where a cost over-run becomes obvious during construction.

Any change which materially affects the strategic fit, user outcomes or deliverability of a scheme should be escalated for consideration, regardless of whether formal cost or time thresholds are exceeded.

If any of these elements have undergone a significant change Appendix 5 must be filled out along with an updated version of Appendix 2. These should be resubmitted to the for approval, alongside the addendum business case, at the appropriate delegated limits levels.

Scheme Changes Post Initial Approval APPENDIX 5 Pro-forma

Scheme Name

Job No

Is the reason for the scheme change a result of a change in;

Objectives ☐ Options ☐ Cost ☐

In the box below please outline the changes made, the reasons for the change, and detail the effect this is likely to have on the scheme as a whole.

Change approved by:

Signed:

Grade:

Date:

Appendix 6: Proceed to Procurement Pro Forma

Guidance on Appendix 6

Appendix 6 shall be completed and signed off by the Programme Management Office (PMO) and HQ PPTO before proceeding to procurement.

Appendix 6: Proceed to Procurement Pro-forma

Scheme Name	
Job No	

Cost Review		
Capital cost per OBC	£	Date:
Expected cost after detailed design	£	Date:
Appendix 5 *Scheme changes post initial approval'* completed (if appliable)	Y (copy attached)/N	Date
Spend Profile	Current Year:	Future Years:

Objectives Review		
Timeline for construction per OBC	From:	To:
Expected timeline after detailed design	From:	To:
Appendix 5 *Scheme changes post initial approval'* completed (if appliable)	Y (copy attached)/N	Date

Other		
Active Travel Scheme Design Overview Form	Signed: Y (copy attached) /N	Date:
A-Group engagement (if significant change in scope)	Y (copy attached) /N	Date:
TRO Consultation with Public and Statutory Bodies.	Y (copy attached)/N	Date:
Publication of TRO (if required).	Y (copy attached)/N	Date:
Confirmation of access to all lands required for construction.	Y (copy attached)/N	Date:

Updated risk register	Y (copy attached)/N	Date:

Reviewed by PMO:	
Date:	

Approved by (PPTO or Grade 6)	
Date:	

Appendix 7: Post Project Evaluation Link

A post project evaluation should be completed for all Active Travel capital projects. It is important to capture the lessons learned from each project, what worked well and what could be improved. The Project Sponsor will be responsible for benefits realisation. Post Project Evaluations will be monitored by the PMO, with any overdue evaluations or material shortfalls in benefits reported through programme governance arrangements.

All PPE's must be completed within **one year** of substantial completion and submitted to CPD for the record. The current pro-forma is included at the link below:

Link to Post Project Evaluation Template

Appendix 8: Active Travel Scheme Checklist

Guidance on Appendix 8

This checklist should be incorporated in the inside sleeve of each scheme file, updated as the scheme progresses and checked by the Project Owner (HPTO).

This checklist is particularly useful to meet auditing requirements

Appendix 8: Active Travel Scheme Checklist

Scheme Name		Job No	

* This Checklist should be saved to the scheme Content Manager file and checked by Project Sponsor (SPTO).

Item	Yes	No	Date
Appendix 2: Scheme Cost Estimation			
Appendix 3: Pre and Post Scheme Data Collection			
Appendix 4: A Group Presentation Form			
Appendix 5: Scheme changes post initial Approval			
Appendix 6: Proceed to procurement sign off			
Appendix 7: Post Project Evaluation Form			
Appendix 8: A Group Presentation Form			
For all schemes a copy of Appendices 3, 6 and 7 has been returned to Active Travel HQ			

Scheme Summary Details		Yes	No	Date
Hold Point 0	Business Justification			
Hold Point 1	‘A’ Group review			
Hold Point 1	Business Case			
Hold Point 2	‘A’ Group review (if required)			
Hold Point 2	Legislation/TRO			
Hold Point 2	Proceed to procurement form (Appendix 6)			
Departures approval.	Scheme Design Overview			
Assessments	S75 EQIA & Rural Impact			
Lands Section.	Lab 1 form			
	Lab 2 form			
	Lab 3 form			
Land Acquisition.	Vesting order (Date operative)			

	Acquisition by agreement			
Road Safety Audit.	Stage 1			
	Stage 2			
	Stage 3			
	Stage 4			
Traffic Regulation Order (TRO)	Consultation			
	Publication			
To Measured Term.				
To Tender.				
Scheme Start Date.				
Scheme Completion Date.				

Scheme Finance Code

CC	Job Number	Analysis 1	Analysis 2	Analysis 3

Signed ____
Date______________________