



Department
for Education

Condition Improvement Fund 2019 to 2020

Information for applicants

October 2018

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1. About this guidance

This guidance is for academies and sixth-form colleges wishing to apply to the Condition Improvement Fund (CIF) for the 2019 to 2020 financial year (April 2019 to March 2020).

It explains what CIF is, who is eligible to apply for CIF funding, what types of projects are eligible and how bids for funding will be assessed for the 2019 to 2020 round.

If you wish to apply for funding, you should first familiarise yourself with this guidance.

The deadlines and important dates for CIF 2019 to 2020 are in section 4.0.

1.1 About the Condition Improvement Fund

CIF's core priority is to support condition projects and the focus of the fund is to keep academy and sixth-form college buildings safe and in good working. Most CIF funding aims to address issues with significant consequences that revenue or [Devolved Formula Capital \(DFC\)](#) funding cannot meet. These include issues with poor building condition, building compliance, energy efficiency or health and safety.

We give the highest priority to condition projects that address compliance and health and safety issues. These include fire protection systems, gas safety, electrical safety or emergency asbestos removal. We will then give priority to projects that ensure weather tight buildings and continuous heating and water supply.

CIF also supports a small proportion of expansion projects for academies and sixth-form colleges Ofsted has rated either good or outstanding and which need to expand their existing facilities and/or floor space to either:

- increase the number of admissions in the main year of entry or
- address overcrowding, including cases of recently approved age-range expansion and sixth-form expansion

We expect that CIF funding is used for the project it was awarded for and any change to the scope of the works or specification must be agreed with the CIF team before it is undertaken.

There are 2 new features for CIF this year:

- We ask that projects can demonstrate that they are designed to satisfy the relevant performance requirements of the [Output Specification 2017\(OS\)](#). This is to ensure that we fund projects of the appropriate quality and further details are in section 8.1.
- We have adjusted the assessment criteria to give more weighting to the project cost criterion in order to give additional focus to the overall value for money of the proposed project (see section 7).

As previous CIF rounds have been heavily oversubscribed, we expect similarly high levels of demand for the 2019 to 2020 round.

Only applications that demonstrate a high project need, supported with evidence, and which align closely with the priorities of CIF are likely to be successful. Unfortunately, it will not be possible to fund all good applications because of the scale of demand.

If you are preparing an expansion project, you may wish to consider the alternative option of [opening a free school](#) as this could meet your requirements or need for places in your local area.

There is no additional funding through the Healthy Pupils Capital Fund in CIF 2019 to 2020.

For further information about CIF and the latest updates, please refer to [GOV.UK](#).

2. Who can apply for CIF funding

For your establishment to be eligible to apply for CIF funding it must not be part of a larger multi-academy trust (MAT of at least 5 academies and more than 3,000 pupils), or an opted-in chain, that receives formulaic funding (see 2.1 and 2.2 below). It must also be open before the January 2018 school census and either be:

- an open academy or sixth-form college as of 1 September 2018 or
- a school with a signed academy order as of 1 September 2018 that the department expects will convert by 1 April 2019

In any given financial year, all eligible schools will either receive a formulaic allocation via their MAT or chain, or be able to bid to CIF. If you are unable to register and/or create an account, but think that you are eligible to apply to CIF, please contact us as soon as possible via the [ESFA enquiries contact form](#).

2.1 Multi-academy trusts

If you are part of a MAT with at least 5 academies as of 1 September 2018, and those academies had more than 3,000 pupils in the January 2018 school census, you do not need to apply to CIF.

Your MAT will receive a formulaic allocation to use strategically across your estate for the financial year 2019 to 2020. We will contact all MATs eligible for a formulaic allocation.

MATs can follow the guidance on [capital funding for MATs](#).

2.2 Opted-in academy chains

Over the summer term, we contacted academy chains that met our size criteria as of 1 April to offer them the opportunity to opt in to a single School Condition Allocation. If the accounting officers of the chain's constituent academy trusts have opted in to this offer, and we have confirmed the opt-in, then the opted-in trusts in the chain do not need to apply to CIF. The accounting officer of your academy trust will be able to confirm whether you are part of an opted-in chain.

Opted-in chains can follow the guidance on [capital funding for MATs](#).

2.3 Schools with academy orders

If you are a school with a signed academy order and are unable to log onto the CIF portal, please contact the CIF team as soon as possible via the [ESFA enquiries contact form](#). Once you have obtained the agreement of your academy lead, we can give you access to the CIF portal so you can make an application.

If successful, schools with a signed academy order must have converted to an academy by 1 April 2019 so we can release your funding.

If this is not the case, funding will be held back until conversion has taken place up until 1 September 2019. If conversion has not taken place by then the funding may be withdrawn.

2.4 Selective academies

Fully and partially selective schools, that select on the basis of general academic ability, will not be eligible to apply to CIF 2019 to 2020 for added places expansion projects, but they can apply for condition projects or to address overcrowding. We will confirm the arrangements for the next round of the [Selective Schools Expansion Fund \(SSEF\)](#) for these schools in 2019.

3. Types of project which are eligible for CIF funding

There are 3 categories of CIF project: condition, condition with expansion and expansion. Projects may be re-categorised by the DfE if they do not meet the qualification criteria for the selected category.

Projects will be scored against 3 weighted assessment criteria:

- project need 60%
- project planning 15%
- project cost 25%

There is more information about how these criteria are assessed in the sections of this guidance about condition projects (section 8) and expansion projects (section 9). Condition with expansion projects will be scored using the same criteria as a condition project.

A CIF application will be either fully funded or unsuccessful; we will not fund part of the proposed works within an application. Retrospective projects will not be funded.

3.1 Condition projects

These are projects to improve the condition of a school or sixth-form college building, with no expansion of the gross internal floor area (GIFA).

3.2 Condition with expansion projects

These are projects to improve the condition of a school or sixth-form college building where the GIFA of the new block is up to 10% larger than the previous block. The aim of the project must primarily be to address significant condition need.

We will accept projects in this category where the GIFA of the new block is larger than 10% of the existing GIFA, if you provide clear evidence that there is no other alternative to meeting area standards as defined by [Building Bulletin 103](#) or [104](#).

The evidence for the project need section of condition with expansion must focus on and demonstrate the condition need. Projects that add new functional areas or facilities, or wish to increase their published admittance number (PAN), must be submitted as expansion applications.

For more information about condition projects, refer to section 8 of this guidance.

3.3 Expansion projects

Expansion projects create additional places or address overcrowding. Academies and sixth-form colleges looking to expand must demonstrate that they are high performing (see criteria in section 9) and the GIFA of the new block must be more than 10% larger than the previous block or must add functional areas or facilities. You should submit evidence that there is no other alternative to meeting area standards across the whole site, as defined by [Building Bulletin 103](#) or [104](#).

Fully and partially selective schools, that select on the basis of general academic ability, will not be eligible to apply to CIF for added places expansion project (see section 2.4).

3.3.1 Added places projects

Expansion projects that lead to an increase in the number of pupils on roll will be defined as added places projects.

3.3.2 Overcrowding projects

Expansion projects that address existing overcrowding (in schools where the existing number of pupils on roll is greater than capacity) but do not result in an increase to the number of pupils on roll, will be defined as overcrowding projects.

We recognise that in some cases, value for money can be achieved by adding places in projects that are primarily to address overcrowding. We will define and assess these projects as overcrowding if you provide clear evidence that overcrowding is the primary focus of the expansion, and adding places offers good value for money.

Where a project is re-categorised as an expansion project or the type of expansion is re-categorised, and the supplementary data is not available (see section 9), the application may be penalised and is unlikely to be successful.

For more information about expansion projects, refer to section 9 of this guidance.

4. Important dates for CIF 2019 to 2020

| Milestones | Dates |
|--|--------------------------|
| Launch of CIF 2019 to 2020: Information for Applicants published and online application window opens | 23 October 2018 |
| Deadline for new applicants to register | 5 pm 30 November 2018 |
| CIF portal helpline opens | 9 am 29 November 2018 |
| Deadline for all applicants to submit applications | 12 noon 13 December 2018 |
| Deadline for submitting significant change request (if required) | 12 noon 13 December 2018 |
| Notify applicants of outcomes | Spring 2019 |

Table 1: Important dates for the CIF 2019 to 2020 round

5. Project thresholds for CIF 2019 to 2020

All CIF projects must aim to improve a capital asset held in freehold or on a long lease, used for education provision for pupils between the ages of 2 and 19 years. You cannot use CIF funds to purchase land.

| School type | Minimum project threshold | Maximum project threshold |
|--|---------------------------|---------------------------|
| Primary and special schools | £20,000 | £4,000,000 |
| Secondary schools, all-through schools and sixth-form colleges | £50,000 | £4,000,000 |

Table 2: Project thresholds for CIF 2019 to 2020 according to school type

We expect schools and sixth-form colleges to use their revenue and [DFC](#) funding for capital works below these limits.

You can apply for a CIF loan at Public Works Loan Board (PWLB) interest rates for all or part of the project funding for any CIF project. You can also apply for an interest free energy efficiency Salix loan for all or part of the project funding if the project will provide revenue savings for energy efficiency works (see Annex A).

The planning and preparation, as well as the construction programme must be realistic and achievable. The majority of funds will be allocated for projects that complete by 31 March 2020. Larger projects may last up to 2 years but all projects must complete by 31 March 2021.

We will withhold payments for successful CIF 2019 to 2020 projects, if the trusts that submitted these applications have outstanding monitoring or completion returns from previous CIF rounds. Payments will only be released when these reports have been submitted and accepted by the CIF team.

Information and communication technology (ICT) software, loose furniture and equipment are ineligible. ICT hardware will not be eligible unless there is clear evidence that it is an integral part of the project. ICT infrastructure (cabling, wireless and switching) is only eligible when it is an integral part of a larger project.

6. Applying to CIF

If you wish to apply for CIF funding, you must do so using the [CIF Applicants Checklist](#) and the [CIF portal](#) that includes a detailed user guide to help you.

The CIF portal will automatically allow eligible schools or colleges to register and create an account.

The application form is designed for you to summarise the most important features and rationale behind a project. You can attach project documentation as evidence to support the case being made. You should not include the school or college's history or the history of the condition issue; this is not required and may reduce the amount of more relevant information you can include.

We do not expect you to spend significant time and resources preparing bids for CIF beyond that required to carry out your responsibilities for managing your site effectively.

Evidence you submit should be proportionate to the scale of the project. For example, we would expect more robust information for a project requesting £100,000s than for one requesting an amount nearer the minimum project thresholds.

6.1 CIF portal account access

You will need access to a portal account in order to apply to CIF and, if you already have an account, should make sure that all the contact details are kept up to date.

Make sure that when you create an account you use a username that can be used by other members of staff if required, as once a username is set it cannot be changed.

If you already have an account from the previous CIF application round you should continue to use your existing account and not create a new one.

If you have forgotten your username or password, you can reset this by following the instructions on the [CIF portal](#).

If you are unable to register and/or create an account but think that you are eligible to apply to CIF, please contact us as soon as possible via the [ESFA enquiries contact form](#).

6.2 Applying for 2 projects

You may submit up to 2 projects per academy or sixth-form college on the [CIF portal](#) but only one of these may be an expansion project. You may not apply for 2 expansion projects.

These projects will be assessed separately and independently from each other. If the 2 projects are linked then please refer to this in the application form. There is no guarantee that if one project is successful, the other one will be too. You may want to consider whether a single, combined application might be more appropriate.

6.3 Use of technical advisers

You can use technical advisers or representatives to help prepare your application and to deliver the works but they cannot apply on your behalf.

We are required to deal with the responsible official at the institution with whom the Secretary of State has a signed funding agreement, or in the case of a sixth-form college, a member of the senior management team.

If you use a technical adviser who may also be working with other applicants, make sure that any evidence you submit applies to your school or sixth-form college.

You are responsible for the accuracy and relevance of the information submitted. If an error is made in the information you provide in your application, then this will influence your final score.

6.4 Multi-site projects for MATs

Eligible multi-academy trusts (MATs) are encouraged to consider grouping high need projects across more than one academy site to promote strategic benefits and efficiency savings. Multi-site projects will count as one project for each of the academies involved.

You should submit multi-site projects individually, making reference to the other schools involved, and not present them as a large multi-site project on one application form.

6.5 Access and specialist facilities for pupils with special educational needs and disabilities (SEND)

Where works are required to address [specific needs](#) for a pupil with an Education, Health and Care Plan (EHCP) because the commissioning body has placed the child in the school, it is the responsibility of the commissioning body to fund those works.

Where an EHCP is not in place, you may apply to CIF for minor adaptations – lifts, toilets, showers and other hygiene facilities, etc. to enable the pupil to access the school site appropriately.

6.6 Priority Schools Building Programme

If you are an academy or sixth-form college with a Priority Schools Building Programme (PSBP) project, you should contact your PSBP Project Director before you apply to make sure that you do not duplicate works covered by this project in your CIF application.

If an urgent issue arises, you should also let your Project Director know as this might affect the PSBP works.

6.7 Risk Protection Arrangement

The DfE's Risk Protection Arrangement (RPA) is a voluntary arrangement for academies and free schools. It is an alternative to insurance, through which the cost of risks that materialise will be covered by government funds.

RPA automatically provides cover for damage to any existing structure owned by an RPA member or for which the member is responsible, up to the full reinstatement value of the existing structure.

There is no requirement to notify RPA if refurbishment works are being undertaken. RPA automatically provides cover for damage to contract works with a limit of £250,000 for any one claim. However, there is no provision within RPA to waive subrogation rights against any party (other than another member of the RPA) or provide 'joint names' cover as required by some form of building contracts (e.g. Option C of JCT).

Therefore, members of the RPA will need to seek amendments to most standard forms of contract. For further advice and information on the options available to you are in Annex C.

6.8 Energy efficiency works

Works to improve energy efficiency, such as lighting projects, that do not involve works to address high need condition issues, are unlikely to be successful in receiving CIF funding as they have a lower priority.

You should not apply for these energy efficiency works unless they form part of a larger proposal where the primary purpose is to address poor condition.

The Salix Energy Efficiency Fund (SEEF) accepts applications for works to improve energy efficiency without a condition need and the current round of SEEF closes on 30 November. SEEF is administered by [Salix Finance](#) but funded by the DfE. You should not include within a CIF application any energy efficiency works that are part of a SEEF application.

7. Assessment criteria

Assessors will evaluate each project using the information contained within the application, and make a relative judgement, to award an overall project score. They will assess expansion projects by using school performance data generated from DfE centrally held sources not just information provided by applicants.

| Assessment criteria | Weighting |
|---------------------|-----------|
| Project Need | 60% |
| Project Planning | 15% |
| Project Cost | 25% |
| Total | 100% |

Table 3: Weighting of assessment criteria

Our intention is to fund academies and colleges with the most pressing needs, but only where the proposed project is appropriately planned and presents value for money. This year we have increased the Project Cost criterion to 25% of the overall score and reduced the Project Need by 10% to 60% to reflect a stronger focus on the value for money of the proposed works. The sub-criteria set out in the following sections remain broadly the same as last year and we advise all applicants to read them carefully.

The following sections set out the basis for judgements under each set of assessment criteria and set out the information you might consider providing to support applications, given the principle of proportionality applied to this programme.

These lists are not exhaustive, and you should be aware that we will assess the contents of the information (its relevance, robustness, independence, clarity, whether it addresses any concerns etc.), not simply whether it has been submitted. The evidence should speak for itself; it should not require significant explanation.

8. Condition project applications

We target most funding at building condition projects and assess condition with expansion projects as condition projects.

Before making an application for a condition project you should consider how we assess:

- Project Need - section 8.3
- Project Planning - section 10
- Project Cost - section 11

We expect the majority of projects supported through the CIF to involve the replacement of components such as windows, doors, roofs and boilers.

Applicants should seek professional advice and summarise component specification and value for money considerations made as part of their options appraisal where appropriate.

8.1 Condition project priority and specification

Due to the anticipated demand for funding, we expect only applications that closely align with the CIF policy priorities will be successful. We are unlikely to fund projects that fall into the low and lowest categories. Assessors will make a final judgement on which category each project falls under. Table 4 sets out the CIF project priorities.

All applicants should refer to the [Output Specification 2017](#) (OS) when preparing their CIF project. The OS sets out the quality standards and performance requirements for school buildings and grounds. It comprises of Generic Design Brief and Technical Annexes, the contents of which are set out in Table 5.

| Category | Priority Level |
|--|----------------|
| <p>Legislation Compliance and Health & Safety, including:</p> <ul style="list-style-type: none"> • emergency & managed asbestos removal to facilitate essential works • gas safety • electrical safety • lift safety • water services - (hot and cold) and drainage, • ventilation/air quality and thermal comfort • fire safety • security and safeguarding | Highest |
| <p>Life Expired Condition Replacement – where there is a risk of school closure, including:</p> <ul style="list-style-type: none"> • building structure • mechanical systems • electrical systems • utility capacity and connections | High |
| <p>Life Expired Condition Replacement, including:</p> <ul style="list-style-type: none"> • building fabric – internal or external • building structure • mechanical systems • electrical systems | Medium |
| <p>Areas below current standards, including:</p> <ul style="list-style-type: none"> • Whole block • Basic Teaching • Large spaces, studios, dining and social • Kitchen • Plant • Learning resources areas • Staff and admin • Storage • Changing • Toilets • Circulation | Low |

| | |
|--|---|
| <p>Other works: Evidence must provide a clear condition and value for money case. This might include:</p> <ul style="list-style-type: none"> • accessibility improvements (teaching and non-teaching) • building fabric (non-teaching, e.g. external sports equipment stores etc.) • mechanical and electrical systems (non-teaching) • insulation/draught proofing (non-teaching) • lighting (non-teaching) | Lowest |
| <p>Other works: all other works, where there is either weak or no evidence of significant compliance, health and safety concerns or condition/value for money.</p> <p>We will not consider these cases a priority for CIF 2019 to 2020 and will reject them on that basis. Examples include resurfacing car parks or small teaching environment refurbishments.</p> | Will not be funded through CIF 2019 to 2020 |

Table 4: Policy priority ratings for condition projects

| | <u>Generic Design Brief</u> | <u>Technical Annexes</u> | |
|---------|-----------------------------|--------------------------|--|
| Section | Content | Annex | Content |
| 1 | Context and Key Principles | 1A | Definitions of Spaces: Mainstream Schools |
| | | 1B | Definitions of Spaces: SEND and Alternative Provision |
| 2 | Buildings and Grounds | 2A | Sanitaryware |
| | | 2B | External Space and Grounds |
| | | 2C | External Fabric |
| | | 2D | Internal Elements and Finishes |
| | | 2E | Daylight and Electric Lighting |
| | | 2F | Mechanical Services and Public Health Engineering |
| | | 2G | Electrical Services, Communications, Fire and Security Systems |
| | | 2H | Energy |
| | 2I | Controls | |

| | Generic Design Brief | Technical Annexes | |
|---------|--------------------------------------|-----------------------------------|---|
| Section | Content | Annex | Content |
| 3 | Fittings, Furniture and Equipment | 3 | Fittings, Furniture and Equipment |
| 4 | ICT Design Requirements | 4 | ICT Responsibility Matrix |
| | | | Building Performance Evaluation Methodology |

Table 5: Output Specification 2017 Contents

8.2 Supporting evidence for condition projects

We expect academies and sixth-form colleges to provide appropriate building condition survey data or extracts to show proof of project need. An up to date independent condition survey will assist you in identifying and prioritising the worst condition areas of your site. Most projects will need to provide additional survey data or appropriate professional evidence so there is more detailed evidence of condition need.

We also expect academies and sixth-form colleges to manage their estate effectively and have published guidance [Good Estate Management for Schools \(GEMS\)](#), on how to make the most of your resources. Depending on your role, you may not need to review every section. Some sections are of particular relevance to leaders, governors and trustees of schools. Some are aimed more at school business professionals and those involved in the routine management of the estate.

The extent to which you are accountable actions will vary depending on the type of organisation. You should be clear what role you play in the organisation and who is the lead. If you are unsure about your role and responsibilities, you should approach your immediate manager. Whatever your role, you should, at the very least, review the [fundamentals of good estate management](#).

[Tools](#) are also available to help you make sure your organisation has the right skills, processes and policies in place.

8.2.1 Condition grading

Where appropriate, an independent suitably qualified person should carry out surveys containing specific condition grading and prioritisation ratings; condition grade A to D (from 'good' through to 'bad' condition) and priority rating 1 to 4 (from 'immediate action required')

through to 'work required in 5+ years'). The evidence must include the qualification of the surveyor.

There is guidance on how these ratings were applied as part of the [PDS programme](#).

Most applications require a condition survey or an extract of a condition survey applicable to the part of the building that the application addresses. This is not always necessary for some smaller applications but we still need evidence that clearly identifies the condition need.

If you have surveys that are not graded as described above, you should ensure the condition grading and prioritisation rating are clearly explained so the assessor can interpret the information correctly.

8.2.2 Condition Data Collection (CDC)

Condition Data Collection (CDC) reports are being shared with schools and responsible bodies as the CDC programme progresses and not all schools have received their reports yet. A CDC report presents data collected following a visual, non-intrusive data collection exercise and can be used to prompt further investigation.

The CDC report is not a condition survey and so the data presented is high-level. A CDC report can be used to support a CIF application, but on its own it will not be sufficient to make a full assessment of a CIF application. We will expect to see additional evidence, e.g. a full condition survey, when assessing applications (see section 8.3).

We will not use the CDC data in the CIF assessment process to evaluate the relative need of schools.

8.2.3 Block replacement/refurbishment

We will consider a block replacement in the context of the overall area standards set out in [BB103 or 104 as appropriate](#). You will need to justify it against those standards and refer to the [Output Specification 2017](#). A project that over specifies the space required compared to current area standards or performance will not score highly.

We would normally expect the replacement build not to be any larger than the current block. However, we will allow small increases in the replacement block if that is required to meet [BB103](#) or [104](#) standards. If the proposed new build is larger than the existing block and

larger than the current area guidelines then the application will be categorised as an expansion project.

8.2.4 Boiler and heating systems

Try to consider heating systems as a whole and be mindful of the impact of any changes that improvements to component parts make; this may help avoid situations such as new boilers not working because of leaking pipework or incompatible control systems.

You should model energy usage and likely savings to support any application for such projects. Salix Finance has developed an [Energy Savings Support Tool](#) to help CIF applicants estimate and evidence their energy savings (see Annex A). Most heating system proposals will generate energy savings and we expect applications to include a Salix loan as part of the funding requested.

8.2.5 Safeguarding

Safeguarding projects often involve provision of additional security measures, or remodelling of pedestrian/vehicle access points. If access improvements are required, you should work with your local authority highways department to tackle the identified issues in the most appropriate way and look to negotiate contributions for such works from other interested parties where possible.

If your condition project addresses safeguarding issues, you need to provide robust evidence to support urgency of need such as an incident report or police reports. We will not consider statements of unqualified opinion that there may be a risk of safeguarding issues as sufficient evidence.

We may accept projects that provide photo evidence that their existing circumstances do not meet the minimum for security.

8.2.6 Changes to the Gross Internal Floor Area (GIFA)

You should clearly identify the changes in the GIFA as part of any application. This should include the GIFA being renewed or refurbished as well the GIFA being removed or demolished and any new build.

8.2.7 Emergency asbestos issues

All schools must have an up to date [asbestos management](#) plan detailing the location and condition of asbestos containing materials and how any risks are being managed. Guidance on asbestos management in schools is also available.

The advice from the [Health and Safety Executive \(HSE\)](#) is that where asbestos containing materials are assessed as being in good condition and not in a position where they are likely to be damaged, they should be left in place and monitored together with the management of other risks. However, where asbestos is in poor condition or is likely to be damaged during the normal use of the building, it should be sealed, enclosed or removed, as necessary by appropriate qualified contractors.

Where asbestos has been disturbed or damaged, unless the incident is minor and dealt with immediately, you should notify the HSE of the incident. This is a legal requirement under the Reporting of Injuries, Diseases and Dangerous Occurrences Regulations 2013 (RIDDOR).

Academies and sixth-form colleges with significant asbestos that is proving difficult to manage effectively (e.g. making access difficult to carry out repairs) may apply to CIF for support to remove it, and should plan works around holiday periods.

8.3 Assessment of project need for condition projects

Project need is marked out of 20 for condition projects and we weight this to account for 60% of the total score.

8.3.1 Condition survey

A condition survey provides an assessment of the physical condition of the building. The survey should identify the building's deficiencies and maintenance issues. For all projects, the condition survey should provide a clear understanding of the current condition of the building both internally and externally. This should also include a detailed assessment of the consequence of any delay or failure to undertake the proposed work.

Applicants should provide specialist evidence to support the specific issue; the evidence should include, but not be limited to, the following areas:

- structural
- building fabric
- M&E
- asbestos
- utilities

- sewage & drainage
- fire safety & security
- health & safety issues
- site layout

8.3.2 Other evidence of condition

Evidence should also include:

- an independent condition survey/consultant report or detailed survey and specialist reports (appropriate to size and scale of project)
- clear, sufficiently detailed and relevant photographs
- letters about compliance from appropriately qualified professionals relevant to the specific issue e.g. from fire officers or electrical engineers
- Ofsted or other reports on the impact of facilities on teaching and learning

| Sub-criteria | Scoring |
|---|--|
| Project type | High/medium/low score based on priority of need (see Table 3) |
| Urgency of need | <p>The more urgent the need that is evidenced, the greater marks will be given. You will score low marks if:</p> <ul style="list-style-type: none"> • the level of urgency is low • the urgency of the need is not apparent • you include low priority issues with no justifications <p>If the proposed works are not required to be carried out within the next 2 years, it is unlikely that the application will be successful.</p> |
| Strength of evidence for extent of need | <p>To score maximum marks there needs to be strong evidence of significant need providing justification for all works. You will score low marks if there is insufficient / no evidence of significant need.</p> <p>You need to show clearly how, through the supporting evidence, the poor condition of the building(s) or element of the building(s), which the proposed works will address.</p> |
| Nature and extent of impact | <p>To score maximum marks there needs to be an impact overall school or closure of key facilities. You will score low marks where there is localised impact.</p> |

Table 6: Project Need scoring for condition projects

9. Expansion project applications

A small proportion of CIF will be allocated to address expansion issues across high-performing academies and colleges. All CIF expansion projects should refer to the [Output Specification 2017](#) as set out in section 8.1.

In previous years, we have allocated between 10% and 19% of the fund to expansion projects and the funding for this category of application has been, and we expect will continue to be, heavily oversubscribed.

9.1 Increasing admissions

We do not intend CIF expansion funding to replace Basic Need funding. Academies wishing to expand to meet basic need demand will not receive any additional credit under the project need criterion.

We do not expect to see added places expansion bids from areas with high surplus capacity unless there is a very strong rationale for expansion.

If your project is to expand admissions due to demographic growth in the population for years reception to 11 in mainstream settings, you should contact your local authority to seek Basic Need funding rather than CIF.

We do not expect to receive applications for expansion that Basic Need capital allocations should fund. Any additional places funded through this programme will be reflected in future basic need allocations to avoid double funding. It is therefore important to quantify how the CIF expansion project will make more places available to children in the local area than could previously have been fitted in the building – not just more places than were previously in the PAN. However, we recognise that value for money that can be secured through joining up basic need investment with addressing condition issues through a single project.

We ask that you include the pupil numbers as set out in your funding agreement in the application form.

Academies in areas of high basic need demand should consider working together with their local authority to maximise the impact of the available funding and demonstrating the benefits that can be accrued.

Academies wishing to expand their sixth forms, and sixth-form colleges looking to expand, will be scored in the same way to ensure fairness between the 2 groups of institutions. In

both cases, we expect there to be a revenue benefit from expanding the number of sixth-form places, so we would expect academies and sixth-form colleges to contribute towards the cost of the development. Such projects must be submitted as projects increasing the number of admissions (irrespective of whether it is the main year of entry).

9.2 Significant change

Academies need separate approval for a change in capacity (significant expansion, change of age range, adding a nursery or sixth form etc.) and this must be reflected in their funding agreements. You should check whether your CIF expansion application requires the significant change process by reviewing the [significant change guidance](#). The guidance sets out examples of significant changes that require approval and explains the application process.

You must ensure you apply for significant change approval where it is required. You should do this in parallel with making your CIF application and should indicate in your significant change application that you are also applying to CIF.

The approval of any significant change expansion cases that are dependent on securing CIF funding will be conditional. We consider the outcome as part of the CIF assessment process but this does not guarantee a capital application will be successful. A CIF project that would otherwise have been successful but does not have significant change approval by the time we are ready to announce the CIF outcomes will not be successful.

Alongside the case for the expansion, academies still need to provide strong evidence to demonstrate their ability to deliver the proposed capital project through the CIF application process.

If approved, you should also make the required changes to your PAN and admissions policies in time for the completion of the capital project so that your full increase in capacity is promptly available to pupils in your area. You will also need to ensure your funding agreement is adjusted to reflect the increase in capacity.

9.3 Growth and demand

For any expansion projects, you need to input historic, existing and projected annual data for growth and demand for the education establishment on the [CIF portal](#) application page.

If you omit accurate growth and demand data from an expansion project application, this will make it harder to assess and may cost you valuable marks.

9.3.1 Growth data

Growth data must cover a 7-year period from 2018 to 2019 to 2024 to 2025 and this should correlate with your business plan.

You need to provide the following information, both with and without the proposed project, in order to demonstrate its anticipated benefits:

- number(s) of places specified in your funding agreement (on occasion, funding agreements will include more than one number e.g. if separate numbers of places are included for sixth-form or SEN unit places)
- gross internal floor area (GIFA) of the whole school (m²) and how this relates to the recommended area contained within [Building Bulletin 103](#) or [104](#) as appropriate. Make sure you explain any significant differences in the application.
- number of pupils on roll (NOR), as applicable for the age range of the education establishment
- published admission number (PAN)
- admission year 12 (post-16 only)

9.3.2 Demand data

We also request the following mandatory annual data on demand over a 4-year period:

- numbers of first or second choice applications
- total admissions (following appeals) in main year of entry (aged 4-16)
- applications in year 12 (post 16 only)
- year 12 admittances in main year of application
- applications in main year of entry assessment of project need for expansion projects

9.3.3 Net capacity

You should complete the table on existing and forecast capacity and refer in your application to the change in the net capacity because of the proposed project by confirming the number of additional places that created by the project over and above the number(s) in

your (current) funding agreement. You can provide a further explanation of changes in capacity in the text box 'general remarks about demand'.

This also applies if the project is to address overcrowding and where you do not expect there to be an increase in the NOR. The only circumstances where the net capacity is unlikely to change is if the project is to provide additional non-teaching support space such as dining facilities.

9.4 Assessment of project need for expansion projects

We weight project need to account for 60% of the total score. Evidence should ideally include:

- Ofsted or other reports on impact of facilities on teaching and learning
- demand data, independent evidence of overcrowding
- explanation or evidence of any exceptional circumstances relating to capacity constraints that need to be taken into account

We will also seek the views of the Regional Schools Commissioner on local need for expansion project applications.

We will take into account the proportion of schools' pupils who are from a disadvantaged background when we assess the need for expansion that create additional places. This is to support the creation of new places in high performing schools with a high relative proportion of disadvantaged pupils. For added places projects, we will also assess cost per place.

Evidence should also include:

- subject to the size and scale of the project; an extract of PDS survey, an independent condition survey/consultant report or detailed survey and specialist reports
- photographs
- letters about compliance e.g. fire officers or electrical engineers

We will use the results from the June 2018 School Capacity Survey data on demand for places, admission numbers and the specific overcrowding consequences to inform the project need criteria scores.

| Sub-criteria | Scoring |
|--|---|
| <p>Popularity/demand</p> <p>For overcrowding projects this includes: severity of overcrowding issues</p> | <p>To score maximum marks there needs to be a very high demand (based on % 1st and 2nd preferences of PAN) and for overcrowding projects independent evidence of the impact of overcrowding.</p> <p>You will score 0 if there is low demand (preferences less than 110% of PAN) and no evidence of overcrowding.</p> |
| <p>Performance</p> | <p>To score maximum marks the school or college needs to be Ofsted outstanding and have performance at or above the national average.</p> <p>You will score low marks where Ofsted results are good but where performance is below the national average or the school is below Ofsted good.</p> |
| <p>Capacity constraints</p> | <p>To score maximum marks there needs to be a severe shortage of capacity (based on the funding agreement, net capacity data and current NOR for academies).</p> <p>You will score low marks where there is only a small shortage of capacity.</p> <p>For added places projects, we will take into account the anticipated funding agreement number(s) and NOR when the project is complete and all year groups are full.</p> |
| <p>Deprivation</p> | <p>To score maximum marks you will have a high relative proportion of pupils from a disadvantaged background (according to Ever 6 FSM and IDACI) measures.</p> <p>You will score low marks where you have a low relative proportion of pupils from a disadvantaged background.</p> |

Table 7: Project Need scoring for expansion projects

10. Demonstration of project planning in all projects

Project planning is marked out of 15 for all projects and contributes 15% of the total score.

Assessors must be able to see that the proposed solution appropriately addresses the nature, extent and urgency of the need evidenced, and that applicants have the ability to deliver the solution. You must be able to show that projects are planned appropriately and realistically, taking account of potential risks.

| Sub-criteria | Scoring |
|-----------------------------|---|
| Appropriateness of solution | <p>To score maximum marks the highest need issues should be prioritised and a costed options appraisal with quantified benefits that supports the solution provided.</p> <p>Where the project is a small project there should be an appropriately scaled options appraisal to support the solution.</p> <p>You will score low marks where low priority issues are included with no options and there is no options appraisal.</p> |
| Timescales | <p>To score maximum marks, readiness milestones (e.g., planning approval) need to be complete by March 2019 and the project delivery timescale must be appropriate to the scale of the project.</p> <p>We expect smaller projects to be delivered within the 2019 to 2020 financial year and larger projects by the end of 2020 to 2021 financial year.</p> <p>You will score low marks if there are concerns with deliverability to the timescale, given the scale and nature of the project, or where it is clear that readiness milestones would not be complete until after January 2020.</p> |
| Delivery Plan | <p>To score maximum marks, a realistic delivery plan for the project size supported by appropriate evidence should be submitted and there needs to be good consideration and mitigation of risk.</p> <p>You will score low marks where there are concerns over the ability to deliver the project and/or it lacks a sufficiently detailed delivery plan or risk register for the size of the project.</p> |

Table 8: Project Planning scoring for all projects

Evidence should ideally include (subject to the size and scale of the project):

- quantification of other options/ options appraisal
- milestones chart / a detailed programme plan or Gantt chart
- quantification of benefits
- a comprehensive risk assessment with mitigations
- evidence of prioritisation
- master planning for the site and a business plan
- project context for wider site
- pre-planning advice or any planning evidence
- or all of the above in a feasibility study

We expect to see greater levels of details for large, high value projects. There is further information on conducting a feasibility study at Annex B.

It is your responsibility to consult your local planning authority to check if planning permission is required before applying to CIF. The application should indicate clearly whether or not planning permission is required and whether it has been confirmed with the local planning authority.

You may need additional DfE approvals if you are an academy with a project that involves purchase, lease or sale of land or buildings. [The academy property transactions](#) contains the forms and associated property information notes. You may wish to include relevant forms as part of the supporting evidence for the CIF project.

If the application relates to a proposed expansion that would increase the school's capacity, you will need to seek separate DfE approval by following the [significant change](#) process. This ensures that sufficient consultation of interested parties has taken place. Please note that if you need significant change approval this will be a condition for the success of your CIF project and must be achieved by March 2019.

11. Demonstration of appropriate costs in all projects

We expect all projects to show they are costed appropriately and respond to the project need. The cost section contributes 25% of the total score. We also expect that all project costs are within an appropriate cost range for the type of works proposed. For new build projects we will check that the cost per square metre is within an acceptable range, taking into account abnormal factors. We reserve the right to reject applications outright where overall costs for the project receive the lowest scores.

| Sub-criteria | Scoring |
|-----------------------------|---|
| Overall costs | <p>To score maximum marks there should be a clear scope with overall cost below expectations/industry benchmarks.</p> <p>All cost elements should appear reasonable and where there are 'abnormals' or high costs they are clearly justified.</p> <p>You will score low marks where the level of costs are above expectations with no clear justification e.g. excessive professional fees, allowances and contingency.</p> <p>DfE will look at the cost per place for added place expansion projects and will expect these to meet industry benchmarks unless you provide clear justification.</p> |
| Cost certainty | <p>To score maximum marks, tenders/quotes should be thorough and well evidenced, with fixed prices and in line with the expectations relative to the size of the project.</p> <p>You will score low marks where there is no evidence of tenders/quotes attached to the application or they are inadequate for the size of the project.</p> |
| Funding sources and savings | <p>To score maximum marks there will be a significant (and affordable) contribution from other sources or via a Salix and/or CIF loan.</p> <p>Where appropriate, there will be evidence of achievable and quantified revenue or future capital savings.</p> <p>You will score low marks where there funding is not being provided from other sources, via a Salix loan and/or CIF loan and/or no there is no evidence of future capital savings.</p> |

Table 9: Cost scoring for all projects

For expansion added places projects (see 3.3.1), we will also review the cost per place of the proposal to check that it is within an acceptable range. We will however not include within this calculation other non-expansion elements of the proposal, such as works that address condition issues.

We will reject applications that score very low marks in the Overall Costs criterion (see table 9), regardless of how they perform against other criteria.

Evidence 'should' include (subject to the size and scale of the project)

- cost plan (breakdown of costs) appropriate to the size and scale of the project
- hard copies of quotes/estimates/a summary of any tender exercise attached as part of evidence
- cash flow forecast (where appropriate)
- details of procurement route
- market testing to demonstrate additional/abnormal costs, where appropriate
- details or evidence of any savings being made
- letters of funding commitment from other sources (if applicable)

Cost of works will vary significantly from site to site due to local economic variances, site features (e.g. presence of asbestos), planning constraints and project specification/scope. Assessors will refer to industry standards and experience to consider whether the levels of costs are appropriate.

Any cost overruns will be at the expense of the provider, although an appropriate level of contingency funding is permitted. Where local conditions may lead to costs outside of industry benchmarks you must clearly explain why this is the application and provide supporting evidence.

Cost plans should take account of the proposed risk of price increases and local economic conditions. Cost plans should also be realistic about the level of professional fees, allowances and contingency. This should be appropriate to the scale and type of the project, and the level of work already undertaken to establish price certainty.

11.1 Procurement

Applicants may choose their own procurement route to secure best value for money.

The [ESFA Construction Frameworks](#) are available for applicants to use and we suggest all applicants explore this procurement option as part of their project development. The framework contains pre-selected contractors across 12 regional lots. It is aimed at individual school projects, both new build and refurbishment, and has the capacity to deliver elemental works. This framework may be appropriate for a number of different types of projects, particularly medium sized projects with a cost in excess of £1m.

There is no obligation to complete a tender exercise before submitting a CIF bid but you should set out your planned procurement route and demonstrate how you plan to achieve value for money. However, projects that are ready to go if successful will score higher in the Project Delivery criterion.

Academies must exclude VAT from all project costs. Sixth-form colleges can include VAT in the project cost as they cannot reclaim it.

11.2 Professional fees

You may choose to appoint technical advisers to help you develop and deliver the project. The fees charged by advisers must be appropriate to the type and scale of the project and we expect you to challenge technical advisers on fees where appropriate.

The majority of CIF projects are for straightforward, single issue, lower value works. Percentage fees are not necessarily appropriate for this type of work and if used, we do not expect these to be above 10% of the total project value. For larger projects, the technical complexity of the works may justify slightly higher fees to cover additional surveys required to ensure that all the risks and ground conditions have been taken into account, but this must be justified in the application.

This year in the application form we ask for more detail on what aspects of the application you have sought professional advice for, including surveys, feasibility studies and bid writing.

If the fees are disproportionate to the work involved, we will reject the application.

11.3 Loans

There are two types of loans available to applicants through CIF:

- Energy Efficiency Salix Loans
- CIF Loans

You can take out a loan for all or part of the project costs to demonstrate commitment to the proposed scheme and can choose the type of loan, the size of loan, and the timescale over which you want to repay it.

There is no obligation to take out a loan as part of the overall funding package. Applicants should consider carefully what is most appropriate for their academy or college, and the consequences and affordability of any loan.

Applications for CIF loans and energy efficiency Salix loans are made within the CIF application form. Further information, including interest rates and typical repayments, are in Annex A.

Annex A: Loans

Applications for CIF or energy efficiency Salix loans are made within the CIF application form on the [CIF online portal](#).

Academies and sixth-form colleges who choose to apply for a loan will be eligible for additional points under the Project Cost criterion than if they had applied for their project to be funded through grant alone. However, the overriding element of any application is project need.

Assessment under this section will be based on the ratio of loan to grant. For example, a project funded 100% by a loan will see a greater increase in score than a project funded 30% to loan and 70% grant or for energy efficiency Salix Loans.

In keeping with our principles of equality for academies with the maintained sector, we CIF loans at Public Works Loan Board rates of interest. These rates are the same that local authorities can access to invest in their schools. The interest rates that will be used for the programme are set out below and a [loan calculator](#) is available.

| Duration of loan (years) | Interest rate (%) | Total repayable on a loan of £100k | Annual repayments over period of loan |
|--------------------------|-------------------|------------------------------------|---------------------------------------|
| 2 | 1.85% | £102,783.48 | £51,391.74 |
| 3 | 1.90% | £103,823.84 | £34,607.95 |
| 4 | 1.96% | £104,947.55 | £26,236.89 |
| 5 | 2.01% | £106,109.99 | £21,222.00 |
| 6 | 2.07% | £107,368.67 | £17,894.78 |
| 7 | 2.13% | £108,699.50 | £15,528.50 |
| 8 | 2.18% | £110,056.70 | £13,757.09 |
| 9 | 2.24% | £111,530.59 | £12,392.29 |
| 10 | 2.29% | £113,022.39 | £11,302.24 |

Table 10: Public Works Loan Board rates example

Affordability tests

Before deciding whether to apply for a loan, you must consider the affordability of repayments. We will apply a number of tests to assess the affordability of proposals.

Please do not apply for a loan if you do not meet the loan tests.

Applicants failing to pass these tests will not be eligible to receive a loan – but may still be considered for grant funding if scored highly in other assessment criteria.

We do not expect you to submit additional documents, such as financial statements, to support affordability testing. We will obtain the information from the relevant sources.

Affordability tests for academies

- The total of the annual loan repayment for the requested loan, plus the annual loan repayment for any existing CIF loans approved in previous funding rounds, must be less than 4% of the revenue grant ('GAG') that the academy was allocated in 2018 to 2019.
- The academy trust must not be under a Financial Notice to Improve or 'minded to' Financial Notice to Improve.
- The trust's last audited financial statements must show that the trust was in cumulative revenue surplus.
- The trust's latest budget forecast must show a forecast cumulative revenue surplus to the end of the forecast period.
- The trust's last audited financial statements must show that the trust has a current ratio of at least 1.25:1 (the 'current ratio' is the ratio of an organisation's current assets to its current liabilities).

Affordability tests for sixth-form colleges

- The annual repayment must be less than 4% of the revenue grant that the sixth-form college received from DfE in academic year 2018 to 2019.
- The sixth-form college has a financial health assessment of satisfactory, good or outstanding.

Repayments

Repayments are made through a reduction in the general annual grants (GAG) payments made by the DfE. Repayments taken from GAG payments as the savings generated from carrying out the work are revenue savings rather than capital, resulting in lower running costs.

You can repay your loan early without early repayment charges. You can use the [loan calculator](#) can be used to show the impact of early repayment.

Energy Efficiency Salix loans

You can also apply for energy efficiency loans for condition improvements works that will lead to annual energy savings. These loans are also known as [Salix loans](#), as the assessment of the energy savings will be carried out by Salix Finance. These Salix loans are only available through the CIF funding application process.

We fund and administers Salix loans directly from the CIF budget. We do not charge any interest on these loans. By providing Salix loans at 0% interest, as part of the CIF allocations, we can support more projects as the repayments are recycled to fund future energy efficiency projects. This helps ensure academies and sixth-form colleges embed the principle of energy efficiency in their long-term maintenance and business planning, freeing up funds to invest in their other priorities.

HM Treasury have already approved Salix loans so you do not require additional approval to take out these loans.

Projects that can apply for a Salix loan

We expect the following types of projects to apply for a [Salix loan](#) as part of their funding package:

- boiler and heating systems replacement/refurbishment
- window projects
- roofing projects
- curtain wall / cladding projects

Other energy efficiency works such as replacing lighting or implementing new technologies that have an energy efficiency focus are unlikely to be successful for CIF funding.

Projects wholly or partly funded by a Salix loan

Projects can be wholly funded by a Salix loan or partially funded by a loan with the remainder by a grant or third party funding. The value of the loan for heating projects can be calculated using the Energy Savings Support Tool on the Salix website, which will help you estimate the likely savings as a result of undertaking the proposed works.

If you offer to contribute to project funding through a Salix loan, the project may receive a higher Project Cost score. The minimum value of a Salix loan is £8,000. The loan payback period is normally over an 8-year period.

We do not approve Salix loans below £8,000.

Although it is not mandatory, we strongly encourage those applying for boiler and heating works to request at least part of the project to be funded using a Salix loan as in most cases replacement boiler projects will lead to annual energy savings.

We may decrease the value of the requested loan amount following the assessment by Salix, if their assessment shows that the planned energy savings are insufficient to pay back the loan amount within the required time period. If the application is successful, the reduction in Salix loan funding will be replaced with CIF grant funding.

Salix loan repayments will be taken in the same way as the CIF loan repayments.

Annex B: Feasibility study

A feasibility study looks at the viability of the proposed project with an emphasis on identifying potential problems and attempts to answer one main question: will the project work and should the DfE approve it so you can proceed with it?

For all CIF projects the feasibility study should include an evaluation and analysis of the proposed project. This should be based on a detailed proposed scope of works and extensive investigation of the current site and property. It should confirm that all aspects of the project have been effectively considered and that the selected option will provide the best chance of success and value for money.

The aim of the feasibility study is to objectively and rationally identify the strengths and weaknesses of the proposed construction scheme. You should provide information on opportunities, issues and threats that could be present and could either support your project or create problems. You also need to confirm the resources required to deliver the project on time and on budget.

What to include in a feasibility study

The feasibility study for the project on the proposed site should include, but not be limited to:

- project analysis and evaluation
- demonstration of need and scope of works proposed to address the need
- full details of surveys undertaken or planned
- what is the design solution and why will it work
- detailed professional and robust cost management plan or a contractor's cost estimate
- an outline of planning requirements and evidence of permissions
- benefits/constraints of the project (for example, is moving to temporary accommodation an option and is it really necessary?)
- site issues affecting the project, site entrances, disturbance to local residence
- knowledge of location of utilities or the location and extent of asbestos and any cost savings as a result of the project
- how is this project affordable and able to demonstrate value for money
- risk analysis and mitigation in a comprehensive risk register for the entire project and specifically deliverability of the works in a teaching and learning environment
- what will happen if an emergency occurs, fire, flood etc.
- who are the professional Project Management team and what's their track record
- capacity and capability of the academy's Project Team
- a detailed plan of the required resources and where they will come from
- what will the procurement route be and why is this the best value for money

Annex C: Risk Protection Arrangement (RPA)

The DfE's Risk Protection Arrangement (RPA) is a voluntary arrangement for academies and free schools. It is an alternative to insurance through which the cost of risks that materialise will be covered by government funds.

RPA automatically provides cover for damage to any existing structure owned by a RPA member or for which the member is responsible, up to the full reinstatement value of the existing structure.

The RPA does not need to be notified when works are being undertaken and the school's existing structures will continue to be covered for the duration of the works. The RPA also provides automatic cover for damage to contract works, cover is limited to £250,000 for any one claim.

Where the cover provided by the RPA is not sufficient

RPA Members cannot agree to insure either the existing structure or contract works in 'joint names' with the contractor, nor can it agree to obtain a waiver of subrogation from its insurer. RPA is not insurance and is unable to provide 'joint names' cover or waive subrogation rights against any party including the contractor. The options available to the RPA Member are as follows:

1. Existing Structures

RPA Member to cover the existing structures under the RPA, the contractor to retain any responsibility for any damage that he causes to the existing structure. The contractor can cover this risk by way of a third party public liability insurance policy.

2. Contract works – either the:

a) RPA Member may rely on the cover provided by the RPA (limited to £250,000 any one claim) and the contractor to retain any responsibility for any damage that he causes to the works. The contractor can cover this risk by way of a third party public liability insurance policy; or

b) RPA Member may take out separate insurance for the works in the joint names with the contractor to cover the full value of the works for the duration of the works; or the

c) RPA Member may require that the contractor take out insurance for the works in joint names with the RPA Member to cover the full value of the works and for the duration of the works.

Members should think about and build these costs into their overall project costings to ensure the overall costs remain transparent and are fully budgeted for.

Further information can be accessed via the [RPA welcome pack](#). To discuss the cover provided by RPA, you can contact the RPA advice line on 0117 9769 361 or email RPAAdvice@willistowerswatsonsecure.com.



Department
for Education

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