

**Table 5: Advance Approval Procedures**

<b>ADAPTATIONS</b> <b>(Advance Approval Submission Procedures)</b>	
<b>Points to note:</b>	<p>1) The Association must be able to fully satisfy conditions set out in the certifications on the <b>AA1</b> advance approval submission form.</p> <p>2) The current version of forms available on DSD website must be used. Older versions will not be deemed as valid claims for payment purposes.</p>
<b>Pre-submission stages</b>	<p>See OT Liaison</p> <p>See Tenant Interaction</p> <p>See Adaptation Procurement</p> <p>Compliance with the pre-submission stages will inevitably have a positive impact on the standard of adaptation proposal and therefore on the time required to consider and approve same.</p>
<b>Documentation requirements</b>	<p>The advance approval submission must be made to NIHE (DPG) and include:</p> <ul style="list-style-type: none"> <li>• <b>Form AA1</b> - fully completed and certified by an authorised signatory;</li> <li>• <b>Form OA1</b> - Option appraisal undertaken by an authorised signatory;</li> <li>• <b>OT Recommendation</b>, including detailed recommendations;</li> <li>• <b>HA brief to consultant</b>;</li> <li>• <b>Detailed Cost Breakdown &amp; Schedule of works</b>;</li> <li>• <b>Existing Floor Plans (1:50)</b>, showing dimensions and all furniture layouts;</li> <li>• <b>Proposed Floor Plans (1:50)</b>, showing dimensions, sections and elevations, furniture and equipment, clearances specified by OT and identifying (including dimensions) any proposed deviation from DSD design standards;</li> <li>• <b>Tender Price Report</b> (where applicable).</li> </ul>
<b>Action by NIHE (DPG)</b>	<p>Each element of the HA submission is considered carefully and an assessment is made of the proposal as to whether it meets DSD's conditions for grant.</p> <p>Incomplete or unsatisfactory submissions will be returned to the Association for revision</p> <hr/> <p>NIHE (DPG) will issue approval on Form <b>AA2</b> along with an annex stating any conditions placed on the approval if required.</p> <p>A satisfactory response to any annex is a condition of grant at payment stage.</p>

<b>ADAPTATIONS</b> <b>(Advance Approval Submission Procedures)</b>	
<b>Action by Association</b>	HA proceeds to procurement/tender stage.
	<b>Statutory Approvals</b> Associations are reminded of the need to obtain any necessary Statutory Approvals required.  Note. This may apply to any adaptation work carried out, not just pre-approved cases.
	If an Association is unsure of the procedures or application of guidance in respect of a complex or exceptional case, the Association should contact the NIHE (DPG) for advice.