



An Roinn Iompair
Department of Transport

Quality Assurance Process 2019

Appendix C

Self Assessed Compliance Checklists

This section details the self-assessment compliance checklists received from the following Department of Transport bodies and agencies with respect to:

Checklist 2: Capital Expenditure Being Considered

- Iarnród Éireann
- National Transport Authority
- Road Safety Authority
- Transport Infrastructure Ireland
- Irish Coast Guard
- Sports Capital Programme
- Sport Ireland
- Fáilte Ireland
- Greenways

Self-Assessed Compliance Checklists

Checklist 2: Capital Expenditure Being Considered

Question	Rating	Comment
Iarnród Éireann		
Was a Preliminary Appraisal undertaken for all projects valued in excess of €5 million?	3	All projects are subject to internal guidelines. IÉ adheres to the Public Spending Code in management of projects & programmes
Was an appropriate appraisal method used in respect of each capital project or capital programme/grant scheme?	3	See above
Was a CBA/CEA completed for all projects valued in excess of €20 million?	3	See above
Were appraisal processes commenced at an early stage to facilitate decision-making? (i.e. prior to the decision)	3	See above
Was an Approval in Principle granted by the Sanctioning Authority for all projects before they entered the Planning and Design Phase (e.g. procurement)?	3	The NTA have accepted project execution plans.
If a CBA/CEA was required, was it submitted to DPER's Central IGEEES Unit for their views?	N/A	This is a duty of the Sanctioning Body.
Were the NDFA consulted for projects costing more than €20 million?	3	The NDFA were consulted on the DART Underground only. Private financing was not considered appropriate for other projects. This was agreed with the Sanctioning Authority
Were all projects that went forward for tender in line with the Approval in Principle, and if not, was the detailed appraisal revisited and a fresh Approval in Principle granted?	3	
Was approval granted to proceed to tender?	3	
Were Procurement rules complied with?	3	
Were State Aid rules checked for all supports?	3	
Were the tenders received in line with the Approval in Principle in terms of cost and what is expected to be delivered?	3	
Were Performance Indicators specified for each project/programme which will allow for the evaluation of its efficiency and effectiveness?	3	Under the Infrastructure Manager Multi-Annual Contract (IMMAC), performance Indicators were not specified on a project basis. Global performance indicators have been applied to the monitoring of the contract. These include delay minutes, service cancellations by route category and temporary speed restrictions. In addition, infrastructure failures that contribute in excess of 200 delay minutes are also highlighted
Have steps been put in place to gather Performance Indicator data?	3	Yes. There is an established process between the Infrastructure Manager and the RU to attribute delay minutes and service cancellations by cause. In addition the Chief engineers monitor the frequency, cause, delay and cancellation impacts of all significant infrastructure failures. These systems are regularly updated as considered appropriate.
National Transport Authority		
Was a Preliminary Appraisal undertaken for all projects valued in excess of €5 million?	3	A draft Preliminary Business Case for the Bus Connects programme is under discussion with the Department of Transport, Tourism & Sport (DTTAS). The Network Redesign and BusConnects Infrastructure Dublin (BCID) fall under the Bus Connects umbrella and are included in this. Preliminary appraisal and submission of project appraisal reports are a requirement of the NTA Project Management Guidelines.
Was an appropriate appraisal method used in respect of each capital project or capital programme/grant scheme?	3	Yes CBA - Cost Benefit Analysis used. NTA uses the guidance as set out in the Common Appraisal Framework for Transport Projects & Programmes
Was a CBA/CEA completed for all projects valued in excess of €20 million?	3	Yes CBA was undertaken for all projects in excess of €20m
Were appraisal processes commenced at an early stage to facilitate decision-making? (i.e. prior to the decision)	3	Yes, this is a standard part of NTA Project Management Guidelines.
Was an Approval in Principle granted by the Sanctioning Authority for all projects before they entered the Planning and Design Phase (e.g. procurement)?	3	Yes, this is a standard part of NTA Project Management Guidelines.

If a CBA/CEA was required, was it submitted to DPER's Central IGEEES Unit for their views?	3	For all projects greater than €20m appraisals are submitted to DTTAS Strategic Analysis & Research Division (IGEEES) and then DPER Central IGEEES Unit.
Were the NDFA consulted for projects costing more than €20 million?	3	Yes, for BCID NDFA engaged as financial advisor
Were all projects that went forward for tender in line with the Approval in Principle, and if not, was the detailed appraisal revisited and a fresh Approval in Principle granted?	3	N/A for BCID For BC Redesign, the design of the new network went to tender and was awarded to Jarrett Walker and associates. This tender was run in line with the NTA procurement guidelines.
Was approval granted to proceed to tender?	3	Yes, this is a standard part of NTA Project Management Guidelines.
Were Procurement rules complied with?	3	Yes, Procurement rules were applied to these projects
Were State Aid rules checked for all supports?	3	Yes
Were the tenders received in line with the Approval in Principle in terms of cost and what is expected to be delivered?	3	Yes
Were Performance Indicators specified for each project/programme which will allow for the evaluation of its efficiency and effectiveness?	3	Yes
Have steps been put in place to gather Performance Indicator data?	3	For BCID - Various surveys have been completed such as traffic surveys (including pedestrians and cyclists) and Automated Vehicle Locator (AVL) data gathering.
Road Safety Authority		
Was a Strategic Assessment Report (SAR) completed for all capital projects and programmes over €10m?	3	Yes
Were performance indicators specified for each project/programme which will allow for a robust evaluation at a later date? Have steps been put in place to gather performance indicator data?	3	KPI are maintained for all programmes
Was a Preliminary and Final Business Case, including appropriate financial and economic appraisal, completed for all capital projects and programmes?	3	Each project must go through each stage fo the lifecycle one of these being business case.
Were the proposal objectives SMART and aligned with Government policy including National Planning Framework, Climate Mitigation Plan etc?	3	Included in the lifecylce plan
Was an appropriate appraisal method and parameters used in respect of capital projects or capital programmes/grant schemes?	3	Each capital project is reviewed and apprasied at each stage of the project lifecylce
Was a financial appraisal carried out on all proposals and was there appropriate consideration of affordability?	3	Each capital project is reviewed and apprasied at each stage of the project lifecylce
Was the appraisal process commenced at an early enough stage to inform decision making?	3	Each capital project is reviewed and apprasied at each stage of the project lifecylce
Were sufficient options analysed in the business case for each capital proposal?	3	Each capital project is reviewed and apprasied at each stage of the project lifecylce
Was the evidence base for the estimated cost set out in each business case? Was an appropriate methodology used to estimate the cost? Were appropriate budget contingencies put in place?	3	Each capital project is reviewed and apprasied at each stage of the project lifecylce
Was risk considered and a risk mitigation strategy commenced? Was appropriate consideration given to governance and deliverability?	3	Risk assesment forms part of the project stage gate process
Were the Strategic Assessment Report, Preliminary and Final Business Case submitted to DPER for technical review for projects estimated to cost over €100m?	N/A	
Was a detailed project brief including design brief and procurement strategy prepared for all investment projects?	3	Each project must go through each stage of the lifecycle one of these being design
Were procurement rules (both National and EU) complied with?	3	All Procurement law, and rules are complied with.
Was the Capital Works Management Framework (CWMF) properly implemented?	N/A	
Were State Aid rules checked for all support?	N/A	
Was approval sought from the Approving Authority at all decision gates?	3	Yes at each stage gate meeting
Was Value for Money assessed and confirmed at each decision gate by Sponsoring Agency and Approving Authority?	3	Yes, Capital Expenditure projects are assessed in respect of affordability, value for money and with other alternatives as part of the life cycle process
Was approval sought from Government through a Memorandum for Government at the appropriate decision gates for projects estimated to cost over €100m?	N/A	

Transport Infrastructure Ireland		
Was a Preliminary Appraisal undertaken for all projects > €5m	3	Preliminary Appraisal is being carried out for all new relevant projects greater than €5m that have commenced since the introduction of these requirements and in accordance to TII's Appraisal Guidelines.
Was an appropriate appraisal method used in respect of each capital project or capital programme/grant scheme?	3	Appropriate appraisal methods in line with the relevant threshold requirements are being used in the respect of all capital projects. TII's appraisal guidelines set out the appropriate appraisal method. There are no capital programmes under consideration.
Was a CBA/CEA completed for all projects exceeding €20m?	3	Yes in line with DTTaS Capital Appraisal Framework and the Public Spend Code a CBA/CEA is carried out on all projects in excess of €20m when they reach the relevant stage in the project life cycle. In 2019 1 project business case exceeded the €100m threshold and received government approval to proceed to publication.
Was the appraisal process commenced at an early stage to facilitate decision making? (i.e. prior to the decision)	3	Appraisal is now being carried out at phase 0 on all project over €0.5 m that have commenced since the introduction of the requirements. All Major pipeline projects greater than €20m have recommenced from phase 0.
Was an Approval in Principle granted by the Sanctioning Authority for all projects before they entered the Planning and Design Phase (e.g. procurement)?	3	Approval in principal is provided by the inclusion of these projects in the annual plan and budget and by the allocation of funding based on this plan. Local Authorities are formally notified of their allocations. TII have introduced a gate review requirement in the Project Management Guidelines to seek a formal approval by letter to proceed to phase 1 for projects over €5m.
If a CBA/CEA was required was it submitted to DPER (CEEU) for their views?	3	Yes CBA/CEA carried out on all projects in excess of €20 were submitted to DTTaS in 2018 by the Sponsoring Agencies.
Were the NDFA Consulted for projects costing more than €20m?	3	Yes there are ongoing discussions between the Commercial Operations unit and a representative of Roads Capital with the
Were all projects that went forward for tender in line with the Approval in Principle and if not was the detailed appraisal revisited and a fresh Approval in Principle granted?	3	Projects are delivered in line with TII's project Management guidelines and project appraisal guidelines. Where necessary the business case was revisited and updated. The business cases for 2 projects over €100m where reviewed and updated in advance of approval to award.
Was approval granted to proceed to tender?	2.5	TII introduced a requirement in May 2019 in the PMG called an approval to go to tender gate review requiring signoff to proceed to tender. This process has been implemented for Major and Minor projects.
Were Procurement Rules complied with?	3	Where TII is the sanctioning Authority the Local Authority is the sponsoring agency compliance with procurement rules is subject to the Local Authorities own internal procurement requirements. For projects where TII is the sponsoring agent TII's procurement section ensures compliance.
Were State Aid rules checked for all supports?		Not Applicable
Were the tenders received in line with the Approval in Principle in terms of cost and what is expected to be delivered?	3	All tender are checked against pre-existing scheme budget sheets. Budget sheets both for TII projects and Local Authority projects are checked and signed.
Were Performance Indicators specified for each project/programme which will allow for the evaluation of its efficiency and effectiveness?	2	Performance indicators are prepared annually for DTTAS for lengths of new paved area and no of structures improved. High level performance indicators are included in TII's annual report. There are no Capital Programmes under consideration.
Have steps been put in place to gather Performance Indicator data?	3	Project objectives are included in the Appraisal report for project between €5m and €20m and in the detailed business case for projects over €20m. Steps have been put in place to gather Performance indicators for the majors, minors, safety and pavement programmes in the annual report. In addition Network condition surveys, traffic volume data, accident statistics information, roads works information data is collected.
Irish Coast Guard		
Was a Preliminary Appraisal undertaken for all projects valued in excess of €5 million?	1	
Was an appropriate appraisal method used in respect of each capital project or capital programme/grant scheme?	2	
Was a CBA/CEA completed for all projects valued in excess of €20 million?	N/A	
Were appraisal processes commenced at an early stage to facilitate decision-making? (i.e. prior to the decision)	2	

Was an Approval in Principle granted by the Sanctioning Authority for all projects before they entered the Planning and Design Phase (e.g. procurement)?	1	
If a CBA/CEA was required, was it submitted to DPER's Central IGEES Unit for their views?	N/A	
Were the NDFA consulted for projects costing more than €20 million?	N/A	
Were all projects that went forward for tender in line with the Approval in Principle, and if not, was the detailed appraisal revisited and a fresh Approval in Principle granted?	1	
Was approval granted to proceed to tender?	2	
Were Procurement rules complied with?	3	
Were State Aid rules checked for all supports?	N/A	
Were the tenders received in line with the Approval in Principle in terms of cost and what is expected to be delivered?	2	
Were Performance Indicators specified for each project/programme which will allow for the evaluation of its efficiency and effectiveness?	1	
Have steps been put in place to gather Performance Indicator data?	2	
Sports Capital Programmes Division		
Was a Preliminary Appraisal undertaken for all projects valued in excess of €5 million?		NA
Was an appropriate appraisal method used in respect of each capital project or capital programme/grant scheme?	3	All grant applications are assessed by officials according to a published manual
Was a CBA/CEA completed for all projects valued in excess of €20 million?		NA
Were appraisal processes commenced at an early stage to facilitate decision-making? (i.e. prior to the decision)		NA
Was an Approval in Principle granted by the Sanctioning Authority for all projects before they entered the Planning and Design Phase (e.g. procurement)?	3	DPER provided sanction for the overall level of allocations
If a CBA/CEA was required, was it submitted to DPER's Central IGEES Unit for their views?		NA
Were the NDFA consulted for projects costing more than €20 million?		NA
Were all projects that went forward for tender in line with the Approval in Principle, and if not, was the detailed appraisal revisited and a fresh Approval in Principle granted?	3	Yes all grantee must provide comparable quotations for all aspects of projects
Was approval granted to proceed to tender?	3	Yes the provisional grant allocations instructs grantees to proceed with tenders
Were Procurement rules complied with?		NA - the Department is not the tendering body so we do not impose public sector procurement, instead grantees must provide 3 comparable quotations
Were State Aid rules checked for all supports?		NA
Were the tenders received in line with the Approval in Principle in terms of cost and what is expected to be delivered?		yes
Were Performance Indicators specified for each project/programme which will allow for the evaluation of its efficiency and effectiveness?	3	yes
Have steps been put in place to gather Performance Indicator data?	3	Yes - capital inspections to ensure compliance
Sport Ireland		
Was a Preliminary Appraisal undertaken for all projects valued in excess of €5 million?	3	Business Case / CBA for National Velodrome & Bampton Centre project completed and submitted in May 2020. Business Case / CBA for Phase 2 of the NIA completed and submitted in May 2017.
Was an appropriate appraisal method used in respect of each capital project or capital programme/grant scheme?	3	Full Business Case / CBA for 2 projects undertaken in line with best practice.
Was a CBA/CEA completed for all projects valued in excess of €20 million?	3	CBA for NIA Phase 2 completed in May 2017.
Were appraisal processes commenced at an early stage to facilitate decision-making? (i.e. prior to the decision)	3	All appraisals and feasibility studies are undertaken before (1) Board approval and (2) Ministerial sanction are sought
Was an Approval in Principle granted by the Sanctioning Authority for all projects before they entered the Planning and Design Phase (e.g. procurement)?	3	Ministerial or Departmental sanction is sought before each stage of a capital projects.

If a CBA/CEA was required, was it submitted to DPER's Central IGEEES Unit for their views?	3	CBA's forwarded by DTTAS to DPER as required.
Were the NDFA consulted for projects costing more than €20 million?	3	NDFA were consulted in relation to potential, alternative funding stream for NIA Phase 2.
Were all projects that went forward for tender in line with the Approval in Principle, and if not, was the detailed appraisal revisited and a fresh Approval in Principle granted?	3	NIA Phase 2 included in previous 2014 tender for entire NIA project (which provided for phasing) - further approval sought and received to proceed with second phase.
Was approval granted to proceed to tender?	3	Yes. Departmental/Ministerial sanction sought in advance of each project stage.
Were Procurement rules complied with?	3	Yes
Were State Aid rules checked for all supports?	N/A	N/A
Were the tenders received in line with the Approval in Principle in terms of cost and what is expected to be delivered?	3	N/A - Velodrome project not yet procured. NIA Phase 2 included in 2014 tender process.
Were Performance Indicators specified for each project/programme which will allow for the evaluation of its efficiency and effectiveness?	3	Performance outcome specs for sports facilities form part of procurement documentation; Usage levels and benefits to sports programmes formed part of Business Case / CBA process
Have steps been put in place to gather Performance Indicator data?	N/A	N/A
Fáilte Ireland		
Was a Preliminary Appraisal undertaken for all projects valued in excess of €5 million?	3	Yes a preliminary appraisal was undertaken as part of a MCA for a project greater than €5m.
Was an appropriate appraisal method used in respect of each capital project or capital programme/grant scheme?	3	Yes for projects less than €5 million should be subject to a single appraisal was utilised incorporating elements of a preliminary and detailed appraisal.
Was a CBA/CEA completed for all projects valued in excess of €20 million?	3	There was a CBA Completed for the Midlands /IHH capital & Current Investment in the new Signature Brand (2020 onwards) completed and submitted in 2018, and approved in 2019
Were appraisal processes commenced at an early stage to facilitate decision-making? (i.e. prior to the decision)	3	Yes, appraisal methodologies in the case of Investment Schemes are agreed at the time of launch. Applications are appraised and present to (i) the Investment Programme Steering Group, comprised of Heads of Division or Directors (ii) the Management Advisory Committee comprised of Directors and the Chief Executive (iii) to the Investment Committee comprised of members of the Authority (iv) the final recommendation is then put to the full Authority
Was an Approval in Principle granted by the Sanctioning Authority for all projects before they entered the Planning and Design Phase (e.g. procurement)?	3	Yes
If a CBA/CEA was required, was it submitted to DPER's Central IGEEES Unit for their views?	n/a	
Were the NDFA consulted for projects costing more than €20 million?	n/a	
Were all projects that went forward for tender in line with the Approval in Principle, and if not, was the detailed appraisal revisited and a fresh Approval in Principle granted?	n/a	
Was approval granted to proceed to tender?	n/a	
Were Procurement rules complied with?	3	Yes
Were State Aid rules checked for all supports?	3	Yes, with the support of our legal advisers as required. Members of the evaluation unit have been trained in state aid rules.
Were the tenders received in line with the Approval in Principle in terms of cost and what is expected to be delivered?	3	Yes, we utilise an independent quantity surveyor to review costs.
Were Performance Indicators specified for each project/programme which will allow for the evaluation of its efficiency and effectiveness?	3	These have been set at a project level, all project submitted to the Investment Committee must also have an impact analysis plan as part of the funding recommendation.
Have steps been put in place to gather Performance Indicator data?	2	Yes, a number of steps are underway through the collection of data via our Key Accounting Process (where a member of FI meets with an attraction, festival, hotel etc to review performance), surveys of attractions in terms of visitor numbers and surveys of festivals in terms of attendees. This project is well underway and additional work is planned in this area in 2020
Greenways		
Was a Preliminary Appraisal undertaken for all projects valued in excess of €5 million?	2	
Was an appropriate appraisal method used in respect of each capital project or capital programme/grant scheme?	2	

Was a CBA/CEA completed for all projects valued in excess of €20 million?	N/A	No new projects of this scale in 2019
Were appraisal processes commenced at an early stage to facilitate decision-making? (i.e. prior to the decision)	N/A	Early stages of project had been carried out prior to seeking funding from DTTaS
Was an Approval in Principle granted by the Sanctioning Authority for all projects before they entered the Planning and Design Phase (e.g. procurement)?	2	Set out in T&Cs
If a CBA/CEA was required, was it submitted to DPER's Central IGEES Unit for their views?	N/A	No new projects of this scale in 2019
Were the NDFA consulted for projects costing more than €20 million?	N/A	No projects in the Being Considered category of this scale in 2019
Were all projects that went forward for tender in line with the Approval in Principle, and if not, was the detailed appraisal revisited and a fresh Approval in Principle granted?	N/A	No projects in the Being Considered category at this phase i.e. (tender for construction) in 2019
Was approval granted to proceed to tender?	N/A	No projects in the Being Considered category at this phase in 2019
Were Procurement rules complied with?	N/A	As above
Were State Aid rules checked for all supports?	N/A	
Were the tenders received in line with the Approval in Principle in terms of cost and what is expected to be delivered?	N/A	No projects in the Being Considered category at this phase in 2019
Were Performance Indicators specified for each project/programme which will allow for the evaluation of its efficiency and effectiveness?	2	Details relating to Performance Indicators set out in T&Cs
Have steps been put in place to gather Performance Indicator data?	2	Work ongoing in this regard to improve Performance Indicators
End		



An Roinn Iompair
Department of Transport

Quality Assurance Process 2019

Appendix C

Self Assessed Compliance Checklists

This section details the self-assessment compliance checklists received from the following Department of Transport bodies and agencies with respect to:

Checklist 3: Capital Expenditure Being Considered

- Iarnród Éireann
- National Transport Authority
- Road Safety Authority
- Transport Infrastructure Ireland
- Fáilte Ireland

Self-Assessed Compliance Checklists

Checklist 3: Capital Expenditure Being Considered

Question	Rating	Comment
Major Events Division		
Were objectives clearly set?	3	
Are objectives measurable in quantitative terms?	3	
Was an appropriate appraisal method used?	3	
Was a business case incorporating financial and economic appraisal prepared for new current expenditure?	3	The tournament is being held on the basis of a Government decision that pre-empted a business case. However, an impact assessment was conducted, as were costings.
Has an assessment of likely demand for the new scheme/scheme extension been estimated based on empirical evidence?	N/A	
Was the required approval granted?	3	
Has a sunset clause been set?	N/A	
Has a date been set for the pilot and its evaluation?	N/A	
Have the methodology and data collection requirements for the pilot been agreed at the outset of the scheme?	N/A	
If outsourcing was involved, were Procurement Rules complied with?	N/A	
Were Performance Indicators specified for each new current expenditure proposal or expansion of existing current expenditure which will allow for the evaluation of its efficiency and effectiveness?	N/A	
Have steps been put in place to gather Performance Indicator data?	N/A	
Iarnród Éireann		
Were objectives clearly set?	N/A	No New Current Expenditure.
Are objectives measurable in quantitative terms?	N/A	Ditto.
Was an appropriate appraisal method used?	N/A	Ditto.
Was a business case incorporating financial and economic appraisal prepared for new current expenditure?	N/A	Ditto.
Has an assessment of likely demand for the new scheme/scheme extension been estimated based on empirical evidence?	N/A	Ditto.
Was the required approval granted?	N/A	Ditto.
Has a sunset clause been set?	N/A	Ditto.
Has a date been set for the pilot and its evaluation?	N/A	Ditto.
Have the methodology and data collection requirements for the pilot been agreed at the outset of the scheme?	N/A	Ditto.
If outsourcing was involved, were Procurement Rules complied with?	N/A	Ditto.
Were Performance Indicators specified for each new current expenditure proposal or expansion of existing current expenditure which will allow for the evaluation of its efficiency and effectiveness?	N/A	Ditto.
Have steps been put in place to gather Performance Indicator data?	N/A	Ditto.
National Transport Authority		
Were objectives clearly set?	N/A	No new current expenditure programmes under consideration.
Are objectives measurable in quantitative terms?	N/A	No new current expenditure programmes under consideration.
Was an appropriate appraisal method used?	N/A	No new current expenditure programmes under consideration.
Was a business case incorporating financial and economic appraisal prepared for new current expenditure?	N/A	No new current expenditure programmes under consideration.
Has an assessment of likely demand for the new scheme/scheme extension been estimated based on empirical evidence?	N/A	No new current expenditure programmes under consideration.

Was the required approval granted?	N/A	No new current expenditure programmes under consideration.
Has a sunset clause been set?	N/A	No new current expenditure programmes under consideration.
Has a date been set for the pilot and its evaluation?	N/A	No new current expenditure programmes under consideration.
Have the methodology and data collection requirements for the pilot been agreed at the outset of the scheme?	N/A	No new current expenditure programmes under consideration.
If outsourcing was involved, were Procurement Rules complied with?	N/A	No new current expenditure programmes under consideration.
Were Performance Indicators specified for each new current expenditure proposal or expansion of existing current expenditure which will allow for the evaluation of its efficiency and effectiveness?	N/A	No new current expenditure programmes under consideration.
Have steps been put in place to gather Performance Indicator data?	N/A	No new current expenditure programmes under consideration.
Road Safety Authority		
Were objectives clearly set out?	3	Outlined in Annual Budget & Business Plan
Are objectives measurable in quantitative terms?	3	KPIS clearly outlined for all current expenditure.
Was a business case, incorporating financial and economic appraisal, prepared for new current expenditure proposals?	3	Part of the annual Budget & Business Plan approval process
Was an appropriate appraisal method used?	3	Yes, All Current Programmes are assessed in respect of affordability, value for money and with other alternatives.
Was an economic appraisal completed for all projects/programmes exceeding €20m or an annual spend of €5m over 4 years?	3	Yes, All Current Programmes are assessed in respect of affordability, value for money and with other alternatives.
Did the business case include a section on piloting?	N/A	
Were pilots undertaken for new current spending proposals involving total expenditure of at least €20m over the proposed duration of the programme and a minimum annual expenditure of €5m?	N/A	
Have the methodology and data collection requirements for the pilot been agreed at the outset of the scheme?	N/A	
Was the pilot formally evaluated and submitted for approval to the relevant Vote Section in DPER?	N/A	
Has an assessment of likely demand for the new scheme/scheme extension been estimated based on empirical evidence?	3	Yes, All Current Programmes are assessed in respect of affordability, value for money and with other alternatives.
Was the required approval granted?	3	Part of the annual Budget & Business Plan approval process
Has a sunset clause been set?	3	Programmes reviewed annually.
If outsourcing was involved were both EU and National procurement rules complied with	3	All Procurement law, and rules are complied with.
Were performance indicators specified for each new current expenditure proposal or expansion of existing current expenditure programme which will allow for a robust evaluation at a later date?	3	KPIs outlined for each programme
Have steps been put in place to gather performance indicator data?	3	Part of the Contract Management piece
Transport Infrastructure Ireland		
Were objectives clearly set?	N/A	No new Current expenditure being considered
Are objectives measurable in quantitative terms?	N/A	No new Current expenditure being considered
Was an appropriate appraisal method used?	N/A	No new Current expenditure being considered
Was a business case incorporating financial and economic appraisal prepared for new current expenditure?	N/A	No new Current expenditure being considered
Has an assessment of likely demand for the new scheme/scheme extension been estimated based on empirical evidence?	N/A	No new Current expenditure being considered
Was the required approval granted?	N/A	No new Current expenditure being considered
Has a sunset clause been set?	N/A	No new Current expenditure being considered
Has a date been set for the pilot evaluation?	N/A	No new Current expenditure being considered
Have the methodology and data collection requirements for the pilot evaluation been agreed at the outset of the scheme?	N/A	No new Current expenditure being considered
If outsourcing was involved were Procurement Rules complied with?	N/A	No new Current expenditure being considered

Were Performance Indicators specified for each new current expenditure proposal or expansion of existing current expenditure which will allow for the evaluation of its efficiency and effectiveness?	N/A	No new Current expenditure being considered
Have steps been put in place to gather Performance Indicator data?	N/A	No new Current expenditure being considered
Irish Coast Guard		
Were objectives clearly set?	3	
Are objectives measurable in quantitative terms?	3	
Was an appropriate appraisal method used?	3	
Was a business case incorporating financial and economic appraisal prepared for new current expenditure?	2	
Has an assessment of likely demand for the new scheme/scheme extension been estimated based on empirical evidence?	3	
Was the required approval granted?	2	
Has a sunset clause been set?	?	
Has a date been set for the pilot and its evaluation?	2	
Have the methodology and data collection requirements for the pilot been agreed at the outset of the scheme?	1	
If outsourcing was involved, were Procurement Rules complied with?	3	
Were Performance Indicators specified for each new current expenditure proposal or expansion of existing current	2	
Have steps been put in place to gather Performance Indicator data?	2	
Fáilte Ireland		
Were objectives clearly set?	3	through the development of a 5 year strategic plan, objectives were either captured in submissions as part of the annual budgetary process or as part of Project Charters amongst teams undertaking projects in line with the strategic objectives as set out in the 5 year plan.
Are objectives measurable in quantitative terms?	3	The majority of investment sought to deliver increase visitor revenue and economic return to the exchequer in line with specific objectives around seasonality and regionality
Was an appropriate appraisal method used?	3	all activity was measured against a set of objectives set out in the Strategic plan
Was a business case incorporating financial and economic appraisal prepared for new current expenditure?	2	current programmes of activity are ongoing rolling programmes with variables as agreed at the start of the year that have ongoing assessment throughout the year
Has an assessment of likely demand for the new scheme/scheme extension been estimated based on empirical evidence?	2	there are various methods of coallating feedback to inform new schemes/extensions, more work needs to be done to address this level of analysis
Was the required approval granted?	3	various levels of approval is sanctioned depending on the level of expenditure
Has a sunset clause been set?	N/A	not applicable
Has a date been set for the pilot and its evaluation?	2	in relation to the various items of expenditure - these projects will be reviewed on completion, full analysis won't be completed until the project has fully rolled out (after 2 years)
Have the methodology and data collection requirements for the pilot been agreed at the outset of the scheme?	2	in some cases they have been identified on application and will be tracked throughout the delivery of the project, not in place for all projects
If outsourcing was involved, were Procurement Rules complied with?	3	Yes
Were Performance Indicators specified for each new current expenditure proposal or expansion of existing current expenditure which will allow for the evaluation of its efficiency and effectiveness?	3	KPI's are set for all activity
Have steps been put in place to gather Performance Indicator data?	3	a reporting process is in place to provide regular updates on KPIs
End		



Quality Assurance Process 2019

Appendix C

Self Assessed Compliance Checklists

This section details the self-assessment compliance checklists received from the following Department of Transport bodies and agencies with respect to:

Checklist 4: Capital Expenditure Being Incurred

- Airports Division
- Information Services Division
- Climate Change Unit
- Driver Vehicle and Computer Services Division
- Iarnród Éireann
- National Transport Authority
- Road Safety Authority
- Transport Infrastructure Ireland
- Sports Capital Programme
- Sport Ireland
- Fáilte Ireland
- Greenways

Self-Assessed Compliance Checklists

Checklist 4: Capital Expenditure Being Incurred

Question	Rating	Comment
Airports Division		
Was a contract signed and was it in line with the approval in principle?	3	Contracts for operation of CAPEX and PPR-C Capital schemes under the Regional Airports Programme were signed at the commencement of the Programme. All project approvals are issued in accordance with those contracts and the provisions of the Regional Airports Programme.
Did Management Boards/Steering Committees meet regularly as agreed?	N/A	Proposals submitted by the Regional Airports are assessed by a Panel comprising of DTTAS staff (Airports and ASSD), and representatives from the IAA and NewERA. Once approved, the airports complete the projects in line with the provisions of the Regional Airports Programme.
Were Programme Co-ordinators appointed to facilitate implementation?	3	DTTAS staff in Airports Division act as Programme Co-ordinators for the RAP.
Were Project Managers responsible for delivery appointed, and were the Project Managers at a suitable senior level for the scale of the project?	N/A	Once approved, the airports complete projects themselves in line with the provisions of the RAP.
Were monitoring reports prepared regularly, showing implementation against plan, budget, timescales and quality?	2	Drawdown profiles are submitted by the airports and updated as each project progresses. Airports staff remain in regular contact with the airports regarding progress. Official monitoring reports are not submitted.
Did the project keep within its financial budget and its time schedule?	3	Yes.
Did budgets have to be adjusted?	3	No.
Were decisions on changes to budgets / time schedules made promptly?	3	Yes.
Did circumstances ever warrant questioning the viability of the project and the business case incl. CBA/CEA? (exceeding budget, lack of progress, changes in the environment, new evidence)	Yes	The Assessment Panel question the viability of all projects from a technical, regulatory and financial perspective.
If circumstances did warrant questioning the viability of a project, was the project subjected to adequate examination?	Yes	
If costs increased, was approval received from the Sanctioning Authority?	Yes	One airport alerted the Department to an additional urgent project which was required. They sought approval before proceeding. Decisions to approve such additional projects, or cost increases are dependent on available resources within the overall RAP budget.
Were any projects terminated because of deviations from the plan, budget or because circumstances in the environment changed the need for the investment?	No	
For significant projects, were quarterly reports on progress submitted to the MAC and to the Minister?	No	
Information Services Division		
Was a contract signed and was it in line with the approval in principle?	3	Contract signed for Safeseas Ireland project. The Tech refresh programme consists of several sub projects and contracts were signed for those elements requiring them
Did Management Boards/Steering Committees meet regularly as agreed?	3	Yes
Were Programme Co-ordinators appointed to facilitate implementation?	3	We don't use Programme Co-ordinators. The project governance is Steering Group, Project Board, Project Manager and Project Team
Were Project Managers responsible for delivery appointed, and were the Project Managers at a suitable senior level for the scale of the project?	3	Yes
Were monitoring reports prepared regularly, showing implementation against plan, budget, timescales and quality?	2	For SSI reports were made to the Maritime Steering Group when they met indicating probable timescales and at the later stages budget. Quality not specifically address as the product could only be assessed when completed.
Did the project keep within its financial budget and its time schedule?	2	For SSI project kept within budget and schedule was met. For the Tech refresh programme some procurement took longer than expected and some items were more expensive than originally expected.
Did budgets have to be adjusted?	2	Slightly for Tech Refresh

Were decisions on changes to budgets / time schedules made promptly?	3	Yes
Did circumstances ever warrant questioning the viability of the project and the business case incl. CBA/CEA? (exceeding budget, lack of progress, changes in the environment, new evidence)	3	For SSI the project is driven by EU and European Maritime Safety Agency therefore the scope to not do developments is curtailed.
If circumstances did warrant questioning the viability of a project, was the project subjected to adequate examination?	NA	
If costs increased, was approval received from the Sanctioning Authority?	3	Yes
Were any projects terminated because of deviations from the plan, budget or because circumstances in the environment changed the need for the investment?	NA	
For significant projects, were quarterly reports on progress submitted to the MAC and to the Minister?	NA	

Climate Change Unit

Was a contract signed and was it in line with the approval in principle?	3	
Did Management Boards/Steering Committees meet regularly as agreed?	3	
Were Programme Co-ordinators appointed to facilitate implementation?	3	
Were Project Managers responsible for delivery appointed, and were the Project Managers at a suitable senior level for the scale of the project?	3	
Were monitoring reports prepared regularly, showing implementation against plan, budget, timescales and quality?	2	
Did the project keep within its financial budget and its time schedule?	2	Due to external delays with vehicle availability and an equipment testing failure, a number of buses were retested in the Low Emission Bus Trials and some tests rescheduled; schedule slip occurred with correlating increase to costs.
Did budgets have to be adjusted?	2	The budget for consultancy and project management was revised upward to account for schedule slippage and additional works required.
Were decisions on changes to budgets / time schedules made promptly?	3	
Did circumstances ever warrant questioning the viability of the project and the business case incl. CBA/CEA? (exceeding budget, lack of progress, changes in the environment, new evidence)	N/A	
If circumstances did warrant questioning the viability of a project, was the project subjected to adequate examination?	N/A	
If costs increased, was approval received from the Sanctioning Authority?	3	
Were any projects terminated because of deviations from the plan, budget or because circumstances in the environment	N/A	
For significant projects, were quarterly reports on progress submitted to the MAC and to the Minister?	N/A	

Driver Vehicle and Computer Services Division

Was a contract signed and was it in line with the approval in principle?	3	Yes, contract in place with service provider
Did Management Boards/Steering Committees meet regularly as agreed?	3	Monthly steering meetings, weekly calls to discuss lower level elements of the project
Were Programme Co-ordinators appointed to facilitate implementation?	3	Yes
Were Project Managers responsible for delivery appointed, and were the Project Managers at a suitable senior level for the scale of the project?	3	Yes
Were monitoring reports prepared regularly, showing implementation against plan, budget, timescales and quality?	3	Yes, regular reports are prepared showing progress against planned activities
Did the project keep within its financial budget and its time schedule?	2	While the cost of the project has exceeded the profiled figure, this has been largely due to unforeseen complexity, and some additional functional features, which have also resulted in the time schedule being adjusted.
Did budgets have to be adjusted?	2	No additional funding was required from the Department, additional cost was borne from the Divisions sub-head
Were decisions on changes to budgets / time schedules made promptly?	3	Yes, these matters are discussed at weekly meetings
Did circumstances ever warrant questioning the viability of the project and the business case incl. CBA/CEA? (exceeding budget, lack of progress, changes in the environment, new evidence)	3	No

If circumstances did warrant questioning the viability of a project, was the project subjected to adequate examination?	n/a	n/a
If costs increased, was approval received from the Sanctioning Authority?	n/a	No additional sanction was not required
Were any projects terminated because of deviations from the plan, budget or because circumstances in the environment changed the need for the investment?	n/a	n/a
For significant projects, were quarterly reports on progress submitted to the MAC and to the Minister?	n/a	n/a

Iarnród Éireann

Was a contract signed and was it in line with the approval in principle?	3	Contracts under NTA funded projects are made by way of Letter of Offer.
Did Management Boards/Steering Committees meet regularly as agreed?	3	
Were Programme Co-ordinators appointed to facilitate implementation?	3	Program Managers were appointed
Were Project Managers responsible for delivery appointed, and were the Project Managers at a suitable senior level for the scale of the project?	3	
Were monitoring reports prepared regularly, showing implementation against plan, budget, timescales and quality?	3	<p>Under the Infrastructure Manager Multi-Annual Contract (IMMAC), monitoring reports are submitted to the Regulator on a Quarterly basis. These report progress (plan against budget) across the major asset categories.</p> <p>Project specific monthly reports for the following projects were submitted to the National Transport Authority (NTA); City Centre Resignalling Project (CCRP), Development of Kent Station, DART EXpansion Programme, & The National Train Control Centre (NTCC). These reports are reviewed at monthly steering meetings or at alternate arrangements as required by the NTA.</p> <p style="text-align: right;">In addition</p> <p>to the detailed progress reports issued to the NTA, the projects produce Period Reports to the Iarnród Éireann board via the IM reporting process. These reports cover progress, financial status and risk items.</p>
Did the project keep within its financial budget and its time schedule?	3	
Did budgets have to be adjusted?	3	
Were decisions on changes to budgets / time schedules made promptly?	3	
Did circumstances ever warrant questioning the viability of the project and the business case incl. CBA/CEA? (exceeding budget, lack of progress, changes in the environment, new evidence)	N/A	N/A
If circumstances did warrant questioning the viability of a project, was the project subjected to adequate examination?	N/A	N/A
If costs increased, was approval received from the Sanctioning Authority?	3	There were budget (cash flow) adjustments agreed with the sanctioning authority
Were any projects terminated because of deviations from the plan, budget or because circumstances in the environment changed the need for the investment?	3	
For significant projects, were quarterly reports on progress submitted to the MAC and to the Minister?	3	Submitted to Advisory Group, IE Board and Sanctioning Authority

National Transport Authority

Was a contract signed and was it in line with the approval in principle?	3	In respect of the above projects, contracts were executed at the construction stage in line with approvals in principle
Did Management Boards/Steering Committees meet regularly as agreed?	3	Yes, this is a standard part of NTA Project Management Guidelines.
Were Programme Co-ordinators appointed to facilitate implementation?	3	Yes
Were Project Managers responsible for delivery appointed, and were the Project Managers at a suitable senior level for the scale of the project?	3	Yes
Were monitoring reports prepared regularly, showing implementation against plan, budget, timescales and quality?	3	Yes, this is a standard part of NTA Project Management Guidelines.

Did the project keep within its financial budget and its time schedule?	2	The time schedule for some projects has increased due to scope variations and/or delay (City Centre Resignalling Project, Luas Cross City) with associated costs however these were managed in line with the change order process set out in the NTA Project Management and Cost Management Guidelines.
Did budgets have to be adjusted?	2	Some projects required to be adjusted to deal with project specific issues.
Were decisions on changes to budgets / time schedules made promptly?	3	Yes
Did circumstances ever warrant questioning the viability of the project and the business case incl. CBA/CEA? (exceeding budget, lack of progress, changes in the environment, new evidence)	3	The viability of the projects were not impacted due to the scale of variations
If circumstances did warrant questioning the viability of a project, was the project subjected to adequate examination?	N/A	See previous response
If costs increased, was approval received from the Sanctioning Authority?	3	Yes, this is a standard part of NTA Project Management Guidelines.
Were any projects terminated because of deviations from the plan, budget or because circumstances in the environment changed the need for the investment?	N/A	No projects were terminated for these reasons
For significant projects, were quarterly reports on progress submitted to the MAC and to the Minister?	3	There is monthly reporting to the Department of Transport, Tourism and Sport.

Road Safety Authority

Was a contract signed and was it in line with the Approval given at each Decision Gate?	3	Yes, all capital expenditure is underpinned with signed contracts in place.
Did management boards/steering committees meet regularly as agreed?	3	Yes, on all major capital programmes
Were programme co-ordinators appointed to co-ordinate implementation?	3	Project Management in place on all material projects
Were project managers, responsible for delivery, appointed and were the project managers at a suitably senior level for the scale of the project?	3	Yes
Were monitoring reports prepared regularly, showing implementation against plan, budget, timescales and quality?	3	Yes, using Cora project management reporting tool
Did projects/programmes/grant schemes keep within their financial budget and time schedule?	3	Yes, tight management and reporting on project spend
Did budgets have to be adjusted?	3	Yes, sometimes to take account of project changes in scope
Were decisions on changes to budgets / time schedules made promptly?	3	Yes, through Stage gate and PMO steerco meetings
Did circumstances ever warrant questioning the viability of the project/programme/grant scheme and the business case (exceeding budget, lack of progress, changes in the environment, new evidence, etc.)?	No	
If circumstances did warrant questioning the viability of a project/programme/grant scheme was the project subjected to adequate examination?	N/A	
If costs increased or there were other significant changes to the project was approval received from the Approving Authority?	N/A	All capital projects in Authority funded from own resources
Were any projects/programmes/grant schemes terminated because of deviations from the plan, the budget or because	No	

Transport Infrastructure Ireland

Was a contract signed and was it in line with the approval in principle?	3	Where TII is Sanctioning Authority approvals for funding for the award of contracts are given based on the submission of a package of deliverables from the Sponsoring agency. Two schemes were awarded that exceeded the €100m threshold and the approval of government to award was confirmed. In relation to TII Capital expenditure programmes, contracts are in line with the Business Cases prepared.
Did management boards/steering committees meet regularly as agreed?	3	Yes there are steering/management/ construction monitoring boards associated with all projects that meet on a regular basis. The Local Authority/NRO/PO store the agenda, minutes and action lists. For TII projects there are Project Boards that meet regularly. In relation to TII Capital expenditure programmes, Steering Committees have operated on all contracts. Governance Boards are being introduced for the safety and pavement Capital Programmes.

Were Programme Co-ordinators appointed to co-ordinate implementation?	3	A portfolio manager has been appointed for Roads Capital Programmes. In relation to TII Capital expenditure programmes, Project Senior Engineers and Senior Managers are appointed on all Capital Programmes.
Were Project Managers, responsible for delivery, appointed and were the Project Managers at a suitable senior level for the scale of the project?	3	The LA appointed a project manager who is responsible for the project in the Local Authority and for reporting on the project to the steering / construction supervision board. This person is named in the project execution plan. For TII Capital expenditure programmes, a TII manager is appointed.
Were monitoring reports prepared regularly, showing implementation against plan, budget, timescales and quality?	3	Yes monitoring reports are prepared and filed by the Local Authority where they are the sponsoring agency and confirmed to TII. Internally in TII projects and programmes are reported to the Board on a monthly basis. For PPP projects in the operation phase regular monitoring reports are received from the PPP company. In relation to TII Capital expenditure programmes, regular reports are prepared the frequency being related to the complexity of the programme.
Did the project keep within its financial budget and its time schedule?	3	Yes, projects did keep within their overall multi annual budgets. Some limited delays were experienced in the time schedule for projects due to issues outside the control of the project teams.
Did budgets have to be adjusted?	3	Budgets did not have to be adjusted they are adjusted at specific hold points only in line with internal procedures.
Were decisions on changes to budgets / time schedules made promptly?	3	Yes, if applicable for Roads Capital Projects. In relation to TII Capital expenditure programmes - N/A.
Did circumstances ever warrant questioning the viability of the project and the business case incl. CBA/CEA? (exceeding budget, lack of progress, changes in the environment, new evidence)	3	No project viability was questioned in 2019. TII Capital expenditure programmes are subject to interim review. Reviews to date have not undermined the viability of the programme.
If circumstances did warrant questioning the viability of a project was the project subjected to adequate examination?	3	N/A in the current year.
If costs increased was approval received from the Sanctioning Authority?	3	Yes, there is a change order process in place.
Were any projects terminated because of deviations from the plan, the budget or because circumstances in the environment changed the need for the investment?	3	No projects or programmes were terminated in 2018.
For significant projects were quarterly reports on progress submitted to the MAC and to the Minister?	3	Yes, significant projects are reported in the DEPR tracker and progress reported to DTTAS Roads Monitoring Meeting quarterly.
Sports Capital Programmes Division		
Was a contract signed and was it in line with the approval in principle?		NA - DTTAS is not the contracting authority. We do not sign contracts with grantees.
Did Management Boards/Steering Committees meet regularly as agreed?		NA
Were Programme Co-ordinators appointed to facilitate implementation?		NA - officials are responsible for all grants within their assigned county/counties or for regional projects.
Were Project Managers responsible for delivery appointed, and were the Project Managers at a suitable senior level for the scale of the project?		NA - officials are responsible for all grants within their assigned county/counties or for regional projects.
Were monitoring reports prepared regularly, showing implementation against plan, budget, timescales and quality?		YES -
Did the project keep within its financial budget and its time schedule?		yes
Did budgets have to be adjusted?		Occasionally money is available for carryover or is vired to and from other sub-heads.
Were decisions on changes to budgets / time schedules made promptly?		yes
Did circumstances ever warrant questioning the viability of the project and the business case incl. CBA/CEA? (exceeding budget, lack of progress, changes in the environment, new evidence)		NA
If circumstances did warrant questioning the viability of a project, was the project subjected to adequate examination?		NA
If costs increased, was approval received from the Sanctioning Authority?		NA
Were any projects terminated because of deviations from the plan, budget or because circumstances in the environment changed the need for the investment?		Yes - if projects cannot go ahead the funding is withdrawn
For significant projects, were quarterly reports on progress submitted to the MAC and to the Minister?		NA
Sport Ireland		

Was a contract signed and was it in line with the approval in principle?	3	
Did Management Boards/Steering Committees meet regularly as agreed?	3	NSC Sub-committee of Board reviews all progress regularly and reports up to full Board. NIA steering group met as required
Were Programme Co-ordinators appointed to facilitate implementation?	3	All Campus projects are overseen by Development Director
Were Project Managers responsible for delivery appointed, and were the Project Managers at a suitable senior level for the scale of the project?	2	Development Director has overall responsibility for delivering projects. Project managers and multi-disciplinary Technical Advisers are appointed to oversee all capital projects.
Were monitoring reports prepared regularly, showing implementation against plan, budget, timescales and quality?	3	Technical advisers are required to prepare regular reports and briefings throughout the project duration and all progress is reported to each Sub-committee and Board meeting. A special steering group was established to oversee the NIA project
Did the project keep within its financial budget and its time schedule?	3	Yes €200k increase agreed with contractor re pitch uplift and signage.
Did budgets have to be adjusted?	3	Yes €200k increase agreed with contractor re pitch uplift and signage.
Were decisions on changes to budgets / time schedules made promptly?	3	All changes are made in such a timeframe as to not delay project.
Did circumstances ever warrant questioning the viability of the project and the business case incl. CBA/CEA? (exceeding budget, lack of progress, changes in the environment, new evidence)	3	No
If circumstances did warrant questioning the viability of a project, was the project subjected to adequate examination?	3	N/A
If costs increased, was approval received from the Sanctioning Authority?	3	Yes, the Sanctioning Authority was informed of all additional claims for costs as soon as they arose.
Were any projects terminated because of deviations from the plan, budget or because circumstances in the environment changed the need for the investment?	3	No
For significant projects, were quarterly reports on progress submitted to the MAC and to the Minister?	3	Regular reports are provided to the Department on progress with all campus projects.
Fáilte Ireland		
Was a contract signed and was it in line with the approval in principle?	3	Yes
Did Management Boards/Steering Committees meet regularly as agreed?	3	Yes
Were Programme Co-ordinators appointed to facilitate implementation?	3	This depended on the nature of the project in some cases existing staff were in place in others they were appointed on a contract basis
Were Project Managers responsible for delivery appointed, and were the Project Managers at a suitable senior level for the scale of the project?	3	Yes, Fáilte Ireland took a close interest in this appointed in some case we co-drafted the job description and sat on the interview panel (Strandhill Surf Centre)
Were monitoring reports prepared regularly, showing implementation against plan, budget, timescales, and quality?	3	Yes, this was required as part of the claims and post grant monitoring process.
Did the project keep within its financial budget and its time schedule?	2	Budgets increased due to the cost of construction but in line with inflation. Lost time was experienced due to planning or other issues outside of the control of projects.
Did budgets have to be adjusted?	2	Yes
Were decisions on changes to budgets / time schedules made promptly?	2	Yes
Did circumstances ever warrant questioning the viability of the project and the business case incl. CBA/CEA? (exceeding budget, lack of progress, changes in the environment, new evidence)	3	No
If circumstances did warrant questioning the viability of a project, was the project subjected to adequate examination?	n/a	
If costs increased, was approval received from the Sanctioning Authority?	3	Yes, via the same mechanisms as per the original appraisal decision
Were any projects terminated because of deviations from the plan, budget or because circumstances in the environment changed the need for the investment?	3	no
For significant projects, were quarterly reports on progress submitted to the MAC and to the Minister?	2	Post grant monitoring reports were provided annually
Greenways		
Was a contract signed and was it in line with the approval in principle?	N/A	
Did Management Boards/Steering Committees meet regularly as agreed?	N/A	
Were Programme Co-ordinators appointed to facilitate implementation?	2	

Were Project Managers responsible for delivery appointed, and were the Project Managers at a suitable senior level for the scale of the project?	2	
Were monitoring reports prepared regularly, showing implementation against plan, budget, timescales and quality?	2	
Did the project keep within its financial budget and its time schedule?	2	Some projects and timelines had to be adjusted.
Did budgets have to be adjusted?	2	Budgets for a number of projects were adjusted following robust examination of cost increases.
Were decisions on changes to budgets / time schedules made promptly?	2	Decisions were made promptly in most cases, sometimes the Department was not notified as early as we would have liked.
Did circumstances ever warrant questioning the viability of the project and the business case incl. CBA/CEA? (exceeding budget, lack of progress, changes in the environment, new evidence)	3	Given the increase in costs of the South Kerry Greenway a revised Business Case was submitted.
If circumstances did warrant questioning the viability of a project, was the project subjected to adequate examination?	3	The Revised Business case for South Kerry Greenway was approved by SRAD
If costs increased, was approval received from the Sanctioning Authority?	2	
Were any projects terminated because of deviations from the plan, budget or because circumstances in the environment changed the need for the investment?	N/A	
For significant projects, were quarterly reports on progress submitted to the MAC and to the Minister?	N/A	
End		



Quality Assurance Process 2019

Appendix C

Self Assessed Compliance Checklists

This section details the self-assessment compliance checklists received from the following Department of Transport bodies and agencies with respect to:

Checklist 5: Current Expenditure Being Incurred

- Airports Division
- Information Services Division
- Iarnród Éireann
- National Transport Authority
- Road Safety Authority
- Transport Infrastructure Ireland
- Sport Ireland
- Fáilte Ireland

Self-Assessed Compliance Checklists

Checklist 5: Current Expenditure Being Incurred

Question	Rating	Comment
Airports Division		
Are there clear objectives for all areas of current expenditure?	3	
Are outputs well-defined?	3	
Are outputs quantified on a regular basis?	3	Monthly assessment of performance on PSO routes. RAP operational grant applications are assessed by NewERA each year.
Is there a method for monitoring efficiency on an on-going basis?	3	Monthly assessment of performance on PSO routes.
Are outcomes well defined?	3	
Are outcomes quantified on a regular basis?	3	Monthly assessment of performance on PSO routes.
Are unit costings compiled for performance monitoring?	3	
Is there a method for monitoring effectiveness on an on-going basis?	3	Monthly assessment of performance on PSO routes.
Is there an annual process in place to plan for new VFMs, FPAs and evaluations?	2	PPR-O applications are evaluated by NewERA each year.
How many formal VFMs/FPAs or other evaluations been completed in the year under review?	3	The RAP was subject to an expenditure review by IGEES in 2019.
Have all VFMs/FPAs been published in a timely manner?	3	Yes
Is there a process to follow up on the recommendations of previous VFMs/FPAs and other evaluations?	3	Recommendations of the 2011 VfM Report were largely incorporated into the 2011-2015 Programme and the 2015-2019 Programme, resulting in the discontinuation of grant aid to Sligo and Galway airports and PSO services to Knock, Derry, Sligo and Galway. This has been implemented with PSO funding now confined to Donegal and Kerry and Capital and Operational aid to Donegal, Knock, Kerry and Waterford. The finding of the 2019 Expenditure Review are being taken into account in the context of a new RAP 2020-2024 which is currently being finalised.
How have the recommendations of VFMs, FPAs and other evaluations informed resource allocation decisions?		Recommendations of the 2011 VfM Report were incorporated into the 2015-2019 RAP. Findings from the 2019 Expenditure Review have contributed to the development of a new RAP 2020-2024.
Information Services Division		
Are there clear objectives for all areas of current expenditure?	3	Yes. EU directives drive objectives for SSI.
Are outputs well-defined?	3	Yes. For SSI the FAL directive gives general direction on what needs to be achieved, these are discussed with the business and the outputs agreed. For the Tech Refresh outputs defined at the start of the projects
Are outputs quantified on a regular basis?	3	Yes. Regular meetings with business Divisions and Steering Group.
Is there a method for monitoring efficiency on an on-going basis?	3	For SSI Yes. Regular meetings take place to discuss what will be included in the next development sprint. Move towards new technologies to reduce development and support costs
Are outcomes well defined?	3	Outcomes for SSI defined in conjunction with the business. For Tech Refresh outcomes for each sub element are defined.
Are outcomes quantified on a regular basis?	3	Monthly statistic reports run on SSI re uptime and Notifications sent to SSN. SSN also send monthly data quality reports to
Are unit costings compiled for performance monitoring?	1	No
Is there a method for monitoring effectiveness on an on-going basis?	3	For SSI- Monthly statistic reports run on SSI re uptime and Notifications sent to SSN. SSN also send monthly data quality reports to Ireland on the system performance from their perspective
Is there an annual process in place to plan for new VFMs, FPAs and evaluations?	1	No
How many formal VFMs/FPAs or other evaluations been completed in the year under review?	NA	
Have all VFMs/FPAs been published in a timely manner?	NA	

Is there a process to follow up on the recommendations of previous VFMs/FPAs and other evaluations?	NA	
How have the recommendations of VFMs, FPAs and other evaluations informed resource allocation decisions?	NA	
Iarnród Éireann		
Are there clear objectives for all areas of current expenditure?	3	Objectives are set out in the PSO and MAC
Are outputs well-defined?	3	Yes. Schedule of services defined for PSO and schedule of works defined for MAC
Are outputs quantified on a regular basis?	3	Yes. Quarterly reporting to NTA on PSO and to the DTTaS on MAC
Is there a method for monitoring efficiency on an on-going basis?	3	Yes. KPI's in place for PSO and MAC
Are outcomes well defined?	3	Yes. Clear KPI definitions in place
Are outcomes quantified on a regular basis?	3	Yes. Quarterly for PSO and for MAC
Are unit costings compiled for performance monitoring?	3	Yes, service and infrastructure cost comparison.
Is there a method for monitoring effectiveness on an on-going basis?	3	Yes. Performance and reliability targets in place
Is there an annual process in place to plan for new VFMs, FPAs and evaluations?	3	The business case and objectives are reviewed prior to the commencement of each project phase. The objectives and business case are presented to the Board in a Board Paper
How many formal VFMs/FPAs or other evaluations been completed in the year under review?	None	
Have all VFMs/FPAs been published in a timely manner?	N/A	None scheduled to be published
Is there a process to follow up on the recommendations of previous VFMs/FPAs and other evaluations?	3	Such matters are identified in Board papers and actioned accordingly
How have the recommendations of VFMs, FPAs and other evaluations informed resource allocation decisions?	N/A	
National Transport Authority		
Are there clear objectives for all areas of current expenditure?	3	There are detailed contracts in place with each Transport Operator. The contracts set strict standards of operational performance and customer service and contain penalties for non-performance which outline the services and performance.
Are outputs well-defined?	3	The contracts set strict standards of operational performance and customer service, and contain penalties for non-performance
Are outputs quantified on a regular basis?	3	Yes, the contracts require detailed regular reporting across all elements of the contract.
Is there a method for monitoring efficiency on an on-going basis?	3	Yes, the Operators under direct award contracts (CIE Operators) are required to report on costs on a quarterly basis. The contracts also incorporate an efficiency incentive.
Are outcomes well defined?	3	The contracts set strict standards of operational performance and customer service and contain penalties for non-performance which outline the services and performance.
Are outcomes quantified on a regular basis?	3	Yes, the Operators are required to report on operational performance and customer service on a periodic (every 4 weeks) and a quarterly basis. Penalties apply where the required performance levels are not achieved.
Are unit costings compiled for performance monitoring?	N/A	
Is there a method for monitoring effectiveness on an on-going basis?	3	The contracts set strict standards of operational performance and customer service, and contain penalties for non-performance
Is there an annual process in place to plan for new VFMs, FPAs and evaluations?	N/A	PSO is not a new programme and isn't subject to the appraisal guidelines set out in the Public Spending Code.
How many formal VFMs/FPAs or other evaluations been completed in the year under review?	N/A	PSO is not a new programme and isn't subject to the appraisal guidelines set out in the Public Spending Code.
Have all VFMs/FPAs been published in a timely manner?	N/A	PSO is not a new programme and isn't subject to the appraisal guidelines set out in the Public Spending Code.
Is there a process to follow up on the recommendations of previous VFMs/FPAs and other evaluations?	N/A	PSO is not a new programme and isn't subject to the appraisal guidelines set out in the Public Spending Code.
How have the recommendations of VFMs, FPAs and other evaluations informed resource allocation decisions?	N/A	PSO is not a new programme and isn't subject to the appraisal guidelines set out in the Public Spending Code.
Road Safety Authority		
Are there clear objectives for all areas of current expenditure?	3	Yes, In accordance with RSA Strategy and Business Plan
Are outputs well defined?	3	Yes, through annual business planning process

Are outputs quantified on a regular basis?	3	Measured quarterly through suite of KPIs
Is there a method for monitoring efficiency on an ongoing basis?	3	Yes, all services are measurable with set of KPIs
Are outcomes well defined?	3	Yes
Are outcomes quantified on a regular basis?	3	Monthly
Are unit costings compiled for performance monitoring?	Yes	
Are other data compiled to monitor performance?	Yes	
Is there a method for monitoring effectiveness on an ongoing basis?	3	Financial and non Financial Measurements
Has the organisation engaged in any other 'evaluation proofing' of programmes/projects?	No	

Transport Infrastructure Ireland

Are there clear objectives for all areas of current expenditure?	3	The overarching objective is to ensure the most effective maintenance and operation programmes within the limitations of the budget provided.
Are outputs well defined?	2	Outputs are well defined for direct contracted services such as motorway & bridge maintenance. For the Local Authority delivered programmes outputs are more readily defined for winter service and public lighting programmes. Refinements continue to be implemented on the Local Authority ordinary maintenance programme.
Are outputs quantified on a regular basis?	2	Outputs are quantified on motorway, bridge and winter programmes. Outputs are partly quantified on the Local Authority ordinary maintenance programme. Owing to the nature of the asset, outputs on the public lighting programme can only be quantified following an inventory exercise undertaken jointly with LAs.
Is there a method for monitoring efficiency on an on-going basis?	2	Generally, yes. For winter, motorway and bridge maintenance a number of oversight measures are in place including contract monitoring by our technical advisors. Also, in part for the Local Authority ordinary maintenance through the Geo app. Efficiency of the public lighting programme is determined by application of the competitively procured national OGP public lighting energy supply contract.
Are outcomes well defined?	2	As above for outputs
Are outcomes quantified on a regular basis?	3	Annual reviews are undertaken of motorway, bridge and winter programmes. Monitoring of GeoApp performance in respect of Local Authority ordinary maintenance is undertaken. Monitoring of public lighting energy supply expenditure is undertaken annually but is dependent upon up to date local authority inventory
Are unit costings compiled for performance monitoring?	2	Yes, but not uniformly. Winter maintenance is subject to unit costing reviews. Public lighting programme unit costings are subject to OGP supply contract and up to date inventory. Owing to the nature and variety of the work delivered, motorway, bridge and Local Authority ordinary maintenance programmes are not as easily subject to unit cost analysis
Is there a method for monitoring effectiveness on an on-going basis?	2	Performance on winter maintenance, bridge and motorway maintenance is monitored on an ongoing basis.
Is there an annual process in place to plan for new VFMs, FPAs and evaluations?	2	Programs such as motorway maintenance, salt purchases and bridge maintenance are competitively tendered programs at intervals. Under these contracts VFM and policy assessment are therefore encompassed as part of that procurement process. TII will from 2020 implement an annual review process to plan for VFM, FPA and evaluations.
How many formal Value for Money or other evaluations been completed in the year under review?	2	Progress has been made on implementation on a number of recommendations arising from the external DTAAS 2016 VFM report. On the direct TII contracts, VFM is assured through competitive tendering followed by monitoring of contractor performance by external technical advisors.
Have all VFMs/FPAs been published in a timely manner?	3	TII has not undertaken Vfm reports on maintenance but continues to work on implementing recommendations on the DTTaS Vfm report published in 2016 whilst also undertaking a strategic review of the overall programme

Is there a process to follow up on the recommendations of previous VFMs/FPAs and other evaluations?	3	TII continues to monitor the effectiveness of the program to operate within the limitations of the budget provided to implement the recommendations of the 2016 VFM report. In addition, TII has recently appointed an external provider to review and highlight the strategic and economic impact and significance of the overall programme on the long term value of the national asset.
How have the recommendations of VFMs, FPAs and other evaluations informed resource allocation decisions?	3	While TII continues to work on implementing recommendations from the 2016 report, efficiencies in the local authority delivered programs in implementing the recommendations can only be achieved through continued engagement with our Local Authority partners. TII is mindful of the budgetary constraints that local authorities face in delivering the maintenance program.
Sport Ireland		
Are there clear objectives for all areas of current expenditure?	3	There are objectives set out in our strategy and business plans for each programme.
Are outputs well-defined?	3	The outputs are set out in our strategy and business plans
Are outputs quantified on a regular basis?	3	Progress is monitored against the strategy and the Board is updated
Is there a method for monitoring efficiency on an on-going basis?	3	Directors and Managers responsible for the programmes have to give an update to the CEO on an on-going basis, timeline are specified in the business plans
Are outcomes well defined?	3	Outcomes are specified in the business plans
Are outcomes quantified on a regular basis?	3	Reviews and research is carried out on a regular basis to ensure that the programmes are delivering the required outcomes
Are unit costings compiled for performance monitoring?		Not relevant
Is there a method for monitoring effectiveness on an on-going basis?	3	Speak reports are used to monitor the progress of Local Sports Partnerships. Mid year reviews and annual meetings are held with National Governing Bodies. Athletes progress is monitored. Research is used to monitor progress.
Is there an annual process in place to plan for new VFMs, FPAs and evaluations?	3	Speak reports are used to monitor the progress of Local Sports Partnerships. Mid year reviews and annual meetings are held with National Governing Bodies. Athletes progress is monitored. Research is used to monitor progress.
How many formal VFMs/FPAs or other evaluations been completed in the year under review?		Not relevant
Have all VFMs/FPAs been published in a timely manner?		Not relevant
Is there a process to follow up on the recommendations of previous VFMs/FPAs and other evaluations?		Not relevant
How have the recommendations of VFMs, FPAs and other evaluations informed resource allocation decisions?		Not relevant
Fáilte Ireland		
Are there clear objectives for all areas of current expenditure?	3	Across all projects objectives were either captured in submissions as part of the budgetary process or as part of Project Charters amongst teams undertaking projects
Are outputs well-defined?	3	The majority of investment sought to deliver increase visitor numbers and economic return to the exchequer. In other instance readiness for Brexit through appropriate business supports were required.
Are outputs quantified on a regular basis?	3	KPI's are set and reviewed regularly
Is there a method for monitoring efficiency on an on-going basis?	3	quarterly updates to leadership team, MAC and onwards to the Authority
Are outcomes well defined?	2	for larger projects yes, may be sometime before outcomes can be fully assessed
Are outcomes quantified on a regular basis?	2	quarterly updates to leadership team, MAC and onwards to the Authority
Are unit costings compiled for performance monitoring?	2	overall programmes of work are assessed on a collective basis
Is there a method for monitoring effectiveness on an on-going basis?	3	quarterly updates to leadership team, MAC and onwards to the Authority
Is there an annual process in place to plan for new VFMs, FPAs and evaluations?	2	annual planning process for following year commences in June /July of each year and concludes November each year, various stages of review built into the process
How many formal VFMs/FPAs or other evaluations been completed in the year under review?	n/a	

Have all VFMs/FPAs been published in a timely manner?	n/a	
Is there a process to follow up on the recommendations of previous VFMs/FPAs and other evaluations?	n/a	
How have the recommendations of VFMs, FPAs and other evaluations informed resource allocation decisions?	n/a	
End		



Quality Assurance Process 2019

Appendix C

Self Assessed Compliance Checklists

This section details the self-assessment compliance checklists received from the following Department of Transport bodies and agencies with respect to:

Checklist 6: Capital Expenditure Recently Ended

- Climate Change Unit
- Driver Vehicle and Computer Services Division
- Iarnród Éireann
- National Transport Authority
- Road Safety Authority
- Transport Infrastructure Ireland
- Sports Capital Programme
- Sport Ireland
- Fáilte Ireland
- Greenways

Self-Assessed Compliance Checklists

Checklist 6: Capital Expenditure Recently Ended

Question	Rating	Comment
Climate Change Unit		
How many post project reviews were completed in the year under review?	N/A	N/A
Was a post project review completed for all projects/programmes	N/A	N/A
If sufficient time has not elapsed to allow a proper assessment of benefits, has a post project review been scheduled for a future date?	N/A	Post-project review/ CBA is carried out by the NTA as part of its standard operational assessment of all buses purchased for the PSO fleets.
Were lessons learned from post-project reviews disseminated within the Sponsoring Agency and to the Sanctioning Authority?	N/A	N/A
Were changes made to the Sponsoring Agencies practices in light of lessons learned from post-project reviews?	N/A	N/A
Were project reviews carried out by staffing resources independent of project implementation?	N/A	N/A
Driver Vehicle and Computer Services Division		
How many post project reviews were completed in the year under review?	N/A	
Was a post project review completed for all projects/programmes	N/A	
If sufficient time has not elapsed to allow a proper assessment of benefits, has a post project review been scheduled for a future date?	2	A post-project review of the MLR project was conducted to assess the project and the following benefits to An Garda Síochána Road Policing were identified: <ul style="list-style-type: none"> • Increase the number of penalty point offences that are endorsed on driving licenses by including Driver Number from MLR with offence information that is sent to the Courts Service • Increase the identification of Disqualified Drivers on the road by using ANPR lists generated via MLR • Increase the identification of Unaccompanied Learner drivers on the road by using ANPR lists generated via MLR AGS and DTTAS are now working on integration projects based on this review of the MLR project to realise these benefits
Were lessons learned from post-project reviews disseminated within the Sponsoring Agency and to the Sanctioning Authority?	2	Please see above
Were changes made to the Sponsoring Agencies practices in light of lessons learned from post-project reviews?	2	No, project had regular steering meetings with outcomes monitored regularly, and post implementation review carried out
Were project reviews carried out by staffing resources independent of project implementation?	2	Due the nature of the project, and the small pool of resources available to the Division, the post implementation review involves Divisional staff that were involved in the project.
Iarnród Éireann		
How many post project reviews were completed in the year under review?	3	Economic evaluation/detailed post project reviews are carried out 3 to 5 years after project completion, where appropriate
Was a post project review completed for all projects/programmes	None	
If sufficient time has not elapsed to allow a proper assessment of benefits, has a post project review been scheduled for a future date?	3	Reviews are timed to allow for full project close out and a period of user adoption
Were lessons learned from post-project reviews disseminated within the Sponsoring Agency and to the Sanctioning Authority?	3	Post project reviews to be carried out prior to close out where appropriate. 1. Lessons learnt/exercises carried out. 2. Economic evaluation/detailed post project reviews are carried out 3 to 4 years after project completion, where appropriate
Were changes made to the Sponsoring Agencies practices in light of lessons learned from post-project reviews?	N/A	N/A.
Were project reviews carried out by staffing resources independent of project implementation?	3	The IMMAC review carried out independently from the implementation team
National Transport Authority		
How many post project reviews were completed in the year under review?	3	No Post Project Reviews were undertaken as sufficient time for the benefits accruing to the projects post opening had not
Was a post project review completed for all projects/programmes	n/a	

If sufficient time has not elapsed to allow a proper assessment of benefits, has a post project review been scheduled for a future date?	3	
Were lessons learned from post-project reviews disseminated within the Sponsoring Agency and to the Sanctioning Authority?	n/a	
Were changes made to the Sponsoring Agencies practices in light of lessons learned from post-project reviews?	n/a	
Were project reviews carried out by staffing resources independent of project implementation?	n/a	
Road Safety Authority		
How many Project Completion Reports were completed in the year under review?	3	3 Projects were completed in 2019
Were lessons learned from Project Completion Reports incorporated into sectoral guidance and disseminated within the	3	There is a lessons learned element to the life cycle of each capital project
How many Project Completion Reports were published in the year under review?	N/A	
How many Ex-Post Evaluations were completed in the year under review?	N/A	
How many Ex-Post Evaluations were published in the year under review?	N/A	
Were lessons learned from Ex-Post Evaluation reports incorporated into sectoral guidance and disseminated within the Sponsoring Agency and the Approving Authority?	N/A	
Were Project Completion Reports and Ex-Post Evaluations carried out by staffing resources independent of project implementation?	N/A	
Were Project Completion Reports and Ex-Post Evaluation Reports for projects over €50m sent to DPER for dissemination?	N/A	
Transport Infrastructure Ireland		
How many post project reviews were completed in the year under review?	3	One project reached the stage of post project review preparation in 2019 and a draft report has been prepared.
Was a post project review completed for all projects/programmes	3	Yes, post project reviews are completed for all relevant projects over €20 at the appropriate time.
If sufficient time has not elapsed to allow a proper assessment of benefits, has a post project review been scheduled for a future date?	3	Yes, post project reviews will be scheduled for relevant projects.
Were lessons learned from post-project reviews disseminated within the Sponsoring Agency and to the Sanctioning Authority?	3	Yes, they were added to the lessons learned data base. A lessons learned workshop was carried out on the major project that completed construction in 2019.
Were changes made to the Sponsoring Agencies practices in light of lessons learned from post-project reviews?	2	There is a lessons learned workshop currently only for projects €20m and the project adopt changes as required.
Were project reviews carried out by staffing resources independent of project implementation?	3	Yes, external consultants or Local Authority Staff who were not involved in implementation carried out the reviews.
Sports Capital Programme Division		
How many post project reviews were completed in the year under review?	1	Finance unit carry out Capital inspections on a sample of payments each year. But no inspection took place last year.
Was a post project review completed for all projects/programmes		NA - maximum SCP grant is €300,000 so no projects would be close to this threshold.
If sufficient time has not elapsed to allow a proper assessment of benefits, has a post project review been scheduled for a future date?	3	A review of each round of the SCP is carried out by the section.
Were lessons learned from post-project reviews disseminated within the Sponsoring Agency and to the Sanctioning Authority?		NA
Were changes made to the Sponsoring Agencies practices in light of lessons learned from post-project reviews?	3	Each year's review contains recommendations for the next round of the Programme.
Were project reviews carried out by staffing resources independent of project implementation?	1	No
Sport Ireland		
How many post project reviews were completed in the year under review?	3	Review of Hockey Pitch scheduled for Q3 2020.
Was a post project review completed for all projects/programmes	3	No reviews completed to date due to Covid 19. Review of NIA Phase 2 was scheduled for Q2 2020. This will be rescheduled when Government restrictions lifted.
If sufficient time has not elapsed to allow a proper assessment of benefits, has a post project review been scheduled for a future date?	3	See above
Were lessons learned from post-project reviews disseminated within the Sponsoring Agency and to the Sanctioning Authority?	3	See above

Were changes made to the Sponsoring Agencies practices in light of lessons learned from post-project reviews?	3	See above
Were project reviews carried out by staffing resources independent of project implementation?	3	See above
Fáilte Ireland		
How many post project reviews were completed in the year under review?	2	4 completed in 2019, plans are in place for 2020 for an Impact Analysis Plan with an additional 4 projects to be reviewed
Was a post project review completed for all projects/programmes	n/a	
If sufficient time has not elapsed to allow a proper assessment of benefits, has a post project review been scheduled for a future date?	n/a	
Were lessons learned from post-project reviews disseminated within the Sponsoring Agency and to the Sanctioning Authority?	1	This will happen in 2020
Were changes made to the Sponsoring Agencies practices in light of lessons learned from post-project reviews?	n/a	
Were project reviews carried out by staffing resources independent of project implementation?	2	Yes BDO managed our post grant monitoring process
Greenways		
How many post project reviews were completed in the year under review?	N/A	
Was a post project review completed for all projects/programmes	N/A	
If sufficient time has not elapsed to allow a proper assessment of benefits, has a post project review been scheduled for a future date?	2	We are developing post project review criteria for use in 2021
Were lessons learned from post-project reviews disseminated within the Sponsoring Agency and to the Sanctioning Authority?	N/A	
Were changes made to the Sponsoring Agencies practices in light of lessons learned from post-project reviews?	N/A	
Were project reviews carried out by staffing resources independent of project implementation?	N/A	
End		



An Roinn Iompair
Department of Transport

Quality Assurance Process 2019

Appendix C

Self Assessed Compliance Checklists

This section details the self-assessment compliance checklists received from the following Department of Transport bodies and agencies with respect to:

Checklist 7: Current Expenditure Recently Ended

Self-Assessed Compliance Checklists		
Checklist 7: Current Expenditure Recently Ended		
Question	Rating	Comment
Iarnród Éireann		
Were reviews carried out of current expenditure programmes that matured during the year or were discontinued?	N/A	Current Expenditure Programs On-Going.
Did those reviews reach conclusions on whether the programmes were effective?	N/A	Ditto.
Did those reviews reach conclusions on whether the programmes were efficient?	N/A	Ditto.
Have the conclusions reached been taken into account in related areas of expenditure?	N/A	Ditto.
Were any programmes discontinued following a review of a current expenditure programme?	N/A	Ditto.
Was the review commenced and completed within a period of 6 months?	N/A	Ditto.
National Transport Authority		
Were reviews carried out of current expenditure programmes that matured during the year or were discontinued?	N/A	No projects recently ended.
Did those reviews reach conclusions on whether the programmes were effective?	N/A	No projects recently ended.
Did those reviews reach conclusions on whether the programmes were efficient?	N/A	No projects recently ended.
Have the conclusions reached been taken into account in related areas of expenditure?	N/A	No projects recently ended.
Were any programmes discontinued following a review of a current expenditure programme?	N/A	No projects recently ended.
Was the review commenced and completed within a period of 6 months?	N/A	No projects recently ended.
Road Safety Authority		
Were reviews carried out of current expenditure programmes that matured during the year or were discontinued?	3	Most current expenditure programmes are recurring in nature.
Did those reviews reach conclusions on whether the programmes were efficient?	N/A	
Did those reviews reach conclusions on whether the programmes were effective?	N/A	
Have the conclusions reached been taken into account in related areas of expenditure?	N/A	
Were any programmes discontinued following a review of a current expenditure programme?	N/A	
Were reviews carried out by staffing resources independent of project implementation?	N/A	
Were changes made to the organisation's practices in light of lessons learned from reviews?	N/A	
Transport Infrastructure Ireland		
Were reviews carried out of current expenditure programmes that matured during the year or were discontinued?	N/A	No current expenditure schemes reached the end of their planned timeframe, or were discontinued, during 2019.
Did those reviews reach conclusions on whether the programmes were effective?	N/A	No current expenditure schemes reached the end of their planned timeframe, or were discontinued, during 2019.
Did those reviews reach conclusions on whether the programmes were efficient?	N/A	No current expenditure schemes reached the end of their planned timeframe, or were discontinued, during 2019.
Have the conclusions reached been taken into account in related areas of expenditure?	N/A	No current expenditure schemes reached the end of their planned timeframe, or were discontinued, during 2019.
Were any programmes discontinued following a review of a current expenditure programme?	N/A	No current expenditure schemes reached the end of their planned timeframe, or were discontinued, during 2019.
Was the review commenced and completed within a period of 6 months?	N/A	No current expenditure schemes reached the end of their planned timeframe, or were discontinued, during 2019.
Fáilte Ireland		
Were reviews carried out of current expenditure programmes that matured during the year or were discontinued?	n/a	No projects of work ended in 2019
Did those reviews reach conclusions on whether the programmes were effective?	n/a	No projects of work ended in 2019

Did those reviews reach conclusions on whether the programmes were efficient?	n/a	No projects of work ended in 2019
Have the conclusions reached been taken into account in related areas of expenditure?	n/a	No projects of work ended in 2019
Were any programmes discontinued following a review of a current expenditure programme?	n/a	No projects of work ended in 2019
Was the review commenced and completed within a period of 6 months?	n/a	No projects of work ended in 2019
End		