



An Roinn Iompair  
Department of Transport

# Quality Assurance Process 2020

## 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
- Road Transport and Freight Policy Division
- Transport Infrastructure Ireland
- Irish Coast Guard

## 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. IE 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	

## Self-Assessed Compliance Checklists

### Checklist 2: Capital Expenditure Being Considered

Question	Rating	Comment
Iarnród Éireann		
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	<p>The BusConnects Preliminary Business Case is currently with the Department of Transport for review. It was approved in February 2021 by the NTA Board and BusConnects Programme Board. The Network Redesign and BusConnects Infrastructure Dublin (BCID) and Next Generation Ticketing fall under the Bus Connects umbrella and are included in this.</p> <p>Preliminary appraisal and submission of project appraisal reports are a requirement of the NTA Project Management Guidelines.</p>
Was an appropriate appraisal method used in respect of each capital project or capital programme/grant scheme?	3	Yes CBA - Cost Benefit Analysis and Options assessment 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/CEA was undertaken for all projects in excess of €20m.

## Self-Assessed Compliance Checklists

### Checklist 2: Capital Expenditure Being Considered

Question	Rating	Comment
National Transport Authority		
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 IGEES Unit for their views?	3	For all projects greater than €100m appraisals are submitted to DoT Strategic Analysis & Research Division (IGEES) and then DPER Central IGEES Unit.
Were the NDFA consulted for projects costing more than €20 million?	3	The NDFA act as financial advisers to NTA, they are consulted in respect of funding options on all projects in general, with specific discussions on larger scale projects. More formal recording of the discussions on smaller projects will be undertaken in the future
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
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	Yes

## Self-Assessed Compliance Checklists

### Checklist 2: Capital Expenditure Being Considered

Question	Rating	Comment
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 of 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 lifecycle 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 appraised at each stage of the project lifecycle

## Self-Assessed Compliance Checklists

### Checklist 2: Capital Expenditure Being Considered

Question	Rating	Comment
Road Safety Authority		
Was a financial appraisal carried out on all proposals and was there appropriate consideration of affordability?	3	Each capital project is reviewed and appraised at each stage of the project lifecycle
Was the appraisal process commenced at an early enough stage to inform decision making?	3	Each capital project is reviewed and appraised at each stage of the project lifecycle
Were sufficient options analysed in the business case for each capital proposal?	3	Each capital project is reviewed and appraised at each stage of the project lifecycle
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 appraised at each stage of the project lifecycle
Was risk considered and a risk mitigation strategy commenced? Was appropriate consideration given to governance and deliverability?	3	Risk assessment 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

## Self-Assessed Compliance Checklists

### Checklist 2: Capital Expenditure Being Considered

Question	Rating	Comment
Road Safety Authority		
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	

## Self-Assessed Compliance Checklists

### Checklist 2: Capital Expenditure Being Considered

Question	Rating	Comment
Road Transport and Freight Policy Division		
Was a Preliminary Appraisal undertaken for all projects valued in excess of €5 million?	N/A	Initial scoping work began in 2020 on a project to replace the current RTOL Unit licensing system. This project is in the early stages and has not yet gone to tender. The only expense incurred in 2020 was €21,000 in respect of costs for a project manager appointed in Q4. For 2021, €1m has been sanctioned for the project, though it is not known at this stage how much of this will be spent in 2021.
Was an appropriate appraisal method used in respect of each capital project or capital programme/grant scheme?	N/A	
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)	3	
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	
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?	N/A	
Was approval granted to proceed to tender?	3	
Were Procurement rules complied with?	3	
Were State Aid rules checked for all supports?	3	



## Self-Assessed Compliance Checklists

### Checklist 2: Capital Expenditure Being Considered

Question	Rating	Comment
Road Transport and Freight Policy Division		
Were the tenders received in line with the Approval in Principle in terms of cost and what is expected to be delivered?	N/A	
Were Performance Indicators specified for each project/programme 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	
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 the relevant PSC requirements.
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 respect of all capital projects. TII's appraisal guidelines set out the appropriate appraisal method. There are no relevant capital programmes under consideration.
Was a CBA/CEA completed for all projects exceeding €20m?	3	A CBA/CEA is completed for all projects where the value exceeds €20m and at the appropriate gate review stage are submitted to SRAD.
Was the appraisal process commenced at an early stage to facilitate decision making? (i.e. prior to the decision)	3	Phase 0 appraisal is carried out for all projects in line with the requirements of the public spending code. Where projects over €20m were suspended and recommenced under the NDP these projects also 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	In 2019 TII introduced a gate review requirement in the Project Management Guidelines the Sponsoring Authority seeks a formal approval by letter from TII to proceed from phase 0 to 1 for projects over €5m. In addition, all projects receive approval in principle on an annual basis 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.

## Self-Assessed Compliance Checklists

### Checklist 2: Capital Expenditure Being Considered

Question	Rating	Comment
Transport Infrastructure Ireland		
If a CBA/CEA was required, was it submitted to DPER (CEEU) for their views?	3	Project Business Cases are submitted to SRAD and DEPR at the appropriate gate review in accordance with the PSC requirements. In 2020 one project exceeded the €100m threshold at gate 3 and received Government approval to award.
Were the NDFA Consulted for projects costing more than €20m?	3	There are discussions between the Commercial Operations unit and a representative of Roads Capital with the NDFA.
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 accordance with TII's Project Management Guideline, TII's Appraisal Guidelines and the PSC. Business cases are reviewed and updated, if necessary, at tender and award.
Was approval granted to proceed to tender?	3	TII introduced a requirement in May 2019 in our Project Management Guidelines 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 since introduction.
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 the compliance with TII's internal mandatory Corporate Procurement Guidelines ensures compliance with procurement rules. 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	Yes, both LA and TII Tenders received were subject to checking for compliance and also checked against Total scheme Budget sheets. TII reviews and signs off internally on these budget sheets in accordance with TII project Management Guideline and TII cost manual. In addition, reference class forecasting is used and informed by projects as risk assessments.

## Self-Assessed Compliance Checklists

### Checklist 2: Capital Expenditure Being Considered

Question	Rating	Comment
Irish Coast Guard		
Was a Preliminary Appraisal undertaken for all projects valued in excess of €5 million?	3	Coast Guard building programme through OPW
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)	N/A	
Was an Approval in Principle granted by the Sanctioning Authority for all projects before they entered the Planning and Design Phase (e.g., procurement)?	Yes	
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?	N/A	
Was approval granted to proceed to tender?	Yes	
Were Procurement rules complied with?	Yes	
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	
Were Performance Indicators specified for each project/programme 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	
End		



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# Quality Assurance Process 2020

## 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: Current Expenditure Being Considered

- Iarnród Éireann
- National Transport Authority
- Road Safety Authority
- Transport Infrastructure Ireland
- Irish Coast Guard

## Self-Assessed Compliance Checklists

### Checklist 3: Current Expenditure Being Considered

Question	Rating	Comment
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.

## Self-Assessed Compliance Checklists

### Checklist 3: Current Expenditure Being Considered

Question	Rating	Comment
National Transport Authority		
Were objectives clearly set?	3	<p>The BusConnects Preliminary Business Case is currently with the Department of Transport for review. It was approved in February 2021 by the NTA Board and BusConnects Programme Board. The Network Redesign fall under the Bus Connects umbrella and are included in this.</p> <p>Preliminary appraisal and submission of project appraisal reports are a requirement of the NTA Project Management Guidelines.</p> <p>The NTA has undertaken a nationwide study to inform its approach to rolling out improved public transport across the country (excluding the GDA, Regional Cities and Large Towns) by providing better connections between villages and towns by linking them with an enhanced regional network connecting cities and regional centres nationwide.</p> <p>The overall Connecting Ireland strategy is not complete.</p>
Are objectives measurable in quantitative terms?	3	<p>Yes, the Network Redesign Operators will be 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.</p> <p>Similar will apply for Connecting Ireland services which are delivered through any of the public transport services contracts between the NTA and the Public Transport Operators or any new public transport contracts that may be procured through a public tender.</p>

## Self-Assessed Compliance Checklists

### Checklist 3: Current Expenditure Being Considered

Question	Rating	Comment
National Transport Authority		
Was an appropriate appraisal method used?	3	<p>Yes CBA - Cost Benefit Analysis and Options assessment used for the Bus Connects Programme which the Network Redesign falls under. NTA uses the guidance as set out in the Common Appraisal Framework for Transport Projects &amp; Programmes.</p> <p>Connecting Ireland is currently at the planning stage; a detailed appraisal cannot be completed until the planning phase is complete.</p>
Was a business case incorporating financial and economic appraisal prepared for new current expenditure?	3	<p>Yes CBA - Cost Benefit Analysis and Options assessment used for the Bus Connects Programme which the Network Redesign falls under. NTA uses the guidance as set out in the Common Appraisal Framework for Transport Projects &amp; Programmes.</p> <p>Connecting Ireland is currently at the planning stage; a detailed appraisal cannot be completed until the planning phase is complete.</p>
Has an assessment of likely demand for the new scheme/scheme extension been estimated based on empirical evidence?	3	<p>Yes, the Bus Connects Preliminary Business Case identifies likely demand.</p> <p>Connecting Ireland is currently at the planning stage, a detailed appraisal cannot be completed until the planning phase is complete.</p>
Was the required approval granted?	3	<p>The BusConnects Preliminary Business Case is currently with the Department of Transport for review. It was approved in February 2021 by the NTA Board and BusConnects Programme Board. The Network Redesign fall under the Bus Connects umbrella and are included in this.</p> <p>Connecting Ireland is currently at the planning stage, a detailed appraisal cannot be completed until the planning phase is complete.</p>

## Self-Assessed Compliance Checklists

### Checklist 3: Current Expenditure Being Considered

Question	Rating	Comment
National Transport Authority		
Has a sunset clause been set?	N/A	This requirement is not applicable to Public Transport Services
Has a date been set for the pilot and its evaluation?	N/A	This requirement is not applicable to the implementation of new Public Transport Services as they are an extension of services already in operation.
Have the methodology and data collection requirements for the pilot been agreed at the outset of the scheme?	N/A	This requirement is not applicable to the implementation of new Public Transport Services as they are an extension of services already in operation.
If outsourcing was involved, were Procurement Rules complied with?	3	Yes, procurement rules will be complied with.
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	The contracts set strict standards of operational performance and customer service and contain penalties for non-performance.
Have steps been put in place to gather Performance Indicator data?	3	The contracts set strict standards of operational performance and customer service and contain penalties for non-performance.
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	



## Self-Assessed Compliance Checklists

### Checklist 3: Current Expenditure Being Considered

Question	Rating	Comment
Road Safety Authority		
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

## Self-Assessed Compliance Checklists

### Checklist 3: Current Expenditure Being Considered

Question	Rating	Comment
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

## Self-Assessed Compliance Checklists

### Checklist 3: Current Expenditure Being Considered

Question	Rating	Comment
Irish Coast Guard		
Were objectives clearly set?	3	New Aviation Contract circa €600m from 2024 for 10 years
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	currently at this stage of the contract process
Has an assessment of likely demand for the new scheme/scheme extension been estimated based on empirical evidence?		
Was the required approval granted?		
Has a sunset clause been set?		
Has a date been set for the pilot and its evaluation?		
Have the methodology and data collection requirements for the pilot been agreed at the outset of the scheme?		
If outsourcing was involved, were Procurement Rules complied with?		
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?		
Have steps been put in place to gather Performance Indicator data?		
End		



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Department of Transport

# Quality Assurance Process 2020

## 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 - eSPSV Chargers Project
- Climate Change Unit - Low Emission (LEVTI)
- Driver Vehicle and Computer Services Division
- Iarnród Éireann
- National Transport Authority
- Road Safety Authority
- Transport Infrastructure Ireland

## 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 (Grant Agreements) under the Regional Airports Programme capital expenditure grant schemes (CAPEX and PPR-C) were signed by all airports in receipt of grant aid at the start of the Programme. All project approvals were issued in accordance with those Grant Agreements 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 DoT 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	DoT staff in Airports Division act as Programme Co-ordinators for the Regional Airports Programme.
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 are responsible for the project management in line with the provisions of the Regional Airports Programme.
Were monitoring reports prepared regularly, showing implementation against plan, budget, timescales and quality?	2	Drawdown profiles are submitted by the airports and updated as the project progresses. Airports Division staff remain in regular contact with airports regarding project progress. However, and official project monitoring process is not in place.

## Self-Assessed Compliance Checklists

### Checklist 4: Capital Expenditure Being Incurred

Question	Rating	Comment
Airports Division		
Did the project keep within its financial budget and its time schedule?	3	Yes. The delayed formation of the new Government in 2020 resulted in delayed notification of project approvals to airports during 2020. This had an impact on the number of projects both submitted for and approved by the Department in 2020. However, following project approvals and taking into consideration the restrictions imposed COVID-19 during 2020 all projects remained within budget, with the vast majority complete in line with original projected timelines.
Did budgets have to be adjusted?	N/A	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)	3	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?	3	Yes, as above.
If costs increased, was approval received from the Sanctioning Authority?	3	All cost increases require DoT approval and 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?	N/A	No such instances during 2020.
For significant projects, were quarterly reports on progress submitted to the MAC and to the Minister?	N/A	Apart from the retention payment made in relation to the Runway Overlay project at Ireland West Airport, no large capital projects were included in the 2020 Programme.

## Self-Assessed Compliance Checklists

### Checklist 4: Capital Expenditure Being Incurred

Question	Rating	Comment
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 made to the business unit weekly indicating progress and timescales and outstanding issues. Report also made to the Maritime Steering committee
Did the project keep within its financial budget and its time schedule?	2	For SSI - project kept within budget with some schedule slippage. For the Tech refresh programme some items were more expensive than originally expected.
Did budgets have to be adjusted?	2	Yes, 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 the EU and the 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

## Self-Assessed Compliance Checklists

### Checklist 4: Capital Expenditure Being Incurred

Question	Rating	Comment
Information Services Division		
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 - eSPSV Chargers Project		
Was a contract signed and was it in line with the approval in principle?	2	There was an Agreement between Department of Transport and Irish Rail and Dublin Airport Authority
Did Management Boards/Steering Committees meet regularly as agreed?	2	Relevant participants met frequently to discuss any issues arising
Were Programme Co-ordinators appointed to facilitate implementation?		n/a
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
Were monitoring reports prepared regularly, showing implementation against plan, budget, timescales and quality?	1	Regular updates provided upon request and as required
Did the project keep within its financial budget and its time schedule?	3	Project delivered within budget
Did budgets have to be adjusted?		n/a
Were decisions on changes to budgets / time schedules made promptly?		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)		n/a



## Self-Assessed Compliance Checklists

### Checklist 4: Capital Expenditure Being Incurred

Question	Rating	Comment
Climate Change Unit - eSPSV Chargers Project		
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?		n/a
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
Climate Change Unit - Low Emission Vehicle Toll Incentive (LEVTI)		
Was a contract signed and was it in line with the approval in principle?	2	There was an agreement between TII, who administer the scheme, and the Department of Transport
Did Management Boards/Steering Committees meet regularly as agreed?	3	Quarterly meetings
Were Programme Co-ordinators appointed to facilitate implementation?		n/a
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
Were monitoring reports prepared regularly, showing implementation against plan, budget, timescales and quality?	3	Reports prepared quarterly by TII and available on demand
Did the project keep within its financial budget and its time schedule?	3	Project delivered within budget
Did budgets have to be adjusted?		No
Were decisions on changes to budgets / time schedules made promptly?		n/a

## Self-Assessed Compliance Checklists

### Checklist 4: Capital Expenditure Being Incurred

Question	Rating	Comment
Climate Change Unit - Low Emission Vehicle Toll Incentive (LEVTI)		
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?		n/a
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
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

## Self-Assessed Compliance Checklists

### Checklist 4: Capital Expenditure Being Incurred

Question	Rating	Comment
Driver Vehicle and Computer Services Division		
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	Yes. 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

## Self-Assessed Compliance Checklists

### Checklist 4: Capital Expenditure Being Incurred

Question	Rating	Comment
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, &amp; The National Train Control Centre (NTCC), Pearse Roof Project, Accessibility Programme and Car Park Programme. These reports are reviewed at monthly steering meetings or at alternate arrangements as required by the NTA.</p> <p>In addition 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>

## Self-Assessed Compliance Checklists

### Checklist 4: Capital Expenditure Being Incurred

Question	Rating	Comment
Iarnród Éireann		
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	N.A.

## Self-Assessed Compliance Checklists

### Checklist 4: Capital Expenditure Being Incurred

Question	Rating	Comment
National Transport Authority		
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	Some projects required to be adjusted to deal with project specific issues. The delivery of some projects has been delayed due to a variety of reasons including the impact of COVID 19.
Did budgets have to be adjusted?	3	Some projects required to be adjusted to deal with project specific issues and COVID 19 impacts.
Were decisions on changes to budgets / time schedules made promptly?	3	Yes - Scheduling and Budgeting decisions were made quickly and decisively
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 W.A.V Programmes changes in the environment/COVID/Scheme closed on 01 May 2020
If circumstances did warrant questioning the viability of a project, was the project subjected to adequate examination?	3	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.  Yearly budgets have been signed off by the Sanctioning Authority. There has been no overruns on the yearly budget approved to date.
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 W.A.V Programmes changes in the environment/COVID/Scheme closed on 01 May 2020
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

## Self-Assessed Compliance Checklists

### Checklist 4: Capital Expenditure Being Incurred

Question	Rating	Comment
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 circumstances in the environment changed the need for the investment?	No	

## Self-Assessed Compliance Checklists

### Checklist 4: Capital Expenditure Being Incurred

Question	Rating	Comment
Transport Infrastructure Ireland		
Was a contract signed and was it in line with the approval in principle?	3	Contracts were signed in line with the approval in principle. Local Authority contracts are submitted to TII seeking approval in advance of signing. Internal contracts are subject to TII internal governance arrangements.
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 have steering committee meetings attended by TII and the Authority/NRO/PO store the agenda, minutes and action lists. For TII's own projects there are Project Boards in place that meet regularly. On TII Capital expenditure programmes there are oversight/monitoring boards.
Were Programme Co-ordinators appointed to co-ordinate implementation?	3	Heads of Divisions in TII act as programme co-ordinators. In addition, there is a TII portfolio manager in place for the delivery of a number of Capital Programmes. TII Regional Managers act as co-ordinators in each Region in relation to Local Authority 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	Specific project managers at the appropriate level are in place in the Local Authorities they are named in the project execution plan and are responsible for project delivery. Internally TII have appointed managers and budget holders responsible for the specific projects and programmes.
Were monitoring reports prepared regularly, showing implementation against plan, budget, timescales and quality?	3	Monitoring reports are prepared as appropriate to cost and scale. They are prepared for steering and site meetings by the LA and stored by them. The Regional Managers and Sn Engineering Inspectors provide summary information on a monthly basis for the Board Reports. Internally in TII progress on projects and programmes are reported in the Board reports. 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.



## Self-Assessed Compliance Checklists

### Checklist 4: Capital Expenditure Being Incurred

Question	Rating	Comment
Transport Infrastructure Ireland		
Did the project keep within its financial budget and its time schedule?	2.5	In general projects are delivered in line with anticipated timeframes and budgets. The impact of COVID 19 in 2020 did have some impact on delivery and productivity. This is outside the control of all involved. The advice of the OGP is being used to inform how time and cost impact can be managed.
Did budgets have to be adjusted?	2	It has not been necessary to adjust overall project or programme budgets so far. It is a possibility that there may be some changes associated with COVID 19 as the full impact of the site closures and additional measures on site materialise. Some adjustments were made also project levels within overall programmes.
Were decisions on changes to budgets / time schedules made promptly?	3	Decisions if required associated with project delivery are made promptly.
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	Circumstances did not arise in 2020 that lead to the questioning the viability of a project or business case. Where queries arouse on Business cases these were addressed.
If circumstances did warrant questioning the viability of a project was the project subjected to adequate examination?	–	This did not arise.
If costs increased was approval received from the Sanctioning Authority?	3	TII have a change order approval process in place for both Local Authorities and internally as part of our governance arrangements.
Were any projects terminated because of deviations from the plan, the budget or because circumstances in the environment changed the need for the investment?	–	No project was terminated in 2020.
For significant projects were quarterly reports on progress submitted to the MAC and to the Minister?	3	TII attend regular roads monitoring meetings with the Department and provide project progress reports for these meetings. TII also provide County briefings and projects status updates on a regular basis as per the arrangements in place with the Department.
End		



An Roinn Iompair  
Department of Transport

# Quality Assurance Process 2020

## 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
- Irish Coast Guard
- National Transport Authority
- Road Safety Authority
- Transport Infrastructure 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	Outlined in the provisions of the Regional Airports Programme
Are outputs well-defined?	3	Outlined in the provisions of the Regional Airports Programme
Are outputs quantified on a regular basis?	3	<b>PSO Air Routes:</b> The performance of the two PSO air routes (Donegal/Dublin and Kerry/Dublin) are assessed on a monthly basis. <b>PPR-O Scheme:</b> All operational grant applications from eligible airports are assessed by NewERA prior to consideration by DoT for grant aid.
Is there a method for monitoring efficiency on an on-going basis?	3	<b>PSO Air Routes:</b> Monthly assessment of performance on PSO routes by Airports Division. Analysis of PSO Air Routes carried out by SRAD (January 2021). <b>PPR-O Scheme:</b> Operational grant aid is only paid to eligible airports, during December, following an assessment of financial data (provided by the airports) by NewERA.
Are outcomes well defined?	3	<b>PSO Air Routes:</b> Requirements set out under contract with the service provider, Stobart Air. <b>PPR-O Scheme:</b> Eligible expenses are outlined in the provisions of the Regional Airports programme.
Are outcomes quantified on a regular basis?	3	<b>PSO Air Routes:</b> Monthly assessment of performance on PSO routes by Airports Division. <b>PPR-O Scheme:</b> Eligible expenses are outlined in the provisions of the Regional Airports programme. This programme was reviewed following a Public Consultation process in 2019. A new Programme was published for the period 2021-2025.
Are unit costings compiled for performance monitoring?	3	<b>PSO Air Routes:</b> Costing are set out under contract with the service provider, Stobart Air.

## Self-Assessed Compliance Checklists

### Checklist 5: Current Expenditure Being Incurred

Question	Rating	Comment
Airports Division		
Is there a method for monitoring effectiveness on an on-going basis?	3	<b>PSO Air Routes:</b> The performance of the two PSO air routes (Donegal/Dublin and Kerry/Dublin) are assessed on a monthly basis. The audited accounts of the service provider (Stobart Air) are evaluated each year by New ERA as part of the contract compliance process within the DoT. <b>PPR-O Scheme:</b> All operational grant applications from eligible airports are assessed by NewERA prior to consideration by DoT for grant aid
Is there an annual process in place to plan for new VFMs, FPAs and evaluations?	2	<b>PSO Air Routes:</b> A Value for Money Review (VfM), was undertaken by this Department in 2010. PSO services have since remained limited to two routes – Donegal/Dublin and Kerry Dublin. A Review of these PSO routes is currently underway within the Department. <b>PPR-O Scheme:</b> All 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	<b>PSO Air Routes:</b> Analysis of 2020 PSO Air Routes carried out by SRAD (January 2021). <b>PPR-O Scheme:</b> The Regional Airports programme 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	Yes, 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/Dublin and Kerry/Dublin air services and Capital and Operational aid to Donegal, Knock and Kerry airports. In addition, the findings of the 2019 Expenditure Review have been taken into account in the context of the Regional Airports Programme 2021-2025.
How have the recommendations of VFMs, FPAs and other evaluations informed resource allocation decisions?	3	Recommendations of the 2011 VfM Report were incorporated into the Regional Airports Programme 2015-2019. Findings from the 2019 Expenditure Review have contributed to the development of the Regional Airports Programme 2021-2025.

## Self-Assessed Compliance Checklists

### Checklist 5: Current Expenditure Being Incurred

Question	Rating	Comment
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 and the direction of future development
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 data quality reports sent from EMSA to Ireland on the system performance
Are unit costings compiled for performance monitoring?	1	No
Is there a method for monitoring effectiveness on an on-going basis?	3	Monthly data quality reports sent from EMSA to Ireland on the system performance
Is there an annual process in place to plan for new VFMs, FPAs and evaluations?	1	No but we are currently engaged in a holistic review of SSI with a view to redeveloping in more current technologies
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	

## Self-Assessed Compliance Checklists

### Checklist 5: Current Expenditure Being Incurred

Question	Rating	Comment
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	

## Self-Assessed Compliance Checklists

### Checklist 5: Current Expenditure Being Incurred

Question	Rating	Comment
Irish Coast Guard		
Are there clear objectives for all areas of current expenditure?	3	Current expenditure over €500K = Aviation Contract
Are outputs well-defined?	3	
Are outputs quantified on a regular basis?	3	
Is there a method for monitoring efficiency on an on-going basis?	3	
Are outcomes well defined?	3	
Are outcomes quantified on a regular basis?	3	
Are unit costings compiled for performance monitoring?	3	
Is there a method for monitoring effectiveness on an on-going basis?	3	
Is there an annual process in place to plan for new VFMs, FPAs and evaluations?	n/a	
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	

## Self-Assessed Compliance Checklists

### Checklist 5: Current Expenditure Being Incurred

Question	Rating	Comment
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?	3	Yes, appropriate metrics are included within the defined performance standards.
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?	2	This area is currently under review to determine the most appropriate interventions for PSO going forward.
How many formal VFMs/FPAs or other evaluations been completed in the year under review?	2	This area is currently under review to determine the most appropriate interventions for PSO going forward.
Have all VFMs/FPAs been published in a timely manner?	2	This area is currently under review to determine the most appropriate interventions for PSO going forward.



## Self-Assessed Compliance Checklists

### Checklist 5: Current Expenditure Being Incurred

Question	Rating	Comment
National Transport Authority		
Is there a process to follow up on the recommendations of previous VFMs/FPAs and other evaluations?	2	This area is currently under review to determine the most appropriate interventions for PSO going forward.
How have the recommendations of VFMs, FPAs and other evaluations informed resource allocation decisions?	2	This area is currently under review to determine the most appropriate interventions for PSO going forward.
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	

## Self-Assessed Compliance Checklists

### Checklist 5: Current Expenditure Being Incurred

Question	Rating	Comment
Transport Infrastructure Ireland		
Are there clear objectives for all areas of current expenditure?	3	Yes, for all programs. The overarching objective is to ensure the most effective maintenance and operations regime within the limitations of the budget provided.
Are outputs well defined?	2.5	Outputs are well defined for TII direct contracted services such as salt purchasing (tonnage purchased and unit cost) motorway (km maintained & routine maintenance metrics) & bridge maintenance (# of bridges). For programs delivered on the Local Authority managed network by the local authorities, outputs are more readily defined for winter service and public lighting programmes. Regarding the ordinary maintenance programme, outputs are defined on the performance-based element through the Defects management system, DMS. Refinements however continue to be implemented on this programme.
Are outputs quantified on a regular basis?	2.5	Outputs are quantified and the frequency is dependent upon the programme. Motorway and Salt operations are quantified monthly and quarterly. Outputs are quantified on the performance-based element of 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.

## Self-Assessed Compliance Checklists

### Checklist 5: Current Expenditure Being Incurred

Question	Rating	Comment
Transport Infrastructure Ireland		
Is there a method for monitoring efficiency on an on-going basis?	2.5	Generally, yes. For winter, motorway and bridge maintenance a number of oversight measures are in place including contract monitoring by our technical advisors, a dedicated salt management and road weather information system. Also, in part for the Local Authority ordinary maintenance programme through the defects management system /Geo app. Efficiency of the public lighting programme is determined by application of the competitively procured national OGP public lighting energy supply contract and local authority maintenance contracts.
Are outcomes well defined?	2.5	As above for outputs. The overarching outcome is the continued availability of safe network achieved through measures such as the winter salt treatments, routine maintenance and emergency response on the local authority managed network and targeted bridge maintenance programs ensuring "lifeline" roads are kept available and operational.
Are outcomes quantified on a regular basis?	3	Annual reviews are undertaken of motorway, bridge and winter programmes using the dedicated measures as noted previously. Monitoring of DMS/ GeoApp performance in respect of Local Authority ordinary maintenance is undertaken using metrics such as defects raised, open & closed. Monitoring of public lighting energy supply expenditure is undertaken annually but is dependent upon up-to-date local authority inventory.

## Self-Assessed Compliance Checklists

### Checklist 5: Current Expenditure Being Incurred

Question	Rating	Comment
Transport Infrastructure Ireland		
Are unit costings compiled for performance monitoring?	2	Yes, but not uniformly and is dependent upon the programme. Unit costs for example are readily defined for salt purchases owing to the central procurement of same. Winter maintenance is subject to unit costing reviews through outputs from the dedicated salt management and road weather information system. Public lighting programme unit costings are subject to OGP supply contract and the local authority maintenance contract. Motorway and bridge maintenance programmes are competitively tendered programmes but given the varied nature of the works, unit costings are dependent upon similar operations being performed and are difficult to establish. This is also the case for the LA Ordinary maintenance programme which comprises of 9 sub activities and given the varied nature of the work not only between activities but within activities themselves, unit costings are difficult to establish and the veracity of any costings is dependent upon similar maintenance activities being performed.
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 through the use of technical oversight and dedicated systems. OM is monitored in part through the use of the DMS /Geo app.

## Self-Assessed Compliance Checklists

### Checklist 5: Current Expenditure Being Incurred

Question	Rating	Comment
Transport Infrastructure Ireland		
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 2021 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	Dependent upon the programme. Progress has been made on implementation on a number of recommendations arising from the external DOT 2016 VFM report. A strategic business case has been prepared for example on winter operations the recommendations of which are currently under review. A strategic assessment report is also underway on the ordinary maintenance programme. 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 DOT VfM report published in 2016 whilst also undertaking a strategic review of the overall programme.

## Self-Assessed Compliance Checklists

### Checklist 5: Current Expenditure Being Incurred

Question	Rating	Comment
Transport Infrastructure Ireland		
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. As previously noted, recommendations of the winter operations business case are under review. On TII direct contracts, e.g. motorway maintenance, salt and bridges, lessons learnt are incorporated into the next generation of contracts. In addition, a strategic assessment report on the strategic, economic impact and significance of the overall programme has commenced.
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.
End		



An Roinn Iompair  
Department of Transport

# Quality Assurance Process 2020

## 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

## Self-Assessed Compliance Checklists

### Checklist 6: Capital Expenditure Recently Ended

Question	Rating	Comment
Climate Change Unit		
How many post project reviews were completed <b>in the year under review</b> ?		
Was a post project review completed for all projects/programmes valued in excess of €20 million?		
If sufficient time has not elapsed to allow a proper assessment of benefits, has a post project review been scheduled for a future date?		
Were lessons learned from post-project reviews disseminated within the Sponsoring Agency and to the Sanctioning Authority?		
Were changes made to the Sponsoring Agencies practices in light of lessons learned from post-project reviews?		
Were project reviews carried out by staffing resources independent of project implementation?		
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 valued in excess of €20 million?	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	No formal review has taken place to date due to other project priorities, and a limited internal resource team. The Portal has however been made available to some internal units in the Division, and to a specific office in An Garda Síochána. There has been ongoing reviews and consultation such personnel and changes made as required. The portal will over time, be rolled out to all relevant stakeholders.
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



## Self-Assessed Compliance Checklists

### Checklist 6: Capital Expenditure Recently Ended

Question	Rating	Comment
Driver Vehicle and Computer Services Division		
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, monitoring of the implementation itself 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 valued in excess of €20 million?	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

## Self-Assessed Compliance Checklists

### Checklist 6: Capital Expenditure Recently Ended

Question	Rating	Comment
National Transport Authority		
How many post project reviews were completed in the year under review?	3	Post Project Reviews are planned within 5 years of the projects being completed / coming in operation
Was a post project review completed for all projects/programmes valued in excess of €20 million?	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	Post Project Reviews are planned within 5 years of the projects being completed / coming in operation
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?	3	
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 Sponsoring Agency and the Approving Authority?	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	

## Self-Assessed Compliance Checklists

### Checklist 6: Capital Expenditure Recently Ended

Question	Rating	Comment
Road Safety Authority		
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	2 project completion reports which is part of the review process in line with the PSC Dec 19 have been progressed in 2020 and are available in draft the ex post evaluations will follow.
Was a post project review completed for all projects/programmes exceeding €20m?	3	Post project reviews have been completed for all projects in line with delivery timeframes. For recent project completions the process has commenced on two projects 2020.
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	Outstanding Post project deliverables are scheduled and will be completed in accordance with the PSC
Were lessons learned from post-project reviews disseminated within the Sponsoring Agency and to the Sanctioning Authority?	3	There is a central data base of lessons learned from post project reviews.
Were changes made to the Sponsoring Agencies practices in light of lessons learned from post-project reviews?	3	The lessons learned from the post project reviews are used for lesson learned workshops when progressing new projects.
Were project reviews carried out by staffing resources independent of project implementation?	3	Post project reviews are carried out by staff external to the project team.
End		



An Roinn Iompair  
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# Quality Assurance Process 2020

## 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

- Driver Vehicle and Computer Services Division
- Iarnród Éireann
- National Transport Authority
- Road Safety Authority
- Transport Infrastructure Ireland

## Self-Assessed Compliance Checklists

### Checklist 7: Current Expenditure Recently Ended

Question	Rating	Comment
Driver Vehicle and Computer Services Division		
Were reviews carried out of current expenditure programmes that matured during the year or were discontinued?	3	Yes, periodic reviews of NDLSO project were carried out in accordance with DVCSD Project Framework methodology. The reviews included input from client and contractor and expenditures were managed in line with delivery requirements.
Did those reviews reach conclusions on whether the programmes were effective?	3	Yes, the programme was deemed effective following review and the client has confirmed the strategic effectiveness of the upgraded online solution which is in line with projections i.e. an increase from 30% to 50% of Driving Licence applications handled.
Did those reviews reach conclusions on whether the programmes were efficient?	3	The increase in online (self-service) applications has resulted in a corresponding decrease in the volume of applications requiring manual handling in both front office network and the back-office operation.
Have the conclusions reached been taken into account in related areas of expenditure?	3	Yes, the success of the online channel, evidenced by efficiency and effectiveness measures, has been taken into account in projections and plans for the development of the complimentary front-office channel.
Were any programmes discontinued following a review of a current expenditure programme?	3	No.
Was the review commenced and completed within a period of 6 months?	3	Project reviews were undertaken and completed during and after the project, in accordance with the DVCSD Project Framework methodology, which includes weekly, monthly and quarterly reviews.

## 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.

## Self-Assessed Compliance Checklists

### Checklist 7: Current Expenditure Recently Ended

Question	Rating	Comment
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 2020.
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 2020.
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 2020.
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 2020.
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 2020.
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 2020.
End		