



Quality Assurance Process 2018

Appendix C

Self Assessed Compliance Checklists

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

Checklist 2: Capital Expenditure Being Considered

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

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 IGEES 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.
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.

Self-Assessed Compliance Checklists

Checklist 2: Capital Expenditure Being Considered

Question	Rating	Comment
Transport Infrastructure Ireland		
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.
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)?	2	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 new requirement under 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 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?	2	Where TII is the Sanctioning Authority the detailed appraisals were submitted for approval with all other required deliverables for approval to award the contract. The N4 Collooney Castlebaldwin scheme appraisal was updated to reflect changes in budget requirements in advance of the memo to Government to award the contract.
Was approval granted to proceed to tender?	2	Approvals were issued to proceed to tender not all such approvals were recorded formally in writing.
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?		
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	Scheme objectives are contained in the pre appraisal plan for all projects over €5m. Performance indicators are used on Major projects after award. High level performance indicators are included in the 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.

Self-Assessed Compliance Checklists

Checklist 2: Capital Expenditure Being Considered

Question	Rating	Comment
Transport Infrastructure Ireland		
Was a Preliminary Appraisal undertaken for all projects valued in excess of €5 million?	3	Yes
Was an appropriate appraisal method used in respect of each capital project or capital programme/grant scheme?	3	Yes
Was a CBA/CEA completed for all projects valued in excess of €20 million?	3	Yes
Were appraisal processes commenced at an early stage to facilitate decision-making? (i.e. prior to the decision)	3	Yes
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 IGEES Unit for their views?	3	Yes
Were the NDFA consulted for projects costing more than €20 million?	N/A	Projects have not progressed as far as tender stage. Initial briefings held with NDFA for MetroLink.
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	Major project above €20m have not progressed as far as construction tender stage.
Was approval granted to proceed to tender?	N/A	Projects have not progressed as far as construction tender stage.
Were Procurement rules complied with?	N/A	Projects have not progressed as far as construction tender stage. All design procurements complied with the required rules.
Were State Aid rules checked for all supports?	N/A	Projects have not progressed as far as construction tender stage.
Were the tenders received in line with the Approval in Principle in terms of cost and what is expected to be delivered?	N/A	Projects have not progressed as far as construction tender stage.
Were Performance Indicators specified for each project/programme which will allow for the evaluation of its efficiency and effectiveness?	N/A	Projects have not progressed as far as construction tender stage.
Have steps been put in place to gather Performance Indicator data?	N/A	Projects have not progressed as far as construction tender stage.
Road Safety Authority		
Was a Preliminary Appraisal undertaken for all projects valued in excess of €5 million?	3	Yes, All Capital Programmes that incur a gross expenditure greater than € 5M is outlined in the Authority's CMOD Return each year.
Was an appropriate appraisal method used in respect of each capital project or capital programme/grant scheme?	3	Yes, All Capital Programmes are assessed in respect of affordability, value for money and with other alternatives.
Was a CBA/CEA completed for all projects valued in excess of €20 million?	N/A	N/A
Were appraisal processes commenced at an early stage to facilitate decision-making? (i.e. prior to the decision)	N/A	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)?	3	Yes, The Department of Finance and the Department of Transport Tourism and Sport are made aware of all Capital Programmes and sanction is sought for all programmes.

Self-Assessed Compliance Checklists

Checklist 2: Capital Expenditure Being Considered

Question	Rating	Comment
Road Safety Authority		
If a CBA/CEA was required, was it submitted to DPER's Central IGEES Unit for their views?	N/A	N/A
Were the NDFA consulted for projects costing more than €20 million?	N/A	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	N/A
Was approval granted to proceed to tender?	3	Yes
Were Procurement rules complied with?	3	All Procurement law, and rules are complied with.
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	Yes, many programmes total contract cost came in under budget.
Were Performance Indicators specified for each project/programme which will allow for the evaluation of its efficiency and effectiveness?	3	KPIs outlined for each programme
Have steps been put in place to gather Performance Indicator data?	3	Part of the Contract Management piece
Sports 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 February 2017. 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 IGEES Unit for their views?	3	CBAs 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

Self-Assessed Compliance Checklists

Checklist 2: Capital Expenditure Being Considered

Question	Rating	Comment
Sports Ireland		
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 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?	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.

Self-Assessed Compliance Checklists

Checklist 2: Capital Expenditure Being Considered

Question	Rating	Comment
Fáilte Ireland		
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. More work is planned in this area in 2019



Quality Assurance Process 2018

Appendix C

Self Assessed Compliance Checklists

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

Checklist 3: Current Expenditure Being Considered

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

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	No New Current Expenditure.
Was an appropriate appraisal method used?	N/A	No New Current Expenditure.
Was a business case incorporating financial and economic appraisal prepared for new current expenditure?	N/A	No New Current Expenditure.
Has an assessment of likely demand for the new scheme/scheme extension been estimated based on empirical evidence?	N/A	No New Current Expenditure.
Was the required approval granted?	N/A	No New Current Expenditure.
Has a sunset clause been set?	N/A	No New Current Expenditure.
Has a date been set for the pilot and its evaluation?	N/A	No New Current Expenditure.
Have the methodology and data collection requirements for the pilot been agreed at the outset of the scheme?	N/A	No New Current Expenditure.
If outsourcing was involved, were Procurement Rules complied with?	N/A	No New Current Expenditure.
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.
Have steps been put in place to gather Performance Indicator data?	N/A	No New Current Expenditure.
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

Self-Assessed Compliance Checklists

Checklist 3: Current Expenditure Being Considered

Question	Question	Question
Transport Infrastructure Ireland		
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
National Transport Authority		
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 and its evaluation?	N/A	No new current expenditure being considered
Have the methodology and data collection requirements for the pilot 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
Road Safety Authority		
Were objectives clearly set?	3	Outlined in Annual Budget & Business Plan
Are objectives measurable in quantitative terms?	3	KPIS clearly outlined for all current expenditure.
Was an appropriate appraisal method used?	3	Yes, All Current Programmes are assessed in respect of affordability, value for money and with other alternatives.

Self-Assessed Compliance Checklists

Checklist 3: Current Expenditure Being Considered

Question	Question	Question
Road Safety Authority		
Was a business case incorporating financial and economic appraisal prepared for new current expenditure?	3	Part of the annual Budget & Business Plan approval process
Has an assessment of likely demand for the new scheme/scheme extension been estimated based on empirical evidence?	3	Yes, Business case is prepared to assess the demand model.
Was the required approval granted?	3	Yes
Has a sunset clause been set?	3	Programmes reviewed annually.
Has a date been set for the pilot and its evaluation?	N/A	N/A
Have the methodology and data collection requirements for the pilot been agreed at the outset of the scheme?	N/A	N/A
If outsourcing was involved, were 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 which will allow for the evaluation of its efficiency and effectiveness?	3	KPIs outlined for each programme
Have steps been put in place to gather Performance Indicator data?	3	Part of the Contract Management piece
Sports Ireland		
Were objectives clearly set?	N/A	N/A
Are objectives measurable in quantitative terms?	N/A	N/A
Was an appropriate appraisal method used?	N/A	N/A
Was a business case incorporating financial and economic appraisal prepared for new current expenditure?	N/A	N/A
Has an assessment of likely demand for the new scheme/scheme extension been estimated based on empirical evidence?	N/A	N/A
Was the required approval granted?	N/A	N/A
Has a sunset clause been set?	N/A	N/A
Has a date been set for the pilot and its evaluation?	N/A	N/A
Have the methodology and data collection requirements for the pilot been agreed at the outset of the scheme?	N/A	N/A
If outsourcing was involved, were Procurement Rules complied with?	N/A	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	N/A

Self-Assessed Compliance Checklists

Checklist 3: Current Expenditure Being Considered

Question	Question	Question
Sports Ireland		
Have steps been put in place to gather Performance Indicator data?	N/A	N/A
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 collating 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 dependng 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	
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



Quality Assurance Process 2018

Appendix C

Self Assessed Compliance Checklists

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

Checklist 4: Capital Expenditure Being Incurred

- Airports Division
- Information Services Division
- Driver Vehicle and Computer Services Division
- Iarnród Éireann
- Transport Infrastructure Ireland
- National Transport Authority
- Road Safety Authority
- Sports Ireland
- Fáilte Ireland
- Tourism Industry and Product Development Division
- Sports Capital Programmes Division

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 Air Navigation Safety and Security divisions), 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	During the assessment process some projects submitted by the airports for consideration were deemed ineligible for funding under terms of the RAP
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 overrun and sought prior approval before proceeding. Decisions to approve such cost increases are dependant 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	There were no projects of significant amounts in 2018
Information Services Division		
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	We don't use Programme Co-ordinators. The project governance is Steering Group, Project Board, Project Manager and Project Team

Self-Assessed Compliance Checklists

Checklist 4: Capital Expenditure Being Incurred

Question	Rating	Comment
Information 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?	2	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	Development took longer than anticipated but budget was kept to.
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)	3	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?	N/A	
If costs increased, was approval received from the Sanctioning Authority?	3	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?	3	No
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, the contract was signed between the Department of Transport Tourism and Sport (the Contracting Authority) with Casseo (for Programme Manager and Business Analyst) and with Silvermills QA Ltd (Test Manager). The contract details are as per the detailed proposal which was approved in principle by this Department.
Did Management Boards/Steering Committees meet regularly as agreed?	3	Yes, the Steering Board meets every month
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. Monthly reports are prepared showing progress against planned activities
Did the project keep within its financial budget and its time schedule?	3	The project is ongoing and there may be additional costs, or time schedule may be adjusted, at a future date. These matters are being monitored on a monthly basis.
Did budgets have to be adjusted?	3	No. The project is ongoing and some adjustments of the budget may be required at a future date.

Self-Assessed Compliance Checklists

Checklist 4: Capital Expenditure Being Incurred

Question	Rating	Comment
Driver Vehicle and Computer Services Division		
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)	3	
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	There has not been a need to seek approval for additional sanction
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	
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 4 week period basis. These report progress (plan against budget) across the major asset categories. In addition the Regulator samples the implementation of a number of individual projects each period.</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, & 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>In addition to the detailed progress reports issued to the NTA, the project produces 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
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. Approval to award is given and includes conditions which are complied with. The Dunkettle interchange NEC Stage 1 was awarded by TII and the contract was signed based on the approval in principle. 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	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 on all 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 manager is appointed.

Self-Assessed Compliance Checklists

Checklist 4: Capital Expenditure Being Incurred

Question	Rating	Comment
Transport Infrastructure Ireland		
Were monitoring reports prepared regularly, showing implementation against plan, budget, timescales and quality?	2	Yes and held by the Local Authority where they are the sponsoring agency and confirmed to TII. Internal in TII projects and programmes are reported to the Board. For PPP projects in the operation phase regular monitoring reports are received from the PPP company. In relation to TII Capital expenditure programmes, there is a regime of monthly reporting to the Board as well as annual reports.
Did the project keep within its financial budget and its time schedule?	3	Yes projects did keep within their budgets. Some limited delays were experienced in the time schedule for projects less than €20m
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	Yes for one project. 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	Examination ongoing in relation to one roads project. N/A to TII Capital expenditure programmes.
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.
National Transport Authority		
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 depends on scale of project, smaller projects have same person competing same role
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	Done on all large projects
Did the project keep within its financial budget and its time schedule?	3	Yes
Did budgets have to be adjusted?	3	All adjustments were authorised
Were decisions on changes to budgets / time schedules made promptly?	3	Yes

Self-Assessed Compliance Checklists

Checklist 4: Capital Expenditure Being Incurred

Question	Rating	Comment
National Transport Authority		
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 circumstances have warranted this to-date
If circumstances did warrant questioning the viability of a project, was the project subjected to adequate examination?	3	No circumstances have warranted this to-date
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?	3	No projects terminated
For significant projects, were quarterly reports on progress submitted to the MAC and to the Minister?	3	Yes
Road Safety Authority		
Was a contract signed and was it in line with the approval in principle?	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 facilitate implementation?	3	Project Management in place on all material projects
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, using Prince 2 project management reporting tool
Did the project keep within its financial budget and its 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 management team 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)	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?	N/A	All capital projects in Authority funded from own resources
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?	N/A	

Self-Assessed Compliance Checklists

Checklist 4: Capital Expenditure Being Incurred

Question	Rating	Comment
Sports 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	Office Accommodation project has exceed both timeframe and budget.
Did budgets have to be adjusted?	3	Adjustments made to office accommodation project due to delays in programme and additional conservation works.
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. It should be noted that none of these additional claims have been accepted by Sport Ireland.
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.

Self-Assessed Compliance Checklists

Checklist 4: Capital Expenditure Being Incurred

Question	Rating	Comment
Fáilte Ireland		
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
Tourism Industry and Product Development Division		
Was a contract signed and was it in line with the approval in principle?	2	Terms & Conditions were signed by both Department and local authority. In retrospect T&Cs should be more stringent in terms of Department's powers to terminate agreement where project is not delivered within timeline or as specified in project outline for which funding was awarded. This will be addressed in the coming year.
Did Management Boards/Steering Committees meet regularly as agreed?	1	The Department had the right to inspect projects at any time, however, for the most part visits were only made when it seemed that problems were arising. Closer monitoring of projects will be factored in to future funding awards.
Were Programme Co-ordinators appointed to facilitate implementation?	3	A team of staff within the Division were tasked to facilitate implementation.
Were Project Managers responsible for delivery appointed, and were the Project Managers at a suitable senior level for the scale of the project?	3	In line with the T&Cs the local authority appointed a designated project manager - usually a Senior Executive Engineer - to be the main contact point for Department staff responsible for implementation of the programme. For future projects guidelines/responsibilities for Department staff involved in project implementation need to be clearly defined.
Were monitoring reports prepared regularly, showing implementation against plan, budget, timescales and quality?	2	Progress reports were requested on a monthly basis, however, this was not always strictly adhered to. Monitoring of timelines for specific elements and expenditure was not as strict as it could be, however, a certain amount of flexibility and leeway is necessary given that delays can arise for a number of reasons such as delayed contract awards, unforeseen project challenges, inclement weather etc.
Did the project keep within its financial budget and its time schedule?	2	Yes, for the majority of projects, however, in the case of the Galway and Kerry greenway projects currently underway the final outturn is expected to be far in excess of what was originally estimated.

Self-Assessed Compliance Checklists

Checklist 4: Capital Expenditure Being Incurred

Question	Rating	Comment
Tourism Industry and Product Development Division		
Did budgets have to be adjusted?	2	On occasion yes. This can be attributed to the inexperience of local authorities in delivering greenway projects. Lessons have been learned by both local authorities and by the Department. Where additional funding was required a formal request was submitted by the local authority to the Department which, depending on the amount, would be considered at PO level or through a submission to the Minister.
Were decisions on changes to budgets / time schedules made promptly?	3	Yes, where possible.
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)	2	In the case of the Kerry project it has been necessary to request a revised business case given the much increased estimated delivery costs. Galway is experiencing similar difficulties but to a lesser extent.
If circumstances did warrant questioning the viability of a project, was the project subjected to adequate examination?	2	The Department continues to work with Kerry Co Council in recognition of the value of this project to the region.
If costs increased, was approval received from the Sanctioning Authority?	3	Yes, if considered in order following lengthy consideration and in the event of funding being available.
Were any projects terminated because of deviations from the plan, budget or because circumstances in the environment changed the need for the investment?	2	Not under the NCN 2014-2016 or Stimulus funding awards. A termination of a project in Roscommon did take place under the NCN 2012-2013 funding programme.
For significant projects, were quarterly reports on progress submitted to the MAC and to the Minister?	n/a	
Sports Capital Programmes Division		
Was a contract signed and was it in line with the approval in principle?	n/a	We do not have contract with our clients
Did Management Boards/Steering Committees meet regularly as agreed?	n/a	
Were Programme Co-ordinators appointed to facilitate implementation?	3	Each members of the team is responsible for a set of grants (normally based on counties)
Were Project Managers responsible for delivery appointed, and were the Project Managers at a suitable senior level for the scale of the project?	3	Each members of the team is responsible for a set of grants (normally based on counties)
Were monitoring reports prepared regularly, showing implementation against plan, budget, timescales and quality?	3	We do not create reports for the 3,000+ projects but we do monitor the draw down of grants on a collective basis
Did the project keep within its financial budget and its time schedule?	2	It is impossible to predict exactly when grants will be drawn down
Did budgets have to be adjusted?	2	Yes we have had to carryover unspent money
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)	3	Yes grants that are not progressed are regularly withdrawn
If circumstances did warrant questioning the viability of a project, was the project subjected to adequate examination?	3	yes we have a dedicated withdrawals unit that examine old and inactive grants

Self-Assessed Compliance Checklists

Checklist 4: Capital Expenditure Being Incurred

Question	Rating	Comment
Sports Capital Programmes Division		
If costs increased, was approval received from the Sanctioning Authority?	n/a	grant amounts are fixed
Were any projects terminated because of deviations from the plan, budget or because circumstances in the environment changed the need for the investment?	3	Yes grants that are not progressed are regularly withdrawn



Quality Assurance Process 2018

Appendix C

Self Assessed Compliance Checklists

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

Checklist 5: Current Expenditure Being Incurred

- Airports Division
- Information Services Division
- Driver Vehicle and Computer Services Division
- Iarnród Éireann
- Transport Infrastructure Ireland
- National Transport Authority
- Road Safety Authority
- Sports 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 grant applications are evaluated by NewERA each year.
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	Recommendations of the 2011 VFM Report were largely incorporated into the 2011 - 2014 Programme and current 2015 - 2019 Programme, resulting in the discontinuation of grant aid support 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, Kerry, Knock and Waterford.
How have the recommendations of VFMs, FPAs and other evaluations informed resource allocation decisions?	N/A	Recommendations of the 2011 VFM Report were incorporated into the current RAP 2015 - 2019. An expenditure review is being undertaken in 2019, and it is expected that the results of this review will contribute to the development of the new Regional Airports Programme 2020 - 2024
Information Services Division		
Are there clear objectives for all areas of current expenditure?	3	Yes. EU Directives drive the objectives
Are outputs well-defined?	3	Yes. The FAL directive gives general direction on what needs to be achieved, these are discussed with the business and the outputs agreed
Are outputs quantified on a regular basis?	3	Yes, discussed at Steering Group
Is there a method for monitoring efficiency on an on-going basis?	3	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	Yes - defined in conjunction with the business

Self-Assessed Compliance Checklists

Checklist 5: Current Expenditure Being Incurred

Question	Rating	Comment
Information Services Division		
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 Ireland on the system performance from their perspective
Are unit costings compiled for performance monitoring?	1	No
Is there a method for monitoring effectiveness on an on-going basis?	3	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	
Driver Vehicle and Computer Services Division		
Are there clear objectives for all areas of current expenditure?	3	Yes, spending programme is defined as part of the annual budget process
Are outputs well-defined?	3	Yes, Requirements have been signed off in BRD document, and User Acceptance Plan is being created for the verification of said requirements.
Are outputs quantified on a regular basis?	2	Yes, weekly and monthly reports track progress across all key areas of the project; outputs will be validated using UAT Report/signoff at end of delivery cycle
Is there a method for monitoring efficiency on an on-going basis?	2	Yes. Monthly reports are prepared showing progress against planned activities
Are outcomes well defined?	3	Yes. Outcomes include continuity of existing services, and delivery of new services
Are outcomes quantified on a regular basis?	2	Yes. Weekly and monthly reports are prepared showing progress against planned activities UAT Plan, Report and Signoff will validate final outcomes prior to launch.
Are unit costings compiled for performance monitoring?	2	Yes - where applicable. This forms part of Transition Plan/Project.
Is there a method for monitoring effectiveness on an on-going basis?	2	Yes - spending programme as part of the annual budget process
Is there an annual process in place to plan for new VFMs, FPAs and evaluations?	1	No annual process, but Division did carry out a post implementation review of its last major project, an upgrade of the Online Motor Tax system
How many formal VFMs/FPAs or other evaluations been completed in the year under review?	n/a	No formal evaluation carried out in 2018
Have all VFMs/FPAs been published in a timely manner?	n/a	No formal evaluation carried out in 2018

Self-Assessed Compliance Checklists

Checklist 5: Current Expenditure Being Incurred

Question	Rating	Comment
Driver Vehicle and Computer Services Division		
Is there a process to follow up on the recommendations of previous VFMs/FPAs and other evaluations?	2	<p>Yes. Any findings from post implementation of a project are incorporated into the business requirements and the processes to be adopted for any new project. Regarding specific defects identified, a CAPA (Corrective And Preventative Action) process has put in place for all major subsequent enhancements. In summary the CAPA procedure does the following:</p> <p>(1) Firstly, describe the issue/defect in the Live Production Environment – Identify the change that caused this issue.</p> <p>(2) Describe the Corrective action needed to be taken to resolve this issue in Live e.g. Bug fix, any data cleanse, communications, updated procedures etc..</p> <p>(3) Thirdly, Preventative action. What procedures and tests have we put in place to ensure this issue does not happen again.</p>
How have the recommendations of VFMs, FPAs and other evaluations informed resource allocation decisions?	2	All projects go through a thorough costing process, where each of the requirements are clearly defined and the effort required to meet them discussed and cleared. Costings, recommendations and evaluations from previous projects are used as part of this exercise
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 4 weekly reporting 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 4 weekly 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
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 winter, motorway & bridge maintenance and public lighting programmes. Improvements are being 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.
Is there a method for monitoring efficiency on an on-going basis?	2	Generally yes - for winter, motorway and bridge maintenance and for public lighting costs. Also in part for Local Authority ordinary maintenance.
Are outcomes well defined?	2	As above.
Are outcomes quantified on a regular basis?	3	Annual reviews are undertaken of motorway, bridge and winter programmes. Reviews of energy savings on public lighting are undertaken. Monitoring of GeoApp performance in respect of Local Authority ordinary maintenance is undertaken.
Are unit costings compiled for performance monitoring?	2	Yes, but not uniformly. Winter maintenance is subject to unit costing reviews as is our public lighting programme. Motorway, bridge and Local Authority ordinary maintenance 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 and motorway maintenance is monitored on an ongoing basis.
How many formal Value for Money or other evaluations been completed in the year under review?	2	The most recent VfM report was published in 2016 with a list of recommendations to be implemented. Good progress has been made on implementation.
Have all VFMs/FPAs been published in a timely manner?	3	TII has not undertaken VfM reports on maintenance but has implemented recommendations on the DTTaS VfM report published in 2016.
Is there a process to follow up on the recommendations of previous VFMs/FPAs and other evaluations?	3	TII has been implementing the recommendations of the 2016 national road maintenance VfM report over the past three years.
How have the recommendations of VFMs, FPAs and other evaluations informed resource allocation decisions?	3	TII has implemented many of the recommendations of the VfM report published by DTTaS in early 2016 on national road maintenance. TII will publish an implementation report in Q2 2019.
National Transport Authority		
Are there clear objectives for all areas of current expenditure?	3	Yes
Are outputs well-defined?	3	Yes
Are outputs quantified on a regular basis?	3	Yes
Is there a method for monitoring efficiency on an on-going basis?	3	Yes
Are outcomes well defined?	3	Yes
Are outcomes quantified on a regular basis?	3	Yes

Self-Assessed Compliance Checklists

Checklist 5: Current Expenditure Being Incurred

Question	Rating	Comment
National Transport Authority		
Are unit costings compiled for performance monitoring?	3	Yes
Is there a method for monitoring effectiveness on an on-going basis?	3	Yes
Is there an annual process in place to plan for new VFMs, FPAs and evaluations?	3	Done on all large projects
How many formal VFMs/FPAs or other evaluations been completed in the year under review?	3	Done on all large projects
Have all VFMs/FPAs been published in a timely manner?	3	Done on all large projects
Is there a process to follow up on the recommendations of previous VFMs/FPAs and other evaluations?	3	Yes
How have the recommendations of VFMs, FPAs and other evaluations informed resource allocation decisions?	3	Yes
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 monthly through suite of KPIs
Is there a method for monitoring efficiency on an on-going 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	
Is there a method for monitoring effectiveness on an on-going basis?	3	Financial and non Financial Measurements
Is there an annual process in place to plan for new VFMs, FPAs and evaluations?	No	
How many formal VFMs/FPAs or other evaluations been completed in the year under review?	No	
Have all VFMs/FPAs been published in a timely manner?	Yes	
Is there a process to follow up on the recommendations of previous VFMs/FPAs and other evaluations?	Yes	The Authority will follow any recommendations of a VFM review
How have the recommendations of VFMs, FPAs and other evaluations informed resource allocation decisions?	Yes	The Authority is currently conducting an internal human resource allocation review.

Self-Assessed Compliance Checklists

Checklist 5: Current Expenditure Being Incurred

Question	Rating	Comment
Sports 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

Self-Assessed Compliance Checklists

Checklist 5: Current Expenditure Being Incurred

Question	Rating	Comment
Fáilte Ireland		
Are unit costings compiled for performance monitoring?	2	overlall 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 comcludes November each year, various stages of review bilt 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	



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Appendix C

Self Assessed Compliance Checklists

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

Checklist 6: Capital Expenditure Recently Ended

- Iarnród Éireann
- Transport Infrastructure Ireland
- National Transport Authority
- Road Safety Authority
- Sports Ireland
- Fáilte Ireland
- Tourism Industry and Product Development Division

Self-Assessed Compliance Checklists

Checklist 6: Capital Expenditure Recently Ended

Question	Rating	Comment
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
Transport Infrastructure Ireland		
How many post project reviews were completed in the year under review?	3	Four post project reviews were completed in 2018.
Was a post project review completed for all projects/programmes exceeding €20m?	3	Yes post project reviews were completed for all relevant projects over €20
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.
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 over €20m and the project adopt changes as required.
Were project reviews carried out by staffing resources independent of project implementation?	2	Yes external consultants or Local Authority Staff who were not involved in implementation carried out the reviews.
National Transport Authority		
How many post project reviews were completed in the year under review?	3	Conducted for larger projects and appropriate sample sizes done for smaller projects, for 2018 projects, currently 8 Post Project Reviews are being completed for projects that ended in 2018.
Was a post project review completed for all projects/programmes valued in excess of €20 million?	3	Yes
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
Were lessons learned from post-project reviews disseminated within the Sponsoring Agency and to the Sanctioning Authority?	3	Yes
Were changes made to the Sponsoring Agencies practices in light of lessons learned from post-project reviews?	3	Yes
Were project reviews carried out by staffing resources independent of project implementation?	3	Yes

Self-Assessed Compliance Checklists

Checklist 6: Capital Expenditure Recently Ended

Question	Rating	Comment
Road Safety Authority		
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?	N/A	
Were lessons learned from post-project reviews disseminated within the Sponsoring Agency and to the Sanctioning Authority?	No	
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?	No	
Sports Ireland		
How many post project reviews were completed in the year under review?	3	Project completed in June 2019
Was a post project review completed for all projects/programmes valued in excess of €20 million?	3	Not applicable at this stage.
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, scheduled for after the retention period.
Were lessons learned from post-project reviews disseminated within the Sponsoring Agency and to the Sanctioning Authority?	3	N/A
Were changes made to the Sponsoring Agencies practices in light of lessons learned from post-project reviews?	3	N/A
Were project reviews carried out by staffing resources independent of project implementation?	3	N/A
Fáilte Ireland		
How many post project reviews were completed in the year under review?	1	None but plans are in place for 2019 for an Impact Analysis Plan with 8 projects to be reviewed
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?	n/a	
Were lessons learned from post-project reviews disseminated within the Sponsoring Agency and to the Sanctioning Authority?	1	This will happen in 2019
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

Self-Assessed Compliance Checklists

Checklist 6: Capital Expenditure Recently Ended

Question	Rating	Comment
Tourism Industry and Product Development Division		
How many post project reviews were completed in the year under review?	3	Local authorities are required under the T&Cs of grant award to engage Sport Ireland Trails to undertake an assessment of the project on substantive completion of the project with a report submitted to the Department. The Department then follows up with the LA on any recommendations or project deviations.
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	The success of greenways can be measured by the number of visitors using the amenity. This data is collected by LAs using onsite electronic counters. Data from these counters will be provided on request, however, there are no scheduled dates for data collection.
Were lessons learned from post-project reviews disseminated within the Sponsoring Agency and to the Sanctioning Authority?	3	Yes
Were changes made to the Sponsoring Agencies practices in light of lessons learned from post-project reviews?	3	Lessons learned will feed into the criteria against which future greenway proposals will be assessed and into T&Cs and practices attaching to projects funded under future programmes.
Were project reviews carried out by staffing resources independent of project implementation?	3	Yes



An Roinn Iompair,
Turasóireachta agus Spóirt
Department of Transport,
Tourism and Sport

Quality Assurance Process 2018

Appendix C

Self Assessed Compliance Checklists

This section details the self-assessment compliance checklists received from the following DTTaS 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
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 2018.
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 2018.
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 2018.
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 2018.
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 2018.
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 2018.