

Appendix C

Self-Assessed Compliance Checklists

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

Checklist 2: Capital Expenditure Being Considered

- National Transport Authority
- Iarnród Éireann
- Road Safety Authority
- Roads Division
- Transport Infrastructure Ireland
- Sport Ireland
- Fáilte Ireland
- Irish Coast Guard

Scoring System

- 1 - Scope for significant improvements
- 2 - Compliant, but some improvement necessary
- 3 - Broadly or fully compliant

Self-Assessed Compliance Checklists

Checklist 2: Capital Expenditure Being Considered

Question	Rating	Comment
National Transport Authority		
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
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	Projects have not progressed as far as tender stage
Was approval granted to proceed to tender?	n/a	Projects have not progressed as far as tender stage
Were Procurement rules complied with?	n/a	Projects have not progressed as far as tender stage
Were State Aid rules checked for all supports?	n/a	Projects have not progressed as far as 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 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 tender stage
Have steps been put in place to gather Performance Indicator data?	n/a	Projects have not progressed as far as tender stage
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
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Self-Assessed Compliance Checklists

Checklist 2: Capital Expenditure Being Considered

Question	Rating	Comment
Iarnród Éireann		
Was a CBA/CEA completed for all projects valued in excess of €20 million?	3	All projects are subject to internal guidelines. IÉ adheres to the Public Spending Code in management of projects & programmes
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	For NTA funded projects with a Project Execution Plan.
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.
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 €5 million are 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.
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Self-Assessed Compliance Checklists

Checklist 2: Capital Expenditure Being Considered

Question	Rating	Comment
Road Safety Authority		
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)?	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.
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	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	-
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
Roads Division		
Was a Preliminary Appraisal undertaken for all projects valued in excess of €5 million?	2	-
Was an appropriate appraisal method used in respect of each capital project or capital programme/grant scheme?	2	-
Was a CBA/CEA completed for all projects valued in excess of €20 million?	n/a	-
Were appraisal processes commenced at an early stage to facilitate decision-making? (i.e. prior to the decision)	2	-
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Self-Assessed Compliance Checklists

Checklist 2: Capital Expenditure Being Considered

Question	Rating	Comment
Roads Division		
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	-
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	Projects have not reached that point
Was approval granted to proceed to tender?	n/a	-
Were Procurement rules complied with?	n/a	-
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	-
Transport Infrastructure Ireland		
Was a Preliminary Appraisal undertaken for all projects valued in excess of €5 million?	3	Preliminary Appraisal has/is being carried out for new relevant projects that have commenced in 2017 in accordance with TII's Appraisal Guidelines.
Was an appropriate appraisal method used in respect of each capital project or capital programme/grant scheme?	3	Yes appropriate appraisal methods in line with the relevant threshold requirements are being used in respect of all capital projects and programmes. TII's Appraisal Guidelines set out the appropriate appraisal method.
Was a CBA/CEA completed for all projects valued in excess of €20 million?	3	Yes. CBA/CEA is carried out on all projects in excess of €20m.
Were appraisal processes commenced at an early stage to facilitate decision-making? (i.e., prior to the decision)	3	Yes. Appraisal is now being carried out at Phase 0 on all projects over €0.5m that have commenced in 2017.
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. 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 and the phase to which the allocation refers.
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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's Central IGEES Unit for their views?	3	Yes. CBA/CEA is carried out on all projects in excess of €20m and were submitted to DTTAS and DEPR before submission of the project to An Bord Pleanála in 2017.
Were the NDFA consulted for projects costing more than €20 million?	3	Yes. There are ongoing discussions between the Commercial Operations unit and 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	All projects that went forward for tender were in line with the Approval in Principle.
Was approval granted to proceed to tender?	3	Approvals were issued at steering meetings to proceed to tender. Formal letters of approval to proceed to tender were not issued.
Were Procurement rules complied with?	3	Where TII is the sanctioning Authority and 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?	3	-
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?	2	(Projects over €20m) Performance indicators are used on PPP projects. The use of performance indicators is the subject of a review in the current year and appropriate indicators will be adopted more extensively.
Have steps been put in place to gather Performance Indicator data?	2	Yes. Performance indicators have been gathered for most programmes/projects. Network condition surveys, traffic volume data, accident statistics information and road works information are collected. The identification of appropriate performance indicators for remaining programmes/projects is under active consideration in 2018.
Sport Ireland		
Was a Preliminary Appraisal undertaken for all projects valued in excess of €5 million?	3	Business Case / CBA for National Velodrome & Baminton 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 project.
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Self-Assessed Compliance Checklists

Checklist 2: Capital Expenditure Being Considered

Question	Rating	Comment
Sport Ireland		
If a CBA/CEA was required, was it submitted to DPER's Central IGEES Unit for their views?	3	CBA's forwarded by DTTAS to DPER as required.
Were the NDFA consulted for projects costing more than €20 million?	3	NDFA were consulted in relation to potential, alternative funding stream for NIA Phase 2.
Were all projects that went forward for tender in line with the Approval in Principle, and if not, was the detailed appraisal revisited and a fresh Approval in Principle granted?	3	NIA Phase 2 included in previous 2014 tender for entire NIA project (which provided for phasing) - further approval sought and received to proceed with second phase.
Was approval granted to proceed to tender?	3	Yes. Departmental/Ministerial sanction sought in advance of each project stage.
Were Procurement rules complied with?	3	Yes
Were State Aid rules checked for all supports?	n/a	-
Were the tenders received in line with the Approval in Principle in terms of cost and what is expected to be delivered?	3	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	-
Fáilte Ireland		
Was a Preliminary Appraisal undertaken for all projects valued in excess of €5 million?	3	-
Was an appropriate appraisal method used in respect of each capital project or capital programme/grant scheme?	3	-
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	-
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Self-Assessed Compliance Checklists

Checklist 2: Capital Expenditure Being Considered

Question	Rating	Comment
Fáilte Ireland		
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	-
Have steps been put in place to gather Performance Indicator data?	3	-
Irish Coast Guard		
Was a Preliminary Appraisal undertaken for all projects valued in excess of €5 million?	n/a	-
Was an appropriate appraisal method used in respect of each capital project or capital programme/grant scheme?	3	-
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 IGEEES Unit for their views?	n/a	-
Were the NDFA consulted for projects costing more than €20 million?	n/a	-
Were all projects that went forward for tender in line with the Approval in Principle, and if not, was the detailed appraisal revisited and a fresh Approval in Principle granted?	n/a	-
Was approval granted to proceed to tender?	n/a	-

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Self-Assessed Compliance Checklists

Checklist 2: Capital Expenditure Being Considered

Question	Rating	Comment
Irish Coast Guard		
Were Procurement rules complied with?	n/a	-
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		

Appendix C

Self-Assessed Compliance Checklists

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

Checklist 3: Current Expenditure Being Considered

- Road Safety Authority
- Fáilte Ireland

Scoring System

- 1 - Scope for significant improvements
- 2 - Compliant, but some improvement necessary
- 3 - Broadly or fully compliant

Self-Assessed Compliance Checklists

Checklist 3: Current Expenditure Being Considered

Question	Rating	Comment
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.
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	-
Have the methodology and data collection requirements for the pilot been agreed at the outset of the scheme?	n/a	-
If outsourcing was involved, were Procurement Rules complied with?	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 are outlined for each programme
Have steps been put in place to gather Performance Indicator data?	3	Part of the Contract Management piece
Fáilte Ireland		
Were objectives clearly set?	3	-
Are objectives measurable in quantitative terms?	3	-
Was an appropriate appraisal method used?	3	-
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Self-Assessed Compliance Checklists

Checklist 3: Current Expenditure Being Considered

Question	Rating	Comment
Faite Ireland		
Was a business case incorporating financial and economic appraisal prepared for new current expenditure?	3	-
Has an assessment of likely demand for the new scheme/scheme extension been estimated based on empirical evidence?	3	-
Was the required approval granted?	3	-
Has a sunset clause been set?	3	-
Has a date been set for the pilot and its evaluation?	n/a	-
Have the methodology and data collection requirements for the pilot been agreed at the outset of the scheme?	n/a	-
If outsourcing was involved, were Procurement Rules complied with?	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	-
Have steps been put in place to gather Performance Indicator data?	3	-
END		

Appendix C

Self-Assessed Compliance Checklists

This section details the self-assessed 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
- National Transport Authority
- Iarnród Éireann
- Road Safety Authority
- Transport Infrastructure Ireland
- Sports Capital Programme
- Sport Ireland
- Sustainable Transport Division
- Tourism Development Division
- Fáilte Ireland

Scoring System

- 1 - Scope for significant improvements
- 2 - Compliant, but some improvement necessary
- 3 - Broadly or fully compliant

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	Contract for operation of Capital Scheme under the Regional Airports Programme signed at commencement of Programme and all approval of projects issued are in accordance with this Contract and provisions of Regional Airports Programme
Did Management Boards/Steering Committees meet regularly as agreed?	n/a	All proposed projects are submitted to an Assessment Panel comprising representatives of the Department , IAA and NewERA for consideration before they are approved. After approval process, the regional airports look after the undertaking of the work in line with the provisions of the Regional Airports Programme.
Were Programme Co-ordinators appointed to facilitate implementation?	n/a	As above.
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	As above.
Were monitoring reports prepared regularly, showing implementation against plan, budget, timescales and quality?	1	There was a delay in introducing monitoring reports due to shortage of resources within Division
Did the project keep within its financial budget and its time schedule?	3	Yes
Did budgets have to be adjusted?	2	Not all of the capital budget was used and approximately €2.7m capital funding was vired to current expenditure within the Regional Airports Programme. The saving in capital expenditure was mainly due to the continued suspension of payments to Waterford Airport, following the withdrawal of the airline operator in June 2016 with the consequent suspension of all scheduled flights from the Airport along with delays in the undertaking of other capital projects.
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)	2	Yes, some minor projects submitted by the regional airports were either not considered eligible for aid or were insufficiently justified by the project promoter
If circumstances did warrant questioning the viability of a project, was the project subjected to adequate examination?	2	-
If costs increased, was approval received from the Sanctioning Authority?	3	There was one case in 2017 involving a project exceeding its approval level of grant but the airport in question alerted the Department to this overrun and sought prior approval before proceeding.
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Self-Assessed Compliance Checklists

Checklist 4: Capital Expenditure Being Incurred

Question	Rating	Comment
Airports Division		
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	No projects of significant amounts
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
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 addressed 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	-
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
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Self-Assessed Compliance Checklists

Checklist 4: Capital Expenditure Being Incurred

Question	Rating	Comment
Information Services Division		
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.
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	A review and re-evaluation of the MLR programme scope and priorities was conducted as per the plan in the original MLR business case. As part of this review, a number of factors were looked at, including the feasibility of the originally proposed initiatives, the need for legislative changes and dependencies with other stakeholders. Moreover, as part of GDPR, a Data Privacy Impact Assessment is being carried out for the 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	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?	n/a	-
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Self-Assessed Compliance Checklists

Checklist 4: Capital Expenditure Being Incurred

Question	Rating	Comment
Driver Vehicle and Computer Services Division		
For significant projects, were quarterly reports on progress submitted to the MAC and to the Minister?	n/a	-
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
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

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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	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. 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. 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.
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	-
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	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	-
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Self-Assessed Compliance Checklists

Checklist 4: Capital Expenditure Being Incurred

Question	Rating	Comment
Iarnród Éireann		
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
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)	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	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?	n/a	-
For significant projects, were quarterly reports on progress submitted to the MAC and to the Minister?	n/a	-

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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	Yes. All contracts were signed and in line with the approval in principle.
Did management boards/steering committees meet regularly as agreed?	3	Yes. There are steering committee meetings held for projects' pre-award and construction meetings are held on post contract award. These are held on a regular basis.
Were Programme Co-ordinators appointed to co-ordinate implementation?	3	Specific Programme Co-ordinators are appointed depending on the project size and complexity. In some cases the project manager and co-ordinator may be the same person.
Were Project Managers, responsible for delivery, appointed and were the Project Managers at a suitable senior level for the scale of the project?	2	Project managers are appointed for all projects.
Were monitoring reports prepared regularly, showing implementation against plan, budget, timescales and quality?	3	Monitoring reports are prepared regularly for the meetings. The level of detail is appropriate to the value of the project.
Did the project keep within its financial budget and its time schedule?	2	Yes projects kept within total scheme budgets. Some projects extended beyond expected completion dates.
Did budgets have to be adjusted?	3	Budget sheets did not require to be adjusted during the construction phase.
Were decisions on changes to budgets / time schedules made promptly?	3	Yes. Decisions on changes to budgets were not required. Decisions on time schedules were made in accordance with the conditions of contract.
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	Not in the 2017 reporting year.
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. All cost increases received the approval of the sanctioning Authority.
Were any projects terminated because of deviations from the plan, the budget or because circumstances in the environment changed the need for the investment?	n/a	Not in the 2017 reporting year.
For significant projects were quarterly reports on progress submitted to the MAC and to the Minister?	3	Monthly progress sheets are prepared for the Board of TII. Reports are prepared for DTTaS's National Roads Monitoring group and other updates on projects are prepared as and when requested. The chairman of TII Board provides a comprehensive report to the Minister annually in which progress on significant projects is provided.
Sports Capital Programme		
Was a contract signed and was it in line with the approval in principle?	3	All grants are allocated on a provisional basis until certain T&Cs are met. After these are met formal approval is given. No contracts are signed by both parties.
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Self-Assessed Compliance Checklists

Checklist 4: Capital Expenditure Being Incurred

Question	Rating	Comment
Sports Capital Programme		
Did Management Boards/Steering Committees meet regularly as agreed?	2	Steering committee only used for very large grants not deemed necessary for standard SCP and LASPP grants which typically range from €3,000 - €150,000 .
Were Programme Co-ordinators appointed to facilitate implementation?	3	All grants for particular county are administered by a single officer with supervision from a HEO or AP.
Were Project Managers responsible for delivery appointed, and were the Project Managers at a suitable senior level for the scale of the project?	2	The Department does not appoint project managers. For large projects (grants of over €300,000) the Department hires its own technical advisers (normally architects to oversee the technical/construction aspect of the project). Previously this task was carried out by the OPW.
Were monitoring reports prepared regularly, showing implementation against plan, budget, timescales and quality?	2	The SCP does not require monitoring report. Instead grantees must provide evidence of payment for work and certify work complete prior to each payment.
Did the project keep within its financial budget and its time schedule?	3	All grants are capped regardless of whether or not the grantee stays within their overall budget. If a project is completed without the full grant being drawn down the balance of the grant can be withdrawn
Did budgets have to be adjusted?	n/a	No
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)	3	All applications are assessed on the basis of several criteria including viability from a timing and financial point of view. Large projects such as Pairc uí Chaomh and Kerry Sports Academy must provide a business plan and a CBA.
If circumstances did warrant questioning the viability of a project, was the project subjected to adequate examination?	3	Projects that fail to meet the minimum requirement of the programme are not funded
If costs increased, was approval received from the Sanctioning Authority?	n/a	Grants are capped and never increased.
Were any projects terminated because of deviations from the plan, budget or because circumstances in the environment changed the need for the investment?	3	If grantees cannot obtain formal approval or meet the terms and conditions for draw down of the grant the grant may be withdrawn.
For significant projects, were quarterly reports on progress submitted to the MAC and to the Minister?	n/a	No such projects funded in 2017
Sport 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	NSC Sub-committee of Board reviews all progress regularly and reports up to full Board. NIA steering group met as required
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Self-Assessed Compliance Checklists

Checklist 4: Capital Expenditure Being Incurred

Question	Rating	Comment
Sport Ireland		
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?	3	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?	2	NIA project still within timeframe and budget - Office Accommodation project has exceed both timeframe and budget.
Did budgets have to be adjusted?	2	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)	n/a	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?	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?	n/a	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.
Sustainable Transport Division		
Was a contract signed and was it in line with the approval in principle?	3	Terms and conditions signed for all programmes
Did Management Boards/Steering Committees meet regularly as agreed?	2	No formal steering committees
Were Programme Co-ordinators appointed to facilitate implementation?	3	Yes
(continues on next page)		

Self-Assessed Compliance Checklists

Checklist 4: Capital Expenditure Being Incurred

Question	Rating	Comment
Sustainable Transport 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	Submitted regularly
Did the project keep within its financial budget and its time schedule?	3	Extensions to timelines were granted to some individual projects
Did budgets have to be adjusted?	1	Some budget increases were required, e.g., NCN - National Cycling Network
Were decisions on changes to budgets / time schedules made promptly?	3	Yes where appropriate
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	No CBA's were completed
If circumstances did warrant questioning the viability of a project, was the project subjected to adequate examination?	n/a	No CBA's were completed
If costs increased, was approval received from the Sanctioning Authority?	3	Increases were approved by management
Were any projects terminated because of deviations from the plan, budget or because circumstances in the environment changed the need for the investment?	2	One individual project has not been fully completed and money has been with held
For significant projects, were quarterly reports on progress submitted to the MAC and to the Minister?	n/a	-
Tourism 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.
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.
(continues on next page)		

Self-Assessed Compliance Checklists

Checklist 4: Capital Expenditure Being Incurred

Question	Rating	Comment
Tourism Development 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	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.
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	-
Fáilte 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	-
(continues on next page)		

Self-Assessed Compliance Checklists

Checklist 4: Capital Expenditure Being Incurred

Question	Rating	Comment
Fáilte Ireland		
Were Programme Co-ordinators appointed to co-ordinate implementation?	3	-
Were Project Managers, responsible for delivery, appointed and were the Project Managers at a suitable senior level for the scale of the project?	3	-
Were monitoring reports prepared regularly, showing implementation against plan, budget, timescales and quality?	3	-
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)	3	-
If circumstances did warrant questioning the viability of a project was the project subjected to adequate examination?	3	-
If costs increased was approval received from the Sanctioning Authority?	3	-
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	-
For significant projects were quarterly reports on progress submitted to the MAC and to the Minister?	3	-
END		

Appendix C

Self-Assessed Compliance Checklists

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

Checklist 5: Current Expenditure Being Incurred

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

Scoring System

- 1 - Scope for significant improvements
- 2 - Compliant, but some improvement necessary
- 3 - Broadly or fully compliant

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	-
Is there a method for monitoring efficiency on an on-going basis?	2	Review undertaken of 2015-2018 PSO air service scheme and submitted to EU
Are outcomes well defined?	3	-
Are outcomes quantified on a regular basis?	3	-
Are unit costings compiled for performance monitoring?	2	-
Is there a method for monitoring effectiveness on an on-going basis?	2	Monthly assessment of performance on PSO routes
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	Recommendations of 2011 VFM Report were largely incorporated into 2011-2014 Programme and current 2015-2019 Programme, with ending funding 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	2011 VFM on Regional Airports recommended ending funding for Sligo and Galway Airports and PSO air 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 confined to Donegal, Kerry, Knock and Waterford.
Information Services Division		
Are there clear objectives for all areas of current expenditure?	3	Yes. EU Directives drive the objectives
(continues on next page)		

Self-Assessed Compliance Checklists

Checklist 5: Current Expenditure Being Incurred

Question	Rating	Comment
Information Services Division		
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	Ye., 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	Yed - defined in conjunction with the business
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?	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	-
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
(continues on next page)		

Self-Assessed Compliance Checklists

Checklist 5: Current Expenditure Being Incurred

Question	Rating	Comment
National Transport Authority		
Are outcomes well defined?	3	Yes
Are outcomes quantified on a regular basis?	3	Yes
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
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.
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Self-Assessed Compliance Checklists

Checklist 5: Current Expenditure Being Incurred

Question	Rating	Comment
Iarnród Éireann		
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?	n/a	-
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	
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?	3	-
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?	n/a	-
How many formal VFMs/FPAs or other evaluations been completed in the year under review?	n/a	-
(continues on next page)		

Self-Assessed Compliance Checklists

Checklist 5: Current Expenditure Being Incurred

Question	Rating	Comment
Road Safety Authority		
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	The Authority will follow any recommendations of a VFM review
How have the recommendations of VFMs, FPAs and other evaluations informed resource allocation decisions?	n/a	The Authority is currently conducting an internal human resource allocation review.
Roads Division		
Are there clear objectives for all areas of current expenditure?	3	Yes - there are clear objectives for current expenditure programmes
Are outputs well-defined?	2	Kms which can be maintained for the available budget is estimated for the restoration maintenance programme
Are outputs quantified on a regular basis?	2	Outputs are estimated each year for main current restoration maintenance programme based on returns from LAs
Is there a method for monitoring efficiency on an on-going basis?	2	MapRoad system is used to assess the condition of the road surface quality
Are outcomes well defined?	2	-
Are outcomes quantified on a regular basis?	2	-
Are unit costings compiled for performance monitoring?	2	-
Is there a method for monitoring effectiveness on an on-going basis?	2	-
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	-

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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, there are clear objectives set for the various areas of current expenditure.
Are outputs well defined?	2	Outputs are well defined in respect of the majority of expenditure programmes. Improvements are needed in relation to the ordinary maintenance programme undertaken by local authorities.
Are outputs quantified on a regular basis?	3	Outputs are quantified for current programmes on an annual basis. Network pavement condition for the full national road network is measured on an annual basis.
Is there a method for monitoring efficiency on an on-going basis?	2	Expenditure on motorway maintenance is monitored, outputs measured and KPIs monitored on a continuous basis. However local authority efficiency in respect of ordinary maintenance activities is difficult to measure given the severe funding cuts since 2008.
Are outcomes well defined?	2	Outcomes are well defined for motorway maintenance and winter operations. Outcomes are less well defined on national roads managed by local authorities. Lack of sufficient funding militates against clear definition and achievement of outcomes.
Are outcomes quantified on a regular basis?	3	Outcomes are quantified for the majority of programmes. Condition inspections of our pavement, bridges, signs and lines are undertaken on an annual basis and the change in asset condition used to assess the effectiveness of our investment.
Are unit costings compiled for performance monitoring?	2	Unit costings are compiled for some of our current expenditure programmes - such as winter operations. Motorway maintenance contracts are competitively tendered and the tender prices provide maintenance and operations costs per kilometre. Unit costings are not readily available for local authority maintenance activities.
Is there a method for monitoring effectiveness on an on-going basis?	3	Effectiveness in the maintenance and stewardship of our network assets is measured through annual condition surveys that monitor the changes in network condition and the impacts of our maintenance and renewals investment programmes.
Is there an annual process in place to plan for new VFMs, FPAs and evaluations?	2	-
How many formal Value for Money or other evaluations been completed in the year under review?	3	One. A strategic study of TII's winter maintenance delivery has been undertaken in 2017.
Have all VFMs/FPAs been published in a timely manner?	3	Yes. TII's Interim Review of the Motorway Maintenance and Renewals Contracts has been completed, in preparation for the re-tendering of the three regional (MMaRC) motorway maintenance contracts.
Is there a process to follow up on the recommendations of previous VFMs/FPAs and other evaluations?	2	Yes. Business cases and Programme reviews are undertaken in advance of all anticipated changes being implemented to a current expenditure programme.
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Self-Assessed Compliance Checklists

Checklist 5: Current Expenditure Being Incurred

Question	Rating	Comment
Transport Infrastructure Ireland		
How have the recommendations of VFMs, FPAs and other evaluations informed resource allocation decisions?	2	Resource allocation in respect of maintenance programmes has been particularly challenging given the reduction in funding from €58m to €32 over the past decade since 2008. Funding constraints have limited our capacity to achieve best practice objectives.
Sport Ireland		
Are there clear objectives for all areas of current expenditure?	3	There are objectives set out in our strategy and business plans for each programme.
Are outputs well-defined?	3	The outputs are set out in our strategy and business plans
Are outputs quantified on a regular basis?	3	Progress is monitored against the strategy and the Board is updated on a regular basis.
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. Board is updated on progress against Business Plans on a regular basis.
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?	n/a	-
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?	n/a	-
Have all VFMs/FPAs been published in a timely manner?	n/a	-
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Self-Assessed Compliance Checklists

Checklist 5: Current Expenditure Being Incurred

Question	Rating	Comment
Sport Ireland		
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	-
Fáilte Ireland		
Are there clear objectives for all areas of current expenditure?	3	-
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?	3	-
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?	3	-
How have the recommendations of VFMs, FPAs and other evaluations informed resource allocation decisions?	3	-

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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	-
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?	2	-
Is there a method for monitoring effectiveness on an on-going basis?	2	-
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	-

END

Appendix C

Self-Assessed Compliance Checklists

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

Checklist 6: Capital Expenditure Recently Ended

- Driver Vehicle and Computer Services Division
- National Transport Authority
- Iarnród Éireann
- Transport Infrastructure Ireland
- Tourism Development Division

Scoring System

- 1 - Scope for significant improvements
- 2 - Compliant, but some improvement necessary
- 3 - Broadly or fully compliant

Self-Assessed Compliance Checklists

Checklist 6: Capital Expenditure Recently Ended

Question	Rating	Comment
Driver Vehicle and Computer Services Division		
How many post project reviews were completed in the year under review?	3	Post Implementation Review was completed for the Online Upgrade Project
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 Implementation Review was completed for the Online Upgrade Project
Were lessons learned from post-project reviews disseminated within the Sponsoring Agency and to the Sanctioning Authority?	2	Yes. The Post Implementation Review was discussed and signed off by the Department
Were changes made to the Sponsoring Agencies practices in light of lessons learned from post-project reviews?	2	Yes. A CAPA (Corrective And Preventative Action) process has put in place for all major subsequent enhancements. In summary the CAPA procedure does the following: (1) Firstly, describe the issue/defect in the Live Production Environment – Identify the change that caused this issue. (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. (3) Thirdly, Preventative action. What procedures and tests have we put in place to ensure this issue does not happen again.
Were project reviews carried out by staffing resources independent of project implementation?	2	Due the nature of the project, and the small pool of resources available to the Division, the post implementation review involves Divisional staff that were involved in the project. The Implementation Review is however being chaired by a Service Provider resource, independent to the project delivery
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 2017 projects, currently 8 Post Project Reviews are being completed for projects that ended in 2017
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

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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?	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	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	-
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	There was one Post Project Review completed in 2017.
Was a post project review completed for all projects/programmes exceeding €20m?	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 all post project reviews for completed major projects have been progressed.
Were lessons learned from post-project reviews disseminated within the Sponsoring Agency and to the Sanctioning Authority?	2	A process for the dissemination of lessons learned to the Sponsoring Agencies is being established.
Were changes made to the Sponsoring Agencies practices in light of lessons learned from post-project reviews?	3	Yes. Formal lessons learned workshops were carried out on all major projects and formal actions are recorded.
Were project reviews carried out by staffing resources independent of project implementation?	3	Yes. In general, post project reviews have been carried out by consultants appointed separately from the project team.
Tourism 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.
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Self-Assessed Compliance Checklists

Checklist 6: Capital Expenditure Recently Ended

Question	Rating	Comment
Tourism Development Division		
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
END		

Appendix C

Self-Assessed Compliance Checklists

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

Checklist 7: Current Expenditure Recently Ended

No returns received

Scoring System

- 1 - Scope for significant improvements
- 2 - Compliant, but some improvement necessary
- 3 - Broadly or fully compliant

Self-Assessed Compliance Checklists

Checklist 7: Current Expenditure Recently Ended

Question	Rating	Comment
Division/Agency		
Were reviews carried out of current expenditure programmes that matured during the year or were discontinued?	-	-
Did those reviews reach conclusions on whether the programmes were effective?	-	-
Did those reviews reach conclusions on whether the programmes were efficient?	-	-
Have the conclusions reached been taken into account in related areas of expenditure?	-	-
Were any programmes discontinued following a review of a current expenditure programme?	-	-
Was the review commenced and completed within a period of 6 months?	-	-
END		