GUIDELINES FOR THE MANAGEMENT OF PUBLIC TRANSPORT INVESTMENT PROJECTS DELIVERED BY CONVENTIONAL PROCUREMENT
Guidelines for the Management of Public Transport Investment Projects delivered by Conventional Procurement

JULY 2010
The National Transport Authority (the NTA) is a statutory body established by the Minister for Transport on 1st December 2009. At a national level, the NTA has responsibility for securing the provision of public passenger land transport services. This includes the provision of subvented bus and rail services. The NTA also has responsibility for the development of an integrated transport system within the Greater Dublin Area (the GDA).

The principal functions of the NTA with respect to the GDA are:

- Preparation and regular review of a transportation strategy;
- Adoption of an integrated implementation plan and a strategic traffic management plan;
- Financing the construction of public transport infrastructure;
- Promoting an integrated public transport network;
- Implementing integrated ticketing, fares and information schemes;
- Regulating fares and encouraging increased public transport use.

The NTA has the role of Sanctioning Authority for the financing and construction of most public transport infrastructure projects in the GDA. The role of Sponsoring Agency (sponsoring, commissioning and letting contracts for the implementation of projects, and overseeing their delivery) is undertaken on the NTA’s behalf by its partner organisations, the Railway Procurement Agency for Luas and Metro projects and the CIÉ Group companies for other transport modes, and in particular, Iarnród Éireann – Irish Rail for DART, commuter and regional railway projects.

In order to fulfil its function as Sanctioning Authority, the NTA requires that the Sponsoring Agencies follow clear processes to ensure that projects are well managed, that the NTA is informed on all key matters relating to projects as they progress, and that at each key milestone in project development, the NTA is consulted and sufficiently informed to make sound decisions, as may be appropriate, on the authorisation of the next stage of work.

These Guidelines cover conventionally procured investment projects and are to be applied to all projects for which the NTA is Sanctioning Authority from 1st July 2010. Guidelines covering other types of projects, including PPPs, will be issued shortly. Further guidance will be issued in due course on particular aspects of project development and implementation.

I wish to thank the Railway Procurement Agency and Irish Rail for their assistance and contributions and I also wish to acknowledge the consultants, Booz & Co, who prepared these Guidelines for the NTA.

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Guidelines for the Management of Public Transport Investment Projects delivered by Conventional Procurement

IMPORTANT
These are guidelines, not rules, and do not purport to be a legal interpretation of the Public Transport Regulation Act 2009 or the Dublin Transport Authority Act 2008.
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1. Introduction

1.1 Purpose

These Guidelines provide a framework for, and a phased approach to, the development, management and delivery of public transport projects sanctioned by the National Transport Authority (the NTA). The NTA is Sanctioning Authority for most such projects in the Greater Dublin Area (the GDA) which covers Dublin City, Fingal, Dun Laoghaire-Rathdown, South Dublin, Kildare, Meath and Wicklow.

The Guidelines are structured so as to achieve an appropriate consistency of approach across projects undertaken by the relevant Sponsoring Agencies, including the Railway Procurement Agency and the CIE Group companies (the NTA’s ‘Partner organisations’ or ‘Partners’), and to provide the NTA with the degree of visibility and certainty that is appropriate for a Sanctioning Authority accountable for the Sponsoring Agencies’ uses of funds.

The Guidelines divide the evolution and progression of all initiated projects into eight Phases (including a pre-project Phase 0). These phases are shown in Figure 1.1 below.

Each phase is presented in a step-by-step manner but with provision made for flexibility in the ordering of phases with the agreement of the NTA, where appropriate.

The Guidelines set out the NTA’s requirements for regular reporting by its Partners. Crucially, the Partners are required to keep the NTA advised of all material changes in budget and, at the earliest opportunity, notify the NTA of any major risk events occurring which could potentially impact on delivery of the project. As detailed in Chapter 2 below, reporting will primarily take the form of regular meetings (monthly or as necessary) arranged by NTA and the Partner organisations. Relevant reports will be prepared for discussion / decision as necessary.

Important milestones and other project events requiring action by the Partner organisations or approval by the NTA are also indicated in the Guidelines. This will enable the Partners and the NTA to plan each phase of a project in terms of time and internal resources and costs. A brief description of the phases and their review and approval ‘Gates’ is provided in Chapter 3 of these Guidelines.

The Guidelines also detail the approvals ‘Gate’ process which the NTA applies. The introduction of Gateways at the end of each phase of a project is to ensure that a project is fully ready to proceed to the next phase. Certain of the Gates also act as NTA Hold Points requiring sanction before major funding commitments are entered into. When fast tracking of projects (parallel running of project phases) is required, as has often been the case in the past, a process for agreeing that is laid down in the Guidelines (see Section 4.5 below).

Other than where the Guidelines specify requirements explicitly, the Partner organisations are expected to continue to apply their own project management processes. However, the Partners should be able to demonstrate that the processes set out in these Guidelines have been followed. No deviation from these Guidelines should be made without the approval of the NTA.

It should be noted that these Guidelines do not aim to be a full statement of the duties and statutory obligations of the Partner organisations for their projects. Responsibility for ensuring that schemes are progressed in accordance with applicable legislation, standards and other applicable guidelines remains with the Partners and their project teams.
Common Appraisal Guidelines, as follows:

1. Definitions/Terminology

A list of key abbreviations, definitions and terminology is provided to ensure that the wording of these Guidelines is clear and unambiguous. This can be found in Appendix 1.

1.2 Applicability

These Guidelines apply to all conventionally procured projects for which the NTA is Sanctioning Authority. However, the procedures will be applied in full only to projects with a total capital cost over €30 million, or over €5 million in the case of IT/technology projects. For smaller projects the precise extent of application will be agreed at Phase 0, based on thresholds (capital cost values for all phases combined\(^1\)) which align with those of the DoT Common Appraisal Guidelines, as follows:

- Minor projects with an estimated cost below €0.5 million, such as projects involving minor refurbishment works, fit outs, etc. need be reported by exception only;
- Projects costing between €0.5 million and €5 million should be reported in aggregate and in general terms only;
- For projects costing between €5 million and €30 million full application of the procedures will be required for IT/technology projects (including communications systems, ticketing systems, etc.) and otherwise complex, innovative or groundbreaking projects to be determined at Phase 0, while other, more straightforward and lower risk projects should be reported individually in general terms only; however Gate 3 will, as a minimum, be retained as an NTA Hold Point;
- For all projects costing over €30 million full application of the procedures will be required.

1.3 Definitions/Terminology

A list of key abbreviations, definitions and terminology is provided to ensure that the wording of these Guidelines is clear and unambiguous. This can be found in Appendix 1.

1.4 Interaction With Other Guidance

These Guidelines are to be read in conjunction with Departmental guidelines including:

- Department of Finance:
  - Guidelines for the Appraisal and Management of Capital Expenditure Proposals in the Public Sector, February 2005 (‘DoF Guidelines’);
  - Capital Works Management Framework, July 2009 (‘DoF CWMF’);
- Department of Transport:

The NTA will also be producing additional guidance documentation to complement this first version of these Guidelines. This will cover other types of projects, including PPPs, guidelines for which will be issued shortly. Further guidance will be issued in due course on particular aspects of project development and implementation.

1.5 Governance, Roles And Responsibilities

1.5.1 Overview

The DoF CWMF Guidance Note GN 1.1 - Project Management notes that sound governance requires an appropriate framework to be put in place. Such a framework provides the conditions to allow good relationships to exist between all the parties to the project, including:

- The project’s management team;
- The Sponsoring Agency (one of the NTA’s Partner organisations);
- The Sanctioning Authority (assumed here to be the NTA);
- Key stakeholders – including other public bodies, affected individuals and businesses and, importantly, taxpayers and future users – the travelling public.

Sound governance also leads to sound processes within the management structure of a project, providing a structure through which the objectives of a project are set, and the means of attaining those objectives and monitoring performance. The NTA is concerned with ensuring that these guiding principles are in place for the execution of all projects within its remit.

These Guidelines can be applied to all conventionally procured projects including Traditional Employer-led Design contracts, Design and Build contracts, and projects procured via multiple contracts mixed with works undertaken by direct works organisations in house. In those circumstances, the integration of the various contracts becomes a key duty of the Partner organisation. (Note: Public Private Partnerships (PPP) models have a number of differences from more traditional procurement models and are being covered under separate guidelines.) The Partner organisation undertakes the detailed planning and delivery responsibility of individual projects and for programmes made up of multiple projects. They are responsible for compliance with legal, environmental and safety requirements and procedures in respect of obtaining powers (e.g. via a Railway Order), compulsory land acquisition, environmental impact assessments, railway safety cases, temporary provisions to handle construction impacts, etc.

\(^{1}\) Note that the Irish Rail definition of a Project as a single phase of a larger project is not used in these Guidelines (see Appendix 1).
1.5.2 Project Roles and Responsibilities

A number of generic roles apply in the execution of any project and must be fulfilled in all NTA sanctioned projects undertaken by a Partner organisation. The detailed application may differ slightly in each project or programme organisation according to the Partner’s own project management guidelines and governance procedures. However, where this occurs the Partner organisation shall ensure roles and responsibilities are well defined, with lines of authority and accountability clearly identified, and consult with the NTA on the organisational structure before it is finalised.

Figure 1.2 shows the structure of public transport investment projects in a Partner organisation. At every level of the structure there is an integration activity required to bring together:

- Work packages contributing to the delivery of a project;
- Projects contributing to the delivery of an identified programme; and
- Programmes which, together with each other, and with the Partner organisation’s existing assets, deliver the business’s future operational capacity to generate revenues and other, possibly subvented, benefits for the travelling public, both users and non-users.

The Partner organisation may appoint a **Programme Director** who takes overall responsibility and has a number of Project Managers who directly report to him/her on the delivery of individual elements of the Programme. The Programme Director will be responsible for overall direction and performance of his/her programme of projects and ensuring that the projects are integrated satisfactorily to deliver the objectives of the programme.

In setting up a project, it is essential that inter-dependencies with other projects are identified at the earliest possible stage and the interfaces are managed. In the case of projects having inter-dependencies of any kind, the Partner organisation will be responsible for drawing this to the attention of the NTA at the latest at Gate 1 and outlining how the interfaces between the projects will be managed (e.g. by a Project Interfaces Committee or by the appointment of a Programme Director). Where projects have a shared business case the NTA will expect a Programme Director to be appointed and resourced adequately for the scale of the integration task to be undertaken.

For the purposes of these Guidelines, the key responsibilities of the Programme Director or Project Manager are outlined below; in the case of a Programme Director he/she will selectively delegate them as appropriate for the projects under his/her responsibility.

Figure 1.2: Project or Programme Organisational Structure

![Figure 1.2: Project or Programme Organisational Structure](image)

*Figure 1.2: Project or Programme Organisational Structure*

A typical railway project will include some or all of these packages, some of which may be entirely or partially in-house or contracted.
The Programme Director or Project Manager is the person appointed by the Partner organisation to take responsibility for the delivery of a Project. The Partner organisations will designate their key point of contact for the NTA on each programme/project who will generally be the Programme Director or Project Manager.

The Project Manager is responsible for managing the work of the in-house Design Team and/or external consultants and the site supervisory team, allocating and utilizing resources in an efficient manner and maintaining a co-operative, motivated and successful team. The Project Manager will have a number of key responsibilities including but not limited to:

- Ensuring projects are effectively delivered to fulfil business case expectations in terms of outputs, capacities and asset quality/asset life;
- Proactively managing delivery of the project, meeting annual targets, and overall time and cost targets assumed in the business case and original brief;
- Developing and maintaining a Project Execution Plan as described in these Guidelines;
- Overseeing overall progress and the use of resources, initiating corrective action where necessary;
- Overseeing the appointment of External Consultants, as required;
- Monitoring project progress and performance;
- Managing Project deliverables in line with the Project Execution Plan and checking all documentation produced for publication for compliance with Partner and NTA policies, guidelines and requirements in advance of submission to the NTA or external parties;
- Producing and submitting all deliverables in accordance with Partner and NTA requirements;
- Liaising with and providing status reports within the Partner organisation and to the NTA as Sanctioning Authority and ensuring the project meets their objectives;
- Liaising and consulting with Stakeholders as necessary to refine the Project and build the necessary support for its implementation;
- Obtaining all Partner organisation and NTA approvals necessary to progress the scheme, such as approvals to proceed to the next phase, etc.;
- Obtaining all Statutory approvals necessary to progress the scheme (e.g. Railway Order);
- Ensuring compliance with public procurement requirements;
- Taking the lead in managing relationships including internal and external team members, stakeholders and sponsors/steering group;
- Identifying, tracking and resolving issues;
- Identifying and assessing risks, developing mitigation/contingency plans, and executing them appropriately to effectively manage risks.

The Partner organisation shall also designate a person or persons responsible for ensuring that Partner funding needs are communicated and agreed and that financial aspects of the project are conducted in a timely manner in accordance with NTA’s requirements. The designated person or persons may handle the funding issues of several projects on behalf of the Partner in the relationship with the NTA.

1.5.3 The Sanctioning Authority

For public transport projects funded via the NTA within the Greater Dublin Area, the NTA normally fulfils the role of Sanctioning Authority, subject to certain exceptions, where the role is retained by the Department of Transport or by the Government. The role can also apply where capital funding is required by the Partner organisation to facilitate projects relating to major asset renewal programmes.

The NTA’s functions shall include, but not be limited to, the following:

- Evaluating Business Cases and Development Proposals for conformity with the NTA’s strategic and value for money objectives;
- Giving projects approval to proceed (within specified budgets, standards and time limits, etc.);
- In giving such approval, ensuring in association with the Partner organisations that projects are structured and organised in a manner appropriate to the challenges they represent and such that the NTA’s objectives can be attained;
- Keeping fully informed on the progress of projects and providing guidance to the Partner organisation regarding its requirements in the event of issues of significance to the NTA arising, as appropriate;
- Considering major scope change requests from the Partner organisation;
- Taking part in Gate reviews and giving authority to proceed to the next Gate as appropriate.

The Gate process is described in Chapter 3 of this Guidelines document and detailed for each project phase in subsequent Chapters.

2 For what is considered a major scope change see Section 7.4 and Appendix 1.
For public transport investment projects which are being undertaken within the GDA for which the NTA is not the Sanctioning Authority, that role being retained for instance by the Government, the NTA may act on behalf of the Government under terms to be communicated to the Partner organisation.

1.5.4 The Sponsoring Agency
The Sponsoring Agency is described in DoF guidance as the organisation that requires the project to be undertaken. In the case of public transport investment projects within the GDA, that will usually be the NTA’s relevant Partner organisation. The Partner will undertake the following functions in consultation with the NTA as appropriate:

- Initial planning, appraisal and preparation of the business case;
- Overall planning and management of the Project;
- Gaining approval from the Sanctioning Authority for the original proposal and for any subsequent changes;
- Nominating and appointing a Project Coordinator and/or Project Manager;
- Sanctioning the appointment of the members of the Client Design Team;
- Obtaining all necessary powers to purchase land for the Project, undertake the Project and put the new asset into operation;
- Sanctioning the appointment of a Contractor for the Main Construction Contract and other contracts;
- Assuming the role of ‘Employer’ and Contracting Authority for Public Works or other contracts;
- Undertaking the integration role or appointing external suppliers to undertake that role;
- Ensuring that the asset being acquired fully meets the original business need as expressed in the business case;
- Acting as the acceptance authority for the Partner organisation’s operational/maintenance business, and ensuring all safety and other acceptances are also obtained;
- Ensuring that the new asset is successfully brought into operation and handed over to the Partner’s operational/maintenance business, within the approved time and budget, such that value for money objectives are met.

In the role of Sponsoring Agency the Partner organisation will nominate a person to act as Project Co-ordinator as defined in DoF CWMF Guidance Note GN 1.1 - Project Management. The Project Co-ordinator may also fulfil the role of Project Manager. (In the case of Fast-Track Schemes, the roles may be fulfilled separately - see Section 4.5 for further details).

1.5.5 Stakeholders
Effective stakeholder management is critical to the effective development, specification and delivery of all projects. The Partner organisations will be expected to place great importance in the development of healthy and pro-active relationships with stakeholders at the relevant stages of the project life cycle. A stakeholder management plan is to be prepared for each Project by the Partner organisation and the NTA is to be consulted on its contents.

1.5.6 Steering Group
On large or complex Schemes the Partner organisation will be expected by the NTA to appoint a suitably qualified Steering Group (which might also be referred to as a monitoring and advisory committee/project board) to which the Programme Director, if appointed, or the Project Manager shall report. The Steering Group may not be required at all project phases.

The terms of reference for, and initial membership of, the Steering Group are to be consulted upon with the NTA, and the NTA may make Phase 1 Gate approval subject to the Partner organisation inviting NTA representation on to the Steering Group.

The Steering Group shall report to the Partner organisations’ Board.

(N.B. Copies of all progress reports relating to projects funded by the NTA shall be sent for information to the NTA before or at the same time as to the Partners’ Boards and the NTA will expect to be kept informed on a ‘no surprises’ basis through regular communication channels of major project matters going to the Partners’ Boards).
2. Engagement Structures

2.1 Methods of Engagement

This Chapter details the regular engagement that the NTA requires to have with Partner organisations undertaking projects which the NTA is funding. There are several methods of engagement:

- Regular (generally monthly) financial and progress reporting to the NTA;
- Regular (generally monthly) monitoring meetings held between the NTA and the Partner organisations;
- The Gate review process;
- Ad hoc papers on issues that arise between Gates, submitted by the Partner organisations to the NTA in order to determine a suitable approach/gain authority for that;
- Ad hoc meetings between the NTA and the Partner organisations to review such submissions.

The reporting of projects will be consolidated where practicable into the regular monitoring meetings. However, the NTA and Partner Agency may decide to hold additional meetings on a project specific basis. The specific engagement associated with the Gate process is referred to in Chapter 3.

In line with the requirements of the DoF CWMF Guidelines, Partner organisations need to ensure that formal and informal communication channels are established as an early project management task. The NTA will seek to engage with the Partner organisations responsible for delivering the Schemes it funds in the most efficient manner for all concerned.

2.2 Project Relationships

The engagement structure needs to assist in building effective relationships and thus enable project reporting, funding and authorisation processes to be successfully deployed. Figure 2.1 below provides an overview of the project relationships applicable between the Partner organisation and the NTA.

A typical public transport investment project (especially in rail, Luas or Metro modes) is likely to include a number of separate contract packages. Some packages may be undertaken in-house by the Partner organisation. The Partner’s role can include integrating the packages making up a Scheme, whether an entirely new asset, a new route or a new system or sub-system – thus going well beyond the simple management of a main contractor. Such an integration role can be contracted out, either separately or to one of the package contractors, but in that event the NTA’s Partners still need to assure themselves that this role is being undertaken satisfactorily. This is particularly the case where there are major interfaces with existing operational infrastructure or other programmes.

Figure 2.1 shows the Partner’s organisation in the left hand column (as given already in Figure 1.2), and the NTA’s engagement in the right hand column. This illustrates the NTA’s requirement to be able to engage flexibly with the Partner organisation’s project structure at any level. The NTA will normally engage with the Partner through receipt of regular progress reports and through monthly monitoring meetings at CEO and leadership team/Programme Director level. However, the NTA will, through its representatives, also engage for defined purposes at other levels and, in particular, at the Project level. The NTA will, through its regular interactions, give prior notice of this and make the necessary arrangements at Programme Director level. Engagement with the Partner organisations at the package level will generally only occur under special circumstances when prior notice will also be given and necessary arrangements made.

2.3 Project Reporting Requirements

As stated in the DoF CWMF Guidelines, as early as possible in a Project, preferably just after approval-in-principle, the Sponsoring Agency (the Partner organisation) should agree with the Sanctioning Authority (the NTA) on the frequency and details of reports that it will make to the Sanctioning Authority. In addition, the Partner organisation needs to ensure that its internal reporting lines are clear and as short as possible, and that the content, style and timing of its reports are designed to suit the nature of the Project and, ideally, the needs both of the Partner organisation and the NTA. As a general principle, the NTA expects to receive the same reporting material as supplied to the Partner organisations’ own Boards but with NTA-specific summaries. The monthly report and meeting should identify the key areas dealt with by the Partner organisations’ Boards.

2.3.1 Financial Reporting

The NTA requires two types of financial reporting from the Partner organisations:

- Funding or Grant Claim requests related to cash flow arrangements on individual projects related to financial periods and/or contract milestone dates;
- The progress reports submitted to the monitoring meeting, including details on project costs – this is referred to in the section below.

In accordance with the agreed interval required for the submission of Funding or Grant Claim requests (generally monthly), the Partner organisation shall supply claims and back up information related to actual expenditure (by month and cumulative) sufficient for the NTA to be able to efficiently carry out its duties in relation to the funding settlement process.
2.3.2 Progress Reporting
The regular progress report shall be based on the Partner organisation’s Project report to its own Board but tailored to the projects funded by the NTA and containing as a minimum the following information:

- An executive summary containing reported written narrative and numerical data for Schedule, Budget, Risk;
- Major activities for the reporting period with issues flagged and decisions required over the next three months;
- A project level summary of Reported Budget Expenditure; amount to date, amount approved, forecast to completion and any variances – with a short written narrative summary indicating “Red Amber Green” status of the project against budget and schedule;
- The identification of risk and contingency as separate items to the project estimate;
- An appendix containing the individual Project reports prepared for the Board.

In addition, the Partner organisations shall prepare and maintain a portfolio of NTA projects as a Plan which shall be reviewed at each monitoring meeting. The Plan shall be in a summary format and provide the following information for each project in the NTA programmes:

- The current NTA phase of each project (and the Partner organisation’s own phase description, if different);
- The dates of Gate reviews and any hold points;
- Major milestone dates – based on the project phasing detailed in these Guidelines;
- The status of the project in terms of a “Red Amber Green” classification and brief key issues narrative to reflect progress against budget and schedule.

The Partner organisation shall prepare its report of the projects in each programme and submit it to the NTA at least two working days before the regular monitoring meeting referred to below.
Once these Guidelines have been implemented and the effectiveness of these reporting arrangements has been determined, the NTA may seek to revise the reporting templates to permit a more seamless integration with the Partner organisations’ own management reporting systems.

2.4 Regular Monitoring Meetings

Regular monitoring meetings are to be held (generally monthly) between the NTA and each Partner organisation.

The purpose of these meetings is to review, for all the projects within the NTA project portfolio, progress against plan, expenditure against budget, any risks or issues affecting scope, cost or schedule and any upcoming milestones, etc.

In addition, they are the forum to address major issues for the Partner’s overall investment programme and review future plans.

The written narrative reports may be supplemented by oral presentation by the Partner organisations’ representatives at the monitoring meetings. The NTA may from time to time request the attendance of specialist Partner organisation inputs at these meetings when the need for additional information arises.

The NTA will provide the secretariat for these meetings and will issue agendas and formal notes of the meetings for agreement with the Partner organisations.

In preparation for the formal monthly monitoring meetings, the NTA may require preparatory project-specific meetings be held between the NTA’s representatives (including their independent advisors) and the Partner organisation’s project representatives. These meetings will examine progress in depth using methods of enquiry determined by the NTA to suit the circumstances while aiming to avoid unnecessary additional work on the part of the Partner organisation’s project team.

2.5 The Gate Review Process

The Gate review process is separate from the regular progress reporting and meetings but forms an important part of the overall engagement process. The Gate review process and its associated reporting requirements are covered in Chapter 3.

2.6 Ad Hoc Papers

Either the NTA or the Partner organisation may request, on an ad hoc basis, that an issue that arises between Gates be examined jointly. In that event, the NTA may seek that papers be prepared and submitted by the Partner organisations to the NTA in order for it, in discussion with the Partner, to determine a suitable approach to solving the issue. The Partners may also submit such papers to the NTA unasked, in order to seek authority from the NTA to pursue a particular course of action.

2.7 Ad Hoc Meetings

The regular monitoring meetings may, as required at specific stages of the project life cycle, be supplemented by additional meetings between the NTA and the Partner organisations. Such meetings may be called to review ad hoc papers submitted as indicated in Section 2.6 above.
3. The Gate Process

3.1 The Overall Process

The NTA is introducing a review at the end of each Project Phase which leads to a Gate or decision point. The Gate review process is in addition to the routine reporting and monitoring meeting arrangements described in the previous Chapter.

The purpose of each Gate is to ensure that a project has met certain requirements before it is allowed to proceed to the next phase of the project. The requirements are specific to each project but relate to the maturity reached by the project in relation to the NTA’s expectations for the phase under review. These include the level of certainty achieved in relation to cost, quality and time as well as value/benefits, all of which are matters of priority for the NTA in its funding of projects. By approving a Gate, the NTA is indicating that it is satisfied that a project is fit to proceed to the next phase.

The Gate reviews follow a standard approach which allows the NTA, along with the Partner organisation responsible for a project’s delivery to assess its progress. The onus will lie with the responsible Partner for undertaking the review and, through the submission of documentary evidence, demonstrating that the required level of project maturity has been reached. The NTA will examine the findings reached by the Partner and the evidence submitted in order to come to a conclusion as to whether the Gate has been passed.

In the following Chapters, the lifecycle of a Project is described by phase, each phase concluding with a Gate as indicated in Table 3.1.

If fast tracking (see Section 4.5) is agreed as part of the Phase 0 Gate review, the arrangement of these Phases and Gates should be reviewed and revised in agreement with NTA. The NTA’s Approval in Principle will set out any such project specific arrangements, as appropriate. The Partner organisations are requested to work closely with the NTA in the run-up to a Gate review to minimise approval times. The NTA will give a decision as quickly as possible and will aim to do so within four weeks of receipt of a request for approval to a Gate Review. Ensuring that internal Partner organisation and NTA approvals are run in parallel will be a means to avoid any delays. Also it will ensure that, in circumstances where the NTA also requires internal technical advice, the NTA’s internal advisors are mobilised and ready to report in a timely fashion.

3.2 Lines of Enquiry for Gate Reviews

When a Gate is also an NTA Hold Point, the Partner organisation will notify the NTA that it is ready for a Gate review having satisfied itself that the Project has reached a level of maturity that it considers sufficient for moving to the next phase. In response, the NTA will, through a combination of analysis and informal discussion with the Partner organisation, set out its ‘lines of enquiry’ for the review to indicate the themes to be pursued during the process. These will reflect the Project’s scale, risk and complexity and specific requirements appropriate to the Phase under review. The NTA’s lines of enquiry will be communicated to the Partner organisation’s designated representative in order for them to begin preparing relevant papers for the review.

3.3 Gate Reviews

The Partner organisation is to hold an internal review of the deliverables for the Phase and prepare a Gate Review report considering the NTA’s Lines of Enquiry. When that has been prepared, if the Gate is an NTA Hold Point, the NTA and the Partner organisation’s representatives will hold a review meeting. The Partner organisation will provide a briefing and table copies for the NTA of the project deliverable documents and the Partner’s Gate Review report.

The deliverable documents to be provided are listed in Table 3.2.

The Gate Review report shall include but not be limited to:

- Current progress;
- Response to the NTA’s Lines of Enquiry for the Gate;
- Key project issues and risks and how they can be mitigated;
- The Partner’s reasoned recommendation (e.g. for the Gate to be passed).

Table 3.1: Summary of Phases, Gates and Hold Points in an NTA Project

<table>
<thead>
<tr>
<th>Project Phase</th>
<th>Title</th>
<th>Gate at end of phase</th>
<th>NTA Hold point</th>
</tr>
</thead>
<tbody>
<tr>
<td>Phase 0</td>
<td>Programme Overview and Requirement Definition</td>
<td>Approval in Principle</td>
<td>0 - Decision to commence Project</td>
</tr>
<tr>
<td>Phase 1</td>
<td>Scheme Concept and Feasibility</td>
<td>Gate 1</td>
<td>1 - Decide to initiate</td>
</tr>
<tr>
<td>Phase 2</td>
<td>Option Selection</td>
<td>Gate 2</td>
<td></td>
</tr>
<tr>
<td>Phase 3</td>
<td>Outline Design</td>
<td>Gate 3</td>
<td>2 - Decide to submit for Statutory Processes</td>
</tr>
<tr>
<td>Phase 4</td>
<td>Statutory Processes</td>
<td>Gate 4</td>
<td>3 - Decide to tender</td>
</tr>
<tr>
<td>Phase 5</td>
<td>Advanced Works and Prepare Procurement</td>
<td>Gate 5</td>
<td>4 - Decide to award main Contract</td>
</tr>
<tr>
<td>Phase 6</td>
<td>Construction and Implementation</td>
<td>Gate 6</td>
<td>5 - Final account</td>
</tr>
<tr>
<td>Phase 7</td>
<td>Close-out and Review</td>
<td>Post Project Review</td>
<td></td>
</tr>
<tr>
<td>Project Phase</td>
<td>Phase Description</td>
<td>Project Gate</td>
<td>Summary of Deliverables Required at end of Phase (to be tabled at Gate Review)</td>
</tr>
<tr>
<td>--------------</td>
<td>-------------------------------------------------------</td>
<td>----------------------</td>
<td>---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------</td>
</tr>
<tr>
<td>0</td>
<td>Programme Overview and Requirement Definition</td>
<td>Approval in Principle</td>
<td>➔ Project dossier of all work to date on the Scheme; ➔ Pre-feasibility report and requirements documents; ➔ Project Execution plan and Phase 1 budget</td>
</tr>
<tr>
<td>1</td>
<td>Scheme Concept and Feasibility</td>
<td>1 (NTA Hold Point)</td>
<td>➔ The Outline Project Brief; ➔ The initial Functional Specification; ➔ The feasibility level Project Schedule; ➔ The Project Execution Plan; ➔ The Scheme Feasibility Report, including Preliminary Business Case development; ➔ The Scheme Feasibility Working Cost estimate; ➔ The brief for Phase 2 and accompanying budget plan.</td>
</tr>
<tr>
<td>2</td>
<td>Option Selection</td>
<td>2</td>
<td>➔ Updates on Phase 1 Deliverables as appropriate; ➔ Consultation Plan; ➔ The Option Selection Report; ➔ Project appraisal report (project and option definition, option selection and appraisal); ➔ The brief for Phase 3 and accompanying budget plan.</td>
</tr>
<tr>
<td>3</td>
<td>Outline Design</td>
<td>3 (NTA Hold Point)</td>
<td>➔ A design report incorporating the results of design working papers and peer review of the Scheme; ➔ A procurement strategy report for the Scheme; ➔ The Scheme cost estimate report, with accompanying risk assessment, value management and peer review reports; ➔ The Detailed Business Case report; ➔ Preliminary Railway Order application documentation; ➔ The brief for Phase 4 and accompanying budget plan.</td>
</tr>
<tr>
<td>4</td>
<td>Statutory Processes</td>
<td>4 (NTA Hold Point)</td>
<td>➔ The finalised Statutory Approvals/Railway Order submission documentation; ➔ The granted consents and their terms; ➔ A review of any impacts those may have on the Scheme going forward; ➔ The updated Scheme cost estimate and Detailed Business Case, along with confirmation of the Scheme procurement strategy; ➔ If appropriate and agreed with the NTA, contracts ready to be signed for land acquisition and advance enabling works or supply contracts; ➔ A clear plan for undertaking Phase 5 (PEP updated) and associated budget plan.</td>
</tr>
<tr>
<td>5</td>
<td>Advanced Works and Prepare Procurement</td>
<td>5 (NTA Hold Point)</td>
<td>➔ Legal Strategy ➔ The Tender documents, with accompanying Peer Review Report; ➔ The Tender report; ➔ The post-Tender Total Scheme Budget; ➔ The post-Tender Project Appraisal and Final Business Case documentation; ➔ The brief for Phase 6 and the accompanying PEP and budget plan.</td>
</tr>
<tr>
<td>6</td>
<td>Construction and Implementation</td>
<td>6 (NTA Hold Point)</td>
<td>➔ Final Account report (on a contract by contract basis if necessary)</td>
</tr>
<tr>
<td>7</td>
<td>Close-out and Review</td>
<td>7 Post Project Review</td>
<td>➔ Post Completion Review report ➔ Post Project Review report</td>
</tr>
</tbody>
</table>
Following the meeting, the NTA will examine the Gate Review report along with the project deliverables submitted, and may at its discretion request to hold interviews and clarification sessions with Partner organisation representatives.

After completing its examination and once any clarifications have been provided by the Partner, the NTA’s representative(s) will meet with the Partner organisation’s representative(s) to advise whether the Gate has been passed and the project may proceed to the next phase, or whether it has not passed and a particular course of action should be pursued as a result. If the project has passed, the NTA may nevertheless specify requirements to be addressed in the next Phase as a condition of the Gate being passed. At the meeting the NTA will share with the Partner a draft of its proposed Gate review outcome notification which will be sent formally following the meeting. This will usually include release of funding for the subsequent Project Phase.

In the case of a Gate which is not an NTA Hold Point, the NTA will expect the Partner organisation to undertake the review without NTA involvement and only notify the NTA of its outcome and provide a copy of the Partner organisation’s Gate Review report once it is completed. If passed, notice of not less than two working weeks should be given to the NTA of the date when work on the next Phase is due to commence. If the NTA has any concerns regarding the process followed or the outcome reached, the NTA may, at its discretion, and within that two week period, require the Partner organisation to treat the review as an NTA Hold Point.

3.4 Relationship with the Project Appraisal Process

The DoF Guidelines require a Preliminary Appraisal to assess whether the project has sufficient merit to justify a full, detailed appraisal; a Detailed Appraisal to provide a basis for a decision on whether to drop or re-scope a project, or to approve it in principle; and a Post Project Review. The Detailed Appraisal is usually validated post-tender and forms the basis for the Final Business Case upon which the decision to implement is made. Programmes also require appraisal. The process is illustrated in Figure 3.1 below.

In terms of the NTA Project Life Cycle Phases, the Preliminary Appraisal, documented in the Preliminary Business Case, is a Phase 1 requirement. The Detailed Appraisal, documented in the Detailed Business Case and its Post Tender Validation, documented in the Final Business Case, are Phase 3 and 5 requirements respectively. The Post Project Review is a task for Phase 7.

In addition to the Department of Finance requirements, the NTA recommend that the Agency updates its programme and/or project appraisal at each project Gate. The DoT Common Appraisal Guidelines provide a framework for bringing together quantitative and qualitative benefits and costs which can be used throughout the project lifecycle.

3.5 Expected Gate Outputs

Each Gate will have an expected outputs in terms of findings from the review, follow up actions and priorities for the Partner organisation to follow for the next Phase. The outputs expected at each Gate are indicated in the following chapters of these Guidelines.

The NTA’s Gate approvals may define any key quality/output features and characteristics of the project that NTA seeks to achieve, future variation from which will be treated as a scope change. Further reference to what NTA will consider as scope change is included in Section 7.4.

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3 In practice, the Partner organisations and the Department of Transport have previously used the term Outline Business Case to refer to the Detailed Business Case, or an initial draft of the Detailed Business Case.
4. Phase 0: Programme Overview and Requirement Definition

4.1 Purpose of Phase 0
This Phase relates to the preliminary work required to initiate a Project. The purpose of this Phase is to ensure that the NTA and its Partner organisation sponsoring the Project are fully aligned on the business need to initiate the project, at the current time and in accordance with current strategic plans. This phase may be characterized by preliminary studies to establish an agreement in principle that a project should be developed in a certain way, to certain ends.

Many current public transport investment projects have been defined in broad terms as part of the National Development Plan or under the Transport 21 Capital Investment Framework. Further projects are being identified by the NTA as part of its ‘Towards 2030’ strategy planning initiative. Projects may also arise, subject to approval, as a result of requests from the Partner organisations for investment in specific infrastructure enhancements or major renewals. The NTA will undertake the initial assessment, with the support of the appropriate Partner organisation, and the initial filtering of projects. The NTA will advise the Partner organisation when it wishes to initiate a particular project for NTA funding.

This pre-Project Phase allows for the better definition of projects already identified for funding that the NTA wishes to move forward to implementation. Phase 0 enables each Project to be placed in the context of the wider investment programme such that its inter-dependencies and interfaces, opportunities and constraints, are fully identified. It is intended to firm up an initial assessment of the business requirement before major expenditure is committed in the establishment of a project team. It provides the locus for achieving full alignment between the NTA and its Partners in order that the development of the project may proceed in an agreed manner.

4.2 Key Phase 0 Activities
4.2.1 Assemble Information into Project Dossier
This Phase commences with a start-up meeting at which the NTA and its Partner organisation will pool all prior information and previous studies and appraisal work undertaken on the project in question. The NTA’s definition of the objectives and function the project is to serve as part of its strategic transport plan for the GDA will be tabled. The inter-dependencies with other projects and interfaces which the project will need to allow for and/or contribute to, and the constraints and opportunity the project would afford are also to be explored and captured in the notes of the meeting.

Following the meeting the Partner organisation will assemble the collected knowledge into an information dossier for the use of both parties. They will at the same time consider whether there are any major gaps in the dossier which require further pre-feasibility appraisal work as part of this Phase. Such further work, to be agreed with the NTA, shall be limited to that required to inform an Approval in Principle application to, and decision by, the NTA. The knowledge gained shall be added to the information dossier.

4.2.2 Prepare Pre-feasibility Report and Requirements Statement
The Partner organisation will be responsible for distilling from the information dossier a pre-feasibility report and a requirements statement in the form of a Project Brief (as per DoF CWMF Guideline GN 1.2) as a key input to Phase 1 of the Project. The Partner may also respond with its initial assessment of major issues related to scope and potential risks that may need to be mitigated.

4.2.3 Prepare Project Execution Plan and Funding Plan for Phase 1
The Partner will prepare a preliminary Project Execution Plan for Phase 1, including a preliminary resources plan so that, if required, any funding needs can be determined by the Partner and provisional funding arrangements can be agreed with the NTA.

4.3 Phase 0 Deliverables
There are three outputs from this phase of the Project:

- Project dossier containing all work undertaken to date on the Scheme;
- Pre-feasibility report and Project Brief;
- Project Execution Plan and provisional Phase 1 budget.

4.4 Approval-In-Principle
The required outcome of this Phase is that the NTA and the Partner share a preliminary understanding of the expected outcomes, timescales, costs and benefits of the Project, subject to more detailed concept development and feasibility work at the next Phase. The Partner organisation should also have a well developed plan for executing Phase 1 of the Project.

Key questions to be addressed by the NTA before granting Approval in Principle include:

- “Why do we want to do this now?”
- “Have we done sufficient preliminary analysis before embarking on this project?”
- “Are we sure that this project addresses strategic plans and business needs?”
- “What would happen if this project was not developed?”
If satisfied on the basis of the preparatory work, the NTA will be able to give its formal Approval-in-Principle that Phase 1 of the Project should commence.

4.5 Fast-Tracking

In the past, several Transport 21 capital investment framework projects have been fast tracked because of the need to meet published Transport 21 timescales. In an environment in which funding is heavily constrained, the NTA may need projects to progress through the consents process without advance knowledge of when procurement will be authorised; that may require waiting until funding becomes available. As a result, these Guidelines have been broadly written on the assumption that each Phase should be quite discrete and able to be progressed independently of any other Phase.

Nevertheless, there may still be times when projects, due to time constraints, need to be fast-tracked, and Phases overlapped. There may also be situations where a Partner organisation wishes to undertake work on different phases in parallel in order to optimise use of its own resources. Any decision to fast-track a project for either reason should generally be made in Phase 0, and NTA consent for that will be required. It is essential that careful thought is given to the processes that are appropriate for this approach before a Partner organisation embarks on fast-tracking a Scheme.

The NTA and Partner organisation shall also determine what special monitoring arrangements are required when it is agreed to fast-track a Project. This may require the appointment by the Partner of a dedicated fast-track Project Co-ordinator as suggested by DoF guidance.

Fast tracking does not mean that the discipline of analysis for the various phases is not carried out. It means a paralleling of processes with NTA Hold Points applied in an appropriate manner to the fast-tracked procedure.
5. Phase 1: Scheme Concept and Feasibility

5.1 Purpose of Phase 1
The purpose of Phase 1 is to confirm the need, develop the concept, and investigate the feasibility of undertaking a project in order to determine how it is to be scoped and delivered. The Project Management structure with supporting processes including the appointment of initial project resources should also be instigated.

In summary, this phase should include the following activities by the Partner organisation to ensure the Project is developed in a timely and efficient manner:

- Appoint a Programme Director or Project Manager and core resources;
- Outline the Scheme management structure (including role & responsibilities and initial stakeholder management plans);
- Confirm initial funding requirements;
- Agree reporting requirements;
- Develop a Functional Specification and set out the project schedule and objectives to progress the Scheme;
- Establish and maintain a Project Execution Plan (including initial Issues and Risk Management plans and an indicative procurement strategy);
- Undertake feasibility studies, including preparation of cost estimates; and
- Undertake a preliminary Project Appraisal.

5.2 Key Phase 1 Activities

5.2.1 Overview
With Phase 1 commencing on a project, the NTA and Partner organisation are only committed to this phase of development, and have not made the decision to commit the significant resources required for its full development. This phase is necessary to confirm technical and economic feasibility, establish the limits of the scope, the order of cost and the extent of benefits that can be obtained. This feasibility work will enable the Partner organisation and the NTA to decide whether to proceed further with the development of the Scheme.

In assessing the need for a particular Scheme, the NTA, as both strategic transport planning authority for the GDA and Sanctioning Authority, will have regard to the integration of the Scheme with other modes of public transport. The Partner organisation should liaise with the NTA in relation to meeting the DoT Common Appraisal Guidelines requirement that the Sponsoring Agency will examine other forms of transport as possible alternatives to the Scheme.

On some Schemes, depending upon the extent of previous work undertaken, the Partner organisation may be required to further establish the project need and define its scope by means of a Feasibility Study.

The Partner organisation should work with the NTA to determine the approximate Scope limits of the proposed Scheme. This will identify the physical parameters of the scheme (e.g. a route) and key features of the Scheme.

It will be necessary for the Partner organisation to continuously monitor the Scope of a Scheme throughout all phases of development via formal reporting mechanisms using its own project processes and procedures. The NTA will require to be kept informed of progress and the potential for significant changes to scope as soon as possible. Both the NTA and the Partner organisation will be concerned with the control of the Scope in terms of Cost, Time and Quality.

5.2.2 Scheme Management Structure
The Partner organisation shall appoint its own Programme Director or Project Manager and internal reporting organisation. The designated point of contact with the NTA is assumed to be the Programme Director or Project Manager, unless agreed otherwise.

The Partner organisation shall provide the NTA with details of the Project Team organisation, which shall clearly state details of:

- Names and job titles;
- A matrix of roles, responsibilities and accountabilities of the project team organisation;
- An initial list of key players, stakeholders who need to be informed of the project and supporting service providers who are involved with it.

The Partner organisation shall ensure that this information is kept updated. This document will form an important basis of project plans, stakeholder communications and consultation plans to be further developed in later phases.

5.2.3 Confirmation of Phase 1 Funding
Once the project management structure has been identified, the Partner organisation and the NTA will confirm the commitment to funding for this Phase. At this stage, a project name and project reference number will be made available so that all expenditure can be tracked in the Partner organisation’s management reporting system and monitored by the NTA.

5.2.4 Project Reporting
Once the Phase 1 funding arrangements have been agreed with the NTA, the Partner organisation shall be responsible for completing monthly expenditure reports in order that Scheme Grant allocation can be drawn down in a timely manner.
The Partner organisation shall also be responsible for establishing regular progress reporting to the NTA so that it is kept informed of project progress and, as required, a meetings schedule (detailed in Chapter 2 Engagement Structures).

5.2.5 Functional Specification and Project Schedule
At this stage the NTA also requires the Partner organisation to develop a functional specification in response to the Project Brief. The functional specification will set out not only what a system is supposed to accomplish but also how it is proposed that will be achieved. This will go into greater detail on elements of the project, particularly any systems, that are non-standard or that need to interface with other elements or systems of the existing or planned transport infrastructure. The functional specification is a valuable document telling the story of how the requirements set out in the Project Brief can be met and ensuring that any difficult issues are faced up to from the earliest stages of a project.

The Partner organisation shall prepare a Project Schedule for the Scheme in line with the objectives contained within the Project Brief. The Schedule shall confirm project targets and key deliverables for each project phase. The Schedule will also confirm key dates and milestones for:

- The start and finish of each phase of the project;
- Key enabling activities to support deliverables;
- If necessary, variations to the sequencing of project phases, if the NTA agrees that not all phases of development need to be followed or a project can be fast tracked;
- The initial determination of Project Gates and review points (following NTA input);
- Key funding or hold points (e.g. contract award).

The Partner organisation shall prepare the Project Programme with regard to the NTA’s strategic investment plan requirements. The Project Schedule will need to be updated on a regular basis and will form part of the Project Brief and Project Execution Plan.

5.2.6 Project Execution Plan
The purpose of the Project Execution Plan (PEP) is to provide a core project management document which can monitor the Scope of the Scheme with regard to expenditure and compliance to standards and policy. The Partner organisation shall comply with the DoF CWMF Guideline GN 1.1 which defines a typical PEP as covering:

- A project description;
- Project cost plan and cost management procedures;
- Programme management;
- Performance management plan;
- Safety and environmental issues;
- Risks and sensitivity analysis;
- Roles, responsibilities and authorities;
- Contracting and procurement;
- Administration systems and procedures;
- Project control and assurance;
- Project evaluation.

The Project Execution Plan shall be developed and maintained by the Partner organisation and subject to review by the NTA as appropriate. The NTA will be particularly interested in the management and governance arrangements and the indicative procurement strategy that is proposed.

5.2.7 Feasibility Study and Working Cost Estimate
The Partner organisation shall commission feasibility studies as required to establish the quantitative and cost aspects of the project and confirming the financial and economic appraisal of the Scheme. This information needs to be in a sufficient level of detail to enable a final and reasoned decision to be made on whether or not to proceed. To inform this decision, a Feasibility Working Cost (FWC) shall be prepared for the Scheme, taking account of the stage of development the Scheme has reached. The FWC shall be compliant with DoF CWMF Guidance Notes GN 1.1 and GN 1.3.

5.2.8 Preliminary Project Appraisal
A preliminary project appraisal will be undertaken, in accordance with the DoF Guidelines and the DoT Common Appraisal Guidelines. The aim is to assess whether the project merits a more detailed appraisal. It will be reported in the form of a Preliminary Business Case. (Where for Transport 21 projects this appraisal is deemed already to have been completed by the fact of their inclusion in the T21 programme, such data that contributed to the assembly of the T21 programme will already have been captured in the Phase 0 project dossier. If that is the case then the relevant data can be cross referenced and updated.)

5.2.9 Phase 2 Brief and Plan
The Partner organisation shall prepare a brief for the tasks to be undertaken in Phase 2 and a costed plan for that phase.
5.3 Phase 1 Deliverables

The key project deliverables from Phase 1 are:

- The initial Functional Specification;
- The feasibility level Project Schedule;
- The Project Execution Plan;
- The Scheme Feasibility Report;
- The Preliminary Business Case;
- The Scheme Feasibility Working Cost estimate;
- The brief for Phase 2 and accompanying budget plan.

5.4 THE GATE 1 REVIEW

5.4.1 Overview

The Gate 1 review will be conducted as set out in Chapter 3. Gate 1 and its associated Hold Point has particular significance as it signals whether the NTA is prepared to commit to fund the project beyond this initial phase. The Gate 1 review is intended to have the following outcomes:

- Approval of the project scoping and feasibility stage (pre-route/option phase);
- A clear statement of the outputs the project is expected to deliver;
- A clear understanding and agreement that the project is feasible, well scoped and the key outline risks and issues are identified;
- An initial understanding of the cost of the project;
- An agreed budget for the next phase.

5.4.2 Lines of Enquiry for the Gate 1 Review

The lines of the enquiry that will be developed by the NTA for the Gate 1 Review through a combination of analysis and discussion with the Project Team will include the following themes related to the feasibility of the Project:

- “Are we clear about major project constraints and risks?”
- “Are we sure that this project still addresses strategic plans and business needs, and is the appraisal still looking sufficiently positive?”
- “Are we satisfied that the project has been developed to the level to be expected for this phase of its development?”
- “Is the scope well defined?”
- “Are we satisfied that the project management and governance arrangements put in place are sufficiently robust?”
- “Are we content that the indicative procurement strategy proposed is appropriate?”

5.4.3 The Gate 1 Review Process

As indicated in Chapter 3 of these Guidelines, the NTA will meet with the Partner to be briefed and provided with copies of:

- The project deliverables as indicated in Section 5.3;
- The Partner organisation’s internal Gate Review Report;
- Plans for Phase 2 (the PEP and budget).

The NTA will examine the submitted material. Additional meetings may be required or clarifications requested. Once sufficient clarity is obtained, the NTA and Partner organisation will then meet to discuss the NTA’s Gate Review decision. If the Gate is declared as passed, the project will proceed to the next phase.

5.4.4 Expected Gate 1 Outputs

If the Gate 1 review has been successfully passed through, and the NTA Hold Point has been released, the following outputs are expected:

- Acceptance of the Phase 1 project deliverables;
- Agreement of the PEP for the next phase;
- Confirmation of any conditions applying to the next phase, including limitations on the Partner’s authority (e.g. to change scope, key milestones);
- Release of further funding for the Phase 2;
- Update to key project documentation such as the project brief and cost information.

Phase 1 will then be regarded as concluded by the NTA and authority to proceed to Phase 2 will be formally granted.
6. Phase 2: Option Selection

6.1 Purpose of Phase 2

All public transport investment projects involve making choices, whether between alternative modes, technologies, routes, stop locations, or other features of a Scheme. It is essential that selected options meet transportation demand and business need, can gain statutory approval and, as far as possible, align with stakeholder requirements. The purpose of Phase 2 is to assess the more significant options for the various features that make up the Scheme and, through applying a robust and systematic selection process, to determine a preferred solution which will fulfil the Project Brief.

This phase requires the Partner organisation to undertake option development and initial appraisal of options compared to a baseline. Regardless of the type of scheme, the baseline will either be a ‘Do Nothing’ or a ‘Do Minimum’ scenario. That then forms the basis against which the ‘Do Something’ options are assessed. The Partners should select and define the Base Case and Options in accordance with the DoT’s Common Appraisal Guidelines, and any additional guidelines issued by the NTA. Notably, Partners should consider if there are management, rather than investment, options to achieve the same outcome, or whether the outcome can be achieved incrementally. Integration issues may need to be considered, either between packages at the project level, between projects at a programme level, or with other organisations.

The Gate at the end of this Phase is not an NTA Hold Point and so the Partner organisation will be expected to take full responsibility for the Gate 2 Review.

6.2 Key Phase 2 Activities

6.2.1 Overview

The main activities of this phase are to:

- Identify the baseline case;
- Complete sufficient preliminary investigations (traffic, ground, topographical, archaeological, etc surveys and environmental scoping) to inform this Phase;
- Develop options and identify key constraints relevant to them;
- Identify requirements for stakeholder and, possibly, public consultation related to the planning of shortlisted options;
- Assess the options against the baseline to select a preferred option;
- Undertake an appraisal of the preferred option;
- Prepare a brief for Phase 3 and accompanying budget plan

6.2.2 Use of Partner Organisation Processes

Where NTA funding is provided, the NTA will expect that the level of project set up is appropriate to the scale of the required activity. To that end it may seek details similar to those required of the Partner organisation for Phase 1 (see Section 5.2.2).

The NTA will also wish to be assured that the options identification and sifting process complies with the DoT Common Appraisal Guidelines and any further guidelines issued by the NTA relating to project appraisal.

6.2.3 Public Consultation

On projects involving, for example, route selection, there may be a requirement for public consultation as part of the option assessment process. The Partners should notify the NTA, and submit a Consultation Plan covering public, statutory and stakeholder consultation strategies, before making any form of public announcement in relation to options. The NTA will retain the option of contributing feedback as part of the consultation process and will expect to be briefed on the outcome.

6.2.4 Statutory Consultation and Stakeholder Liaison

When there is a requirement for the Partner organisation to notify or consult statutory bodies, business or community organisations or members of the public affected (e.g. landowners, including regarding statutory processes and timescales), the NTA will require advance information of this and will retain the option of contributing feedback as part of the consultation process and will expect to be briefed on the outcome. The Partners shall include the project statutory consultation and stakeholder liaison plans in the Consultation Plan.

6.2.5 Project Appraisal Requirements

Phase 2 marks the start of the detailed project appraisal. The project base case and option selection, definition, comparative evaluation and initial appraisal of the preferred scheme are critical activities underpinning the ultimate detailed business case for the preferred Scheme. Consequently, the Partner organisation will ensure that a Phase 2 Project Appraisal Report is prepared which documents those activities and demonstrates that there continues to be merit in the project. This report will also form a key part of the Detailed Business Case to be developed in Phase 3.
6.3 PHASE 2 DELIVERABLES

The key project deliverables from Phase 2 are:

- Updates on Phase 1 Deliverables as appropriate;
- Consultation Plan
- The Option Selection Report;
- Project Appraisal Report (project and option
  definition, option selection and appraisal);
- The brief for Phase 3 and accompanying budget plan.

6.4 THE GATE 2 REVIEW

6.4.1 Overview

Gate 2, while not an NTA Hold Point, is important in that it commits the Partner organisation to a preferred option. The Partner needs to be satisfied that the preferred option is the best option to meet the Project Brief as well as economic, environmental and policy requirements.

The Gate 2 review is intended to have the following outcomes:

- Approval of the preferred option as the best option;
- Confirmation that the Project Appraisal process has been rigorous and supports the selection;
- Confirmation that a clear plan exists for the progression into phase 3.

6.4.2 Lines of Enquiry for the Gate 2 Review

The lines of the enquiry developed by the Partner organisation for the Gate Review should aim to address a number of key questions. The Partner organisation shall satisfy itself that the Project has reached a sufficient level of development, prior to the start of the Gate Review 2, in relation to the following themes related to the Options phase of the Project:

- “Are we satisfied that the preferred option is the best option?”
- “Is the Project Appraisal sufficiently developed for this Phase?”
- “Are we satisfied that Do Nothing or Do Minimum is correctly ruled in or out?”
- “Are we clear about treatment of major constraints and risks?”
- “Are we sure that this project still addresses strategic plans and business needs?”
- “Is there evidence of a clear, well developed strategy and plan to proceed to the next phase?”

6.4.3 The Gate 2 Review Process

As this is not an NTA Hold Point, as indicated in Section 3.3, the NTA will expect the Partner organisation to undertake the Gate 2 review without NTA involvement and only notify the NTA of its outcome. However, the Partner organisation shall provide the NTA with a briefing at which it provides the NTA with copies of:

- The Partner organisation’s internal Gate Review Report;
- Plans for Phase 3 (the PEP and budget).

If the Gate Review has been passed the Partner should give formal notice to that effect at the meeting. As indicated in Chapter 3, if the NTA requires the Partner organisation to treat the review as an NTA Hold Point it will advise the Partner within two working weeks. Otherwise the Gate will be deemed passed.

6.4.4 Expected Gate 2 Outputs

If the Gate 2 review has been successfully passed through, the following outputs are expected:

- Validation of the Phase 2 project deliverables;
- Endorsement of the preferred option;
- Update to key project documentation e.g. project brief and project appraisal;
- Advanced preparation for Phase 3 project deliverables e.g. identification of early design requirements and budget agreement.

The NTA will also release agreed funding for Phase 3.
7. Phase 3: Outline Design

7.1 Purpose of Phase 3

The purpose of Phase 3 is two twofold:

- Firstly, this is when the Partner organisation develops an outline design, following the selection of a preferred option, to a stage where there is sufficient detail to establish land-take requirements (if applicable), broad environmental impacts (including archaeology and built heritage) and a Scheme cost estimate.

- Secondly, having completed the outline design and Scheme cost estimate, the Partner then is able to develop the Detailed Business Case ready for submission to the NTA and approval at Gate 3 which is an NTA Hold Point.

To inform this Phase's design work it is axiomatic that sufficient preliminary work should also be undertaken on the preparation of the Environmental Impact Statement and the Railway Order application. This will allow for the natural iterations that are required in developing the design.

7.2 KEY PHASE 3 ACTIVITIES

7.2.1 Overview

The main activities of this Phase are to:

- Establish what consents are applicable to the Scheme in question, and what activities are required in order to achieve those consents; hold pre-application consultations (e.g. with An Bord Pleanála or as appropriate);

- Complete any outstanding mapping, surveys, archaeological assessments and ground investigation works or such other investigations as may be required to obtain detailed base data for the design or specification of the type of Scheme in question;

- Undertake the outline design or, for systems, develop technical requirements specifications, of all elements of the public transport system (including, for instance, permanent way, stops and stations, other fixed infrastructure such as depots and sidings, stabling yards, control buildings, electrification, signalling and control systems and rolling stock);

- This implies that the Partner organisation will at this point (unless letting a single contract is possible and preferable) also propose a detailed contracting and procurement strategy, setting out the work packages into which the Scheme will be split so that the design and specification work can be split in a similar manner;

- This further implies that the Partner will at this stage consider the implications for its own resourcing in acting as integrator of the Scheme, or prepare plans to sub-let that task.

Having completed the outline design, further activities follow:

- Determine the extent of land required (to be referenced in Phase 4, for later compulsory purchase);

- Identify the advance enabling works or supply contracts required and other advance preparations;

- Confirm the scope and undertake at least preliminary environmental and other assessments required for the statutory processes (steps which, if required, may be finalised in Phase 4);

- Prepare the Scheme cost estimate (including land costs);

- Update the Phase 2 appraisal and prepare the Detailed Business Case; and

- Plan the remaining activities of Phase 4, and a budget plan.

7.2.2 Use of Partner Organisation Processes

The NTA does not intend to particularly examine the Partner organisation's detailed project arrangements for this Phase, but will expect that the level of project set up is appropriate to the scale of the required activity. To that end it may seek details similar to those required of the Partner organisation for Phase 1 (see Section 5.2.2).

7.2.3 NTA to be Notified of Activities

When mapping, survey, archaeological and ground investigative work is undertaken, the Partner organisation shall keep the NTA informed on the progress of intrusive activities affecting landowners and the public. The Partner organisation shall ensure that the NTA is consulted on public communications and issues arising and remains fully briefed regarding any potential implications for land acquisition, associated compensation costs and potential risks to overall budget and schedule.

7.3 Development of the Design

The Partner organisation shall keep the NTA informed during the preparation of the design in particular in respect of the following, where they are applicable:

- Planning control (protection of any preferred route corridor);

- Stakeholder management with landowners/members of the public;

- Approvals and consents;

- Interactions with An Bord Pleanála;

- Interactions with the Office of Public Works (OPW) and other statutory authorities regarding planning and consents;

- Interactions with Local Authorities;
Interaction with the Railway Safety Commission:

Interfaces with other transport providers including other Partner organisations of the NTA;

Other such activities and relationships with other 3rd parties such as utilities companies.

The NTA regards the demonstration of a Peer Review Group assessment of the Design Working Papers as not only following good practice but also reducing risk and the potential for delay in obtaining any Statutory Approvals at the next phase. Furthermore, the NTA is prepared to accept a Peer Review Group assessment as a major part of the Gate 3 Review Process.

7.4 Control of Scope

The Partner organisation will be responsible for developing the outline design in accordance with the requirements of the Project Brief. Any proposed changes to the Project Brief, and any discretionary changes of scope that imply changes in the outputs, increased costs or delays to the schedule that exceed thresholds given below, or suggest potential changes in interfaces with other NTA funded infrastructure projects or existing subsidised public transport services, or have been identified as indicated at Section 3.5 above, shall only be implemented with the approval of the NTA.

The cost threshold applied from Phase 1 through until the TC1 estimate is determined and agreed at Gate 3 will be 5% of the overall capital cost, and after that Gate the threshold applied will be 0.5% of the overall capital cost, or such other figure as may be determined at a Gate review by the NTA. The schedule threshold will be three months up to Gate 3, and after that Gate one month for every twelve months of the project’s construction/implementation duration, or such other period as determined at a Gate review by the NTA.

The Partner organisation shall also keep the NTA informed of major issues and risks and their mitigation and management.

7.5 Scheme Cost Estimate

7.5.1 Overview

As the outline design of the preferred option is developed, the Partner organisation shall produce a Scheme cost estimate. The Scheme cost estimate comprises all costs that can be projected will be incurred in realizing the deliverables (including VAT where applicable) for the Scheme, from commencement of the overall project planning phase through to completion and close out. The Scheme cost estimate will be developed in two stages: a Scheme Base Cost, and then an Outline Scheme Target Cost (TC1). The Partner organisation shall arrange for an independent Peer Review of all of the elements making up the TC1 estimate.

7.5.2 Scheme Base Cost

In the absence of a tender or contract amount, the Partner organisation shall ensure a Scheme Base Cost is ascertained by the preparation of a point estimate which shall exclude provision for risk and inflation. This Scheme Base Cost shall be the best estimate of the final outturn cost of the scheme at current rates and prices for the scope of works as is known at the date of estimate preparation.

The outline Scheme Base Cost shall be based on the point estimate (with a stated level of confidence expressed as a probability percentage) for each of the principal cost headings related to:

- Planning and design;
- Archaeology (if applicable);
- Advanced works contracts (if applicable);
- Main construction and other main supply (e.g. systems and rolling stock) contracts;
- Direct works to be undertaken by the Partner organisation;
- Contract supervision;
- Land and Property (if applicable);
- Project management;
- Partner costs including integration costs (if applicable);
- Other Third Party costs (if applicable).

The outline Scheme Base Cost will be reviewed further in Phase 4 when cost estimates are finalised.

7.5.3 Outline Scheme Target Cost (TC1)

The Partner organisation shall prepare the Outline Scheme Target Cost (TC1) which will comprise the outline Scheme Base Cost and provisions for:

- An allowance for inflation,
- An assessment of Contractor’s risk, and
- A provision for contingency, to cover the Employer’s risk.

The Contractor’s risk can be determined by quantified risk assessment techniques, based on an understanding of known risks captured in workshops, and the DoF CWMF contract conditions.

The Employer’s risks are more likely to be unknown, as if they were known they should be investigated by the Partner organisation and, where it would be appropriate
in value for money and practical terms, transferred to the Contractor with sufficient information for him to price the risk. So for the Employer’s risk, in addition to known, quantified risks that are not transferred to the Contractor for sound reasons, a percentage contingency will need to be assigned for unknown risks based on experience of similar projects.

Such inflation, risk and contingency provisions shall be subject to NTA review and agreement and the overall Outline Scheme Target Cost (TC1) to which the Partner organisation is to work shall also be approved by the NTA as part of the Gate 3 review.

7.5.4 Risk Identification, Mitigation and Management
The Partner organisation shall ensure that risk assessments and reviews are taking place and that key risks have been identified with an assessment of likely impacts and required mitigations. The Partner organisation shall inform the NTA of the results of these reviews and provide updates on the management of Top Risks as part of the regular reporting process. A risk management report should also be appended to the Scheme cost estimate report. The Partner organisation should ensure that any impact of risk mitigation on Scheme scope, benefits or outputs is analysed and reported to the NTA.

7.5.5 Value Management
The Partner organisation shall ensure that value management processes are being applied and that the results of this are explicitly reflected in the costs reported at this Phase. A value management report should be appended to the Scheme cost estimate report. The Partner organisation also should ensure that any impacts on the Scheme benefits or outputs as a result of the value management process are taken into account, and reported to the NTA.

7.6 Whole Life Cost Estimate
In addition to preparing capital cost estimates for a project, in order to prepare the project appraisal it will also be necessary to establish whole life cost estimates for the project in accordance with the requirements of the DoT Capital Appraisal Guidelines. These will need to include projections of operating, maintenance and renewal costs for the period of the appraisal.

7.7 Project Appraisal
During Phase 3, the Phase 2 project appraisal will be updated and refined to reflect the more detailed cost estimate and risk assessment developed during the Outline Design process. The project benefits, disbenefits, impacts and objectives achievement will also be updated to reflect any changes in the Scheme or its outputs. Detailed quantitative analysis will be undertaken during this Phase. This, and all appraisal activities, will reflect the DoT Common Appraisal Guidelines and any additional guidelines that may be produced by the NTA.

The Partner organisation shall ensure that a Detailed Business Case report will be produced at the end of Phase 3. This is a key deliverable. In accordance with the DoT Common Appraisal Guidelines, the report will include the option selection and assessment tasks undertaken in Phase 2.

7.8 Phase 3 Deliverables
The key deliverables from Phase 3 are:

→ A design report incorporating the results of design working papers and peer review of the Scheme;
→ A procurement strategy report for the Scheme;
→ The Scheme cost estimate report, with accompanying risk assessment, value management and Peer Review reports;
→ The Detailed Business Case report;
→ Preliminary Railway Order application documentation;
→ The brief for Phase 4 and accompanying budget plan.

7.9 The Gate 3 Review
7.9.1 Overview
The Gate 3 review will be conducted as set out in Chapter 3. Passing Gate 3 signifies the commitment to a Scheme based on a developed outline design, a cost estimate and a detailed business case. Gate 3 is also the second ‘Hold Point’, which is approval to prepare for and submit an application for statutory approval (e.g. a Railway Order). However, the NTA needs to be satisfied that the Scheme is sufficiently developed before giving approval to proceed through to Phase 4.

The Gate 3 review is intended to have the following outcomes:

→ Approval of the Phase 3 deliverables;
→ Confirmation that a clear plan exists for the progression into the next phase;
→ Confirmation that the NTA wishes to proceed at this time including express approval prior to submitting formal applications for Statutory Approvals including Railway Orders.

7.9.2 Lines of Enquiry for the Gate 3 Review
The lines of the enquiry that will be developed by the NTA for the Gate 3 review through a combination of analysis and discussion with the Project Team will include the following themes related to the development of the Project:
“Are we satisfied that the design has been developed to the required level?”

“Do the preliminary Railway Order documents reflect a reasonably mature understanding of issues and sensitivities that are likely to be of importance in the consent process?”

“Are we clear about management of major issues and risks?”

“Is the proposed procurement strategy considered robust and suitable and consistent with DoF CWMF requirements?”

“Are we sure from the Scheme cost estimate and the outline business case that the project still addresses strategic plans and business needs, and fits within the funding envelopes?”

“Is there evidence of a clear, well developed procurement strategy and plan to proceed to the next phase?”

7.9.3 The Gate 3 Review Process
As indicated in Chapter 3 of these Guidelines, the NTA will meet with the Partner to be briefed and provided with copies of:

- The project deliverables as indicated in Section 7.6 above;
- The Partner organisation’s internal Gate Review Report;
- Plans for Phase 4 (particularly related to the Statutory Approvals submission) and including the PEP and budget)

The NTA will examine the submitted material. Additional meetings may be required or clarifications requested. Once sufficient clarity is obtained, the NTA and Partner organisation will then meet to discuss the NTA’s Gate review decision. If the Gate is declared as passed, the project will proceed to the next phase.

7.9.4 Expected Gate 3 Outputs
If the Gate 3 review has been successfully passed, the following outputs are expected:

- Validation of the Phase 3 project deliverables;
- Endorsement of the procurement strategy proposed;
- Endorsement of the decision to proceed with an application for the appropriate statutory approvals;
- Agreement to the plans for the next stage of work.

The NTA will also release agreed funding for Phase 4.
8. Phase 4: Statutory Processes

8.1 Purpose of Phase 4

The purpose of this Phase is for the Partner organisation to finalise the submission of the Railway Order application and/or other statutory approvals for a Scheme (including the Environmental Impact Statement and other required statements), provide inputs during the proceedings including any Oral Hearing, and achieve award of the Railway Order and/or other powers required to implement the Scheme. Not all projects will require statutory approval.

At the same time, the Partner organisation should be making preparations for advance enabling works or supply contracts to be let at the conclusion of this Phase. In addition, outline design for the main Scheme may be progressed to a more detailed level to allow enabling works to be designed – but parallel working in this way for use only in subsequent stages would be treated as Fast Tracking and need to be approved in advance by the NTA.

8.2 Key Phase 4 Activities

8.2.1 Use of Partner Organisation Processes

The NTA does not intend to particularly examine the Partner organisation’s detailed project arrangements for this Phase but will expect that the level of project set up is appropriate to the scale of the required activity. To that end it may seek details similar to those required of the Partner organisation for Phase 1 (see Section 5.2.2).

8.2.2 NTA to be Notified of Activities

As required in Section 7.2.3 above the Partner organisation shall continue to ensure that the NTA is consulted on public communications and issues arising, and remains fully briefed regarding any potential implications for land acquisition, associated compensation costs and potential risks to overall budget and schedule.

The NTA will wish to be assured that the Partner organisation responsible for the statutory processes is taking reasonable steps to accommodate stakeholder needs while keeping costs to the minimum and without adversely affecting the business case for the Scheme. It will also wish to be assured that the Partner is mitigating and managing its risks through the consenting process to the maximum extent reasonably possible.

The NTA will wish to be kept informed of progress and issues around the advance enabling works and supply contracts and land acquisition, and be consulted on whether these are to be progressed rapidly for an early start to construction once the consent is achieved, or whether the project funding situation means that these activities should be deferred.

8.2.3 Approval to Submit Application

Some of the pre-application activities that are likely to be undertaken in this Phase could affect the Scheme design, its costs and hence its appraisal. These include the assessment of environmental impacts, with the potential for that to lead to mitigation works being proposed to bring the severity of impacts to an acceptable level, and hence the final assessment of land costs.

Where a Scheme does not depart significantly from the outline design which was validated at Gate 3 (and on which a decision to proceed with an application for Statutory Approvals was based), then no further approval will be required. However, where the design, or its costs and business case has changed in any significant way the Partner organisation shall consult with the NTA and obtain express approval prior to submitting any documents as part of the formal application process for Statutory Approvals including Railway Orders.

8.2.4 Review of Consent Achieved

On the assumption that the application for a statutory order is successful, there are likely to be commitments made in the run-up to the Oral Hearing and conditions imposed on the consent that could affect the Scheme outputs, costs and schedule and hence the business case.

The Partner organisation should as soon as practicable after the terms of the consent are known, review the impacts and prepare a brief report of any significant issues. The Partner organisation shall also update all modelling results and the Detailed Business Case to reflect the latest position, and before the Gate 4 review takes place.

The Partner organisation shall also reconfirm the procurement strategy and contract packaging plans assumed at Stage 3.

8.2.5 Update of Scheme Target Cost (TC2) and Project Appraisal

The Partner organisation shall ensure that the Scheme Base Cost estimate is updated to reflect changes made in this Phase, either pre application or post award as a result of any conditions imposed in the Railway Order or other consent, and that an updated Target Cost 2 (TC2) is prepared. The Partner organisation shall also ensure that any material changes to the Scheme or its costs as a result of the work of this Phase, are reflected in an update of the Detailed Business Case.

8.2.6 Other Activities

The procurement strategy set out at Phase 3 shall be reviewed and confirmed. Where appropriate and agreed following consultation with the NTA, the Partner organisation shall prepare contracts for land acquisition and have any advance works or supply contracts tendered ready for approval of award at the Phase 4 Gate review. The detailed plans for Phase 5 shall be prepared, including an updated PEP, and associated budget plan.
8.3 Phase 4 Deliverables
The key deliverables from Phase 4, in sequence, are:

- The finalised Statutory Approvals /Railway Order submission documentation;
- The granted consents and their terms;
- A review of any impacts those may have on the Scheme going forward;
- The updated Scheme cost estimate and Detailed Business Case, along with confirmation of the Scheme procurement strategy;
- If appropriate and agreed with the NTA, contracts ready to be signed for land acquisition and for advance enabling works and supply contracts;
- A clear plan for undertaking Phase 5 (PEP updated) and associated budget plan.

8.4 The Gate 4 Review

8.4.1 Overview
Gate 4 will be timed for when the outcome of the statutory processes are known. The Gate is an NTA Hold Point in that passing it signifies the commitment to start preparations for the procurement of major construction and supply contracts.

8.4.2 Lines of Enquiry for the Gate 4 Review
The lines of the enquiry that will be developed by the NTA for the Gate 4 review through a combination of analysis and discussion with the Project Team will include the following themes related to the development of the Project:

- "Are we clear that the outcome of the statutory processes has not affected the business case negatively?"
- "Are we clear that major risks have been or are capable of being satisfactorily mitigated?"
- "Is there funding available to proceed with the construction works."
- "Is there a suitably robust plan for the undertaking the next phase?"

8.4.3 The Gate 4 Review Process
As indicated in Chapter 3, the NTA will meet with the Partner to be briefed and provided with copies of:

- The project deliverables indicated in Section 8.3 above;
- The Partner organisation's internal Gate Review Report;
- Plans for Phase 5 (including the PEP and budget)

The NTA will examine the submitted material. Additional meetings may be required or clarifications requested. Once sufficient clarity is obtained, the NTA and Partner organisation will then meet to discuss the NTA’s Gate Review decision. If the Gate is declared as passed, the project will proceed to the next phase.

8.4.4 Expected Gate 4 Outputs
If the Gate 5 review has been successfully passed, and subject to funding for construction being available, the following outputs are expected:

- Validation of the Phase 4 project deliverables;
- Endorsement of the decision to proceed to enter into advance enabling works or supply contracts and authority to proceed to acquire land in accordance with the Railway Order;
- Agreement to the plans for the next stage of work.

The NTA will also release agreed funding for Phase 5.
9.1 Purpose of Phase 5
The purpose of Phase 5 is the letting and supervision of any authorised advance enabling works or supply contracts; the preparation of further designs and specifications for the main works and the remaining supply contracts; and the preparation of the tender documentation, and tender processes up to readiness to award the main works and supply contracts, including any planned works orders to be placed with the Partner organisations' specialist/direct works divisions.

If so directed by the NTA, the Partner organisation may proceed only with the design and specification work and the preparation of tender documentation, the remaining activities being deferred until funding to award advance enabling works /supply contracts and main works/main supply contracts is available.

9.2 Key Phase 5 Activities

9.2.1 Overview
This phase represents mobilization towards procurement and delivery of the scheme. While the provisions set out in these Guidelines are primarily for schemes involving the development of an asset requiring land-take, other assets or systems schemes may not have the same requirements in terms of consultation, land and stakeholder issues. Where steps may be omitted, an “if applicable” statement is provided at the start of the relevant sub-section.

The key activities of Phase 5 include:

- Tender processes up to preparation of report on tenders, approval by the Partner organisation’s Board and readiness to award contracts subject to the NTA’s Gate 5 approval.

9.2.2 Use of Partner Organisation Processes
The NTA will require that the level of project set up is appropriate to the scale of the required activity. To that end it will seek details similar to those required of the Partner organisation for the main contract (see Section 10.2.2).

9.2.3 Land Acquisition
Approval to proceed with land acquisition was a Gate 4 Hold Point so the Partner organisation is able to proceed to serve “Notices to Treat” (i.e. taking possession and paying compensation), but should keep the NTA informed. The Partner organisation will be responsible for preparation and publication of Confirmation notices.

9.2.4 Advance Enabling Works and Supply Contracts
Advance enabling works and supply contracts was a Gate 4 Hold Point so the Partner organisation is able to proceed to let these contracts.

9.2.5 NTA to be Notified of Progress
The NTA should be kept informed of progress on, and issues relating to, the design and specification development, value engineering and value management, the updating of the risk assessment, the Scheme cost estimate, including an updated Target Cost (TC2), and the business case. TC2 is the pre-tender cost estimate following inclusion of the results of the statutory approval process and the allowance for any risk provision retained and not passed on to the Contractor.

It should be noted that post-tender the Target Cost will be updated to TC3 and the business case further updated. These versions shall be reviewed and approved by the NTA at Gate 5. The Partner organisation shall ensure that the Scheme Final Business Case with any other revisions to cost, scope or schedule are consolidated and that updated reports are submitted to the NTA for approval at Gate 5.

9.2.6 Tender Documents Preparation
The contracting strategy, including the contracting packaging appropriate for the different project elements and the most suitable contract forms for each contract should have been identified in an earlier phase. However, during this Phase these arrangements need to be confirmed and finalised to allow the preparations for the procurements to proceed.

During the development of the tender documents, the Partner organisation shall ensure compliance with the DoF CWMF Guidelines, including but not limited to:
GN 1.4 Procurement & Contract Strategy for Public Works Contracts;
GN 1.5 Public Works Contract;
GN 2.3 Procurement Process for Works Contracts.

9.2.7 Peer Review and Approval of Tender Documents
The Partner organisation shall arrange for a peer review of the draft tender documents. The Partner organisation shall ensure that following any requested revisions, the documentation is formally signed off in accordance with Partner organisation processes.

The NTA will not generally require sight of the tender documents before they are issued to tenderers, this being an internal matter for the Partner organisation. The NTA will have consented to the tenders being sought at Gate 4. However, the NTA will require the Partner’s confirmation at Gate 5 that they are in compliance with DoF CWMF Guidelines.

9.2.8 Tender Process
The Partner organisation shall complete the pre-qualification suitability assessment questionnaire / Instructions to Tenderers prior to publishing the Invitation to Tender/Expressions of Interest.

If applicable, the PIN and Contract Notices shall be posted on the Official Journal of the European Union (OJEU) via the government procurement website (www.etenders.gov.ie). The Partner organisation shall consult in advance with the NTA on whether the Prior Information Notice should be published as it may in certain circumstances reduce the Tender Period. The PIN Notice may also be published prior to commencement of the Tender process, subject to consultation with the NTA. Publishing guidance including Common Procurement Vocabulary (CPV) Codes, EU Thresholds and OJEU Forms are also provided on the e-tenders website.

If the procurement is by a 2-stage process, the Partner organisation shall then undertake the pre-qualification process according to the Partner organisation's procurement processes and produce a shortlist of contractors to proceed to Stage 2. Once the Stage 2 tenders have been returned and the evaluation process undertaken following the Partner’s procurement processes, the Partner organisation shall prepare a tender report, summarizing the tender processes and making formal recommendation on the appointment of tenderers for the main contracts.

The Partner organisation shall ensure that it has appropriate legal expertise available to it in preparing for and undertaking procurement and shall inform the NTA of its legal strategy – essentially its analysis of, and plan to avoid, potential legal pitfalls in the procurement process.

9.2.9 Updated Target Cost (TC3)
An updated Target Cost 3 (TC3) shall be prepared taking account of the Contract Sums for the main contracts and any changes to base costs for other headings in the Scheme Base Cost (e.g. land & property). The Partner organisation shall arrange for an updated independent Peer Review of all of the elements making up the TC3 estimate.

9.2.10 Project Appraisal
The Partner organisation shall ensure that the project appraisal is updated with the pre-tender cost estimate, risk assessment and any changes to the scheme impacts, benefits or outputs.

Post-tender, the Partner organisation shall ensure that the project appraisal is validated and updated, in accordance with DoF and DoT guidance, to reflect the results of the tendering process. The outcome will be reported in the Final Business Case report.

9.2.11 Approval for Contract Award
In order to proceed with the award of the main works or supply contracts, it will be necessary to obtain the written approval of the NTA. This will be obtained through the Gate 5 review process which will need to have been successfully passed.

9.3 Phase 5 Deliverables
The key deliverables from Phase 5 are:
- The legal strategy regarding procurement;
- The Tender documents, with accompanying Peer Review report;
- The Tender report;
- The post-Tender Scheme cost estimate report (TC3), with accompanying updated Peer Review report;
- The post-Tender Project Appraisal and Final Business Case documentation;
- The brief for Phase 6 and the accompanying PEP and budget plan.

4 Consideration should be given to using external peer review where the Partner organisation does not retain sufficient in-house expertise in specialist areas to allow fully independent peer review or where the project elements are unusually critical to the success of a project.
9.4 The Gate 5 Review

9.4.1 Overview
Gate 5 is a key NTA Hold Point. Passing it permits the award of major construction and supply contracts.

The Gate 5 review is intended to have the following outcomes:

- Approval of the Phase 5 deliverables;
- Approval to let the major works and supply contracts;
- Confirmation that a clear plan exists for the progression into the next phase;
- Confirmation that the NTA wishes to proceed at this time.

9.4.2 Lines of Enquiry for the Gate 5 Review
The lines of the enquiry that will be developed by the NTA for the Gate 5 review through a combination of analysis and discussion with the Project Team will include the following themes related to the development of the Project:

- “Are the Project Appraisal and Final Business Case documents fit for purpose?”
- “Is the Scheme affordable within current funding arrangements?”
- “Are we clear that all major risks have been satisfactorily mitigated?”

9.4.3 The Gate 5 Review Process
As indicated in Chapter 3, the NTA will meet with the Partner to be briefed and provided with copies of:

- The project deliverables indicated in Section 9.3 above;
- The Partner organisation’s internal Gate Review Report;
- Plans for Phase 6 (including the PEP and budget)

The NTA will examine the submitted material. Additional meetings may be required or clarifications requested. Once sufficient clarity is obtained, the NTA and Partner organisation will then meet to discuss the NTA’s Gate Review decision. If the Gate is declared as passed, the project will proceed to the next phase.

9.4.4 Expected Gate 5 Outputs
If the Gate 5 review has been successfully passed, and subject to funding for construction being available, the following outputs are expected:

- Validation of the Phase 5 project deliverables;
- Endorsement of the decision to enter into main works and supply contracts, including definition of what will be considered to constitute a ‘significant’ contractual claim or project overrun in the following Phase (see Section 10.2.3);
- Agreement to the plans for the next Phase of work.

The NTA will also release agreed funding for Phase 6.
10. Phase 6: Construction And Implementation

10.1 Purpose of Phase 6
Having obtained authorisation at Gate 5 to enter into the main contracts for the delivery of a project, Phase 6 covers the award and administration of those contracts through to their completion, along with any internal works orders placed with Partner organisations’ specialist/direct works divisions.

This phase includes the integration of the various works and supply elements to deliver the planned outputs assumed in the business case, the testing and commissioning of both the elements and the overall system, obtaining safety case approvals and any other necessary acceptance processes.

It includes, finally, putting the new, extended or upgraded asset(s) into passenger service, and the review and authorisation of final accounts on the various contracts.

10.2 Key Phase 6 Activities

10.2.1 Overview
The responsibility for the management of all activities in this phase remains with the Partner organisation and their Programme Director or Project Manager, including all matters related to the awarded contracts.

The NTA will expect to be kept informed on progress and consulted on key issues or events that could have an impact on the cost, specification or schedule of the whole Scheme. The NTA will also be particularly concerned that the construction and implementation phase is managed strictly according to the terms of the approved contracts. The NTA will arrange, subject to giving notice at Programme director level, to audit Partner organisations in respect of their delivery of projects.

10.2.2 Project Organisation
The Partner organisation shall follow guidance on the implementation stage of projects procured under DoF CWMF Conditions of Contract provided in guideline GN 3.1 Implementation Process. With the increased number of project interfaces in this phase, the NTA will expect the Partner organisation to review roles and responsibilities and clearly communicate to all parties the changes made to the organisational structures:

- The Partner organisation shall ensure that he/she has appropriate resources, either internal or contracted, to undertake the specialist role of integrating the different contracts, co-ordinating the design and delivery interfaces to ensure that all elements come together without delays and extra costs being incurred due to any reworking being required, and that the overall asset when completed, tested and commissioned is able to meet assumed business case outputs and functional specification requirements, achieves all necessary safety approvals, and is brought successfully into operational service;
- The Partner organisation shall ensure that any other divisions of the Partner organisation with which works orders are placed and which have separate reporting lines within the organisation, are able to account with full transparency for their use of resources and the allocation of costs to the project and that they can demonstrate value for money;
- The Partner organisation shall ensure, prior to commencement of each contract, that a person has been appointed to act as Employer’s Representative on behalf of the Partner organisation in accordance with the requirements of that contract;
- The functions and duties of the Employer’s Representative shall be limited to those stated in the contract. These functions and duties are outlined in DoF CWMF Guidance Note GN 3.1 Implementation Process;
- Overall responsibility for the delivery of the Scheme shall remain with the Project Manager who will report to the Programme Director if appointed;
- On large or complex Schemes the Partner organisation will be expected by the NTA to appoint a suitably qualified construction/implementation stage monitoring and advisory committee/project board to whom the Programme Director, if appointed, or the Project Manager shall report (see Section 1.4.6);
- The committee or board shall review progress, quality and expenditure on the contracts, and also discuss contractors’ design proposals including value engineering, the Partner organisation’s integration of contracts, technical issues arising, and the mitigation and management of risk;
- The committee or board shall report to the Partner organisation’s Board. Copies of all Board reports shall be sent for information to the NTA at the same time as to the Board.

10.2.3 Project Reporting and Payment
The Partner organisations shall follow their own internal processes for reporting progress and financial management of NTA-funded projects. Monthly progress reports and financial reports relating to each contract, each project and each programme shall be prepared. The NTA shall be copied Partner organisations’ project- and programme-level reports as issued to their Steering Groups (or monitoring and advisory committees/project boards).

The Partner organisations shall handle monthly requests for release of funds from the NTA at a programme level, but back-up details shall also be provided at project or
contract level depending upon the size of contracts and as agreed with the NTA.

The Partner organisations shall maintain such records as are necessary in order to properly assess and make a considered determination on any claim(s) submitted, particularly where the issue of quantum of work is being claimed or disputed.

The NTA shall be advised, as early as possible, of significant contractual claims and projected cost over runs. The Partner organisations shall consult with the NTA on their proposed approach to handling significant contractual claims.

10.2.4 Land and Property
The Partner organisation shall ensure that a land acquisition schedule is updated and land agreements are finalised.

10.2.5 Testing and Commissioning
The Partner organisation shall be responsible for ensuring that the Partner organisation's relevant operating division/concessionaire provides any necessary inputs to the testing and commissioning process in a timely manner.

10.2.6 Safety Case Approvals, Other Consents and Acceptance Processes
The Partner organisation shall ensure that all safety case approvals and other consents and acceptance processes that must be completed are identified and programmed, that liaison with approval bodies begins sufficiently early, that responsibilities are clearly allocated and resources made available to ensure that all approvals are achieved on time. The NTA will wish to be kept informed at a high level only of relevant planning and liaison taking place with 3rd party bodies but more particularly with any issues arising from these processes.

10.2.7 Handover into Service
The Partner organisation's project delivery division will be responsible for the handover of the completed assets to the Partner organisation's relevant operating division/concessionaire.

10.2.8 Launch of Passenger Operations
The Partner organisation will communicate with the NTA on arrangements for opening new services or facilities to the public, including the date for the start of passenger operations, if applicable.

10.2.9 'As-Built' Records
The Partner organisation, through the Employer’s Representative, shall ensure that ‘As–Built/As-Delivered’ records and all other key documents and manuals are prepared by each contractor in accordance with its contract and handed over to the Partner organisation's relevant division/concessionaire upon completion of the Scheme.

10.2.10 Contract Final Accounts
Following the completion of each contract, the contractor shall be obliged to submit a final statement of account in accordance with the relevant conditions of contract. This, and any reference to conciliation (and/or arbitration), shall be dealt with in accordance with the Partner organisation's procurement processes taking into account relevant DoF CWMF Guidelines. The NTA shall be kept informed of any matters referred to conciliation or arbitration.

Where the final outturn cost of the final account (as agreed or as determined by conciliation or arbitration) exceeds the tender sum, the Partner organisation shall be required to obtain the approval of the NTA to discharge the balance payable to the contractor. This can most conveniently be undertaken at Gate 6, referred to below; where necessary for timing reasons, Gate 6 reviews may need to be undertaken contract by contract.

10.2.11 Final Account Report
Once the final outturn costs of the final accounts for all contracts and work orders making up a project have been determined, the Partner organisation shall prepare a final account report relating to the various contracts and work orders. In cases where there are long running close out costs the NTA will, at the Partner organisation's request, consider with the Partner a process for enabling the bulk of the project to be closed while making provision for those items which remain open to be monitored and reported upon.

As the final account report information will be central to the Project Completion Review report, which is a Phase 7 deliverable, the Partner organisation shall prepare the information according to DoF CWMF Guidance Note GN 4.1- Project Review on Completion. In effect, the Partner organisation should carry out as much of the Completion Review as possible prior to settlement of the final account.

10.2.12 Audit Requirements
The Partner organisation shall ensure that copies of the project documents are retained in a manner such that they are capable of being retrieved in a reasonable timeframe, for a period of up to 10 years after completion of the scheme.

10.3 Phase 6 Deliverables
For the purposes of these Guidelines, Phase 6 will conclude when the main contracts and work orders have reached substantial completion and when certificates of the dates for substantial completion of all relevant contracts have been issued.
It is recognised that some of the key deliverables required for Phase 6, in particular the Final Account Report, may not be completed by this time. Where this arises, the deliverables will therefore carry forward to Phase 7. The Partner organisation shall advise the NTA of deliverables that will be required to carry forward to Phase 7 and shall also advise of any outstanding payments and/or deductions to be made from the various contracts/work orders after the conclusion of Phase 6.

10.4 The Gate 6 Review

10.4.1 Overview
Gate 6 is the final NTA Hold Point. It marks the completion of the project which will be indicated by the asset delivered by the project passing into passenger service and the settling of the final accounts.

On multi-contract projects, it may be practical for Gate 6 reviews to be undertaken on a contract by contract basis. Gate 6 will not be fully passed, however, until the last contract goes to the Gate. At this point, ideally the Final Account Report which wraps up the project and its constituent contracts, will be presented for approval. If this is not possible, it will carry forward to the Project Completion Review task in Phase 7.

10.4.2 Lines of Enquiry for the Gate 6 Review
The lines of the enquiry that will be developed by the NTA for the Gate 6 review through a combination of analysis and discussion with the Project Team will include the following themes related to the development of the Project:

- “Has the project implementation been managed in accordance with the Conditions of Contract?”
- “Has the project been delivered to the agreed specification?”
- “Is the asset fit to be passed over to the concessionaire/operating division for the start of passenger operations?”
- “Will the output be as set out in the Final Business Case?”
- “Can the final account(s) be settled?”
- “What is the final cost of the project?”

10.4.3 The Gate 6 Review Process
As indicated in Chapter 3, the NTA will meet with the Partner to be briefed and provided with copies of:

- The project deliverables indicated in Section 10.3 above;
- The Partner organisation’s internal Gate Review Report; and
- Plans for Phase 7.

10.4.4 Expected Gate 6 Outputs
If the Gate Review has been successfully passed, the following outputs are expected:

- Approval to settle the final account, on a contract by contract basis if appropriate; and
- Approval to proceed to the next project Phase.
11. Phase 7: Close-Out and Review

11.1 Purpose Of Phase 7
Phase 7 follows the completion of the project. It is undertaken to ensure that:

- the project is properly closed out, without any outstanding issues;
- the project was delivered as specified;
- the requirements of the contract were met; and
- the project met the needs that were identified at the outset by delivering the specified outputs.

11.2 Key Activities of Phase 7

11.2.1 Overview
The responsibility for the management of all activities in the phase remains with the Partner organisation and their Project Manager.

Phase 7 covers the resolution of all outstanding contractual and residual issues relating to the Scheme and its close-out. It also deals with the review of the project to ascertain the lessons to be learned for future schemes.

The key activities of Phase 7 include:

- Management of the Defects Period;
- Close-out of all land and property issues;
- Confirmation of the outturn costs, outputs and outcomes/benefits;
- Post completion review;
- Post project review.

11.2.2 Defects Period / Defects Certificate / Retention Monies
The Partner organisation shall ensure that all outstanding works and items are addressed by the various contractors/suppliers during the defects periods, which shall generally commence after the certificates of substantial completion have been issued.

At the ends of the defects periods, the Partner organisation shall obtain from the contractors/suppliers defects certificates in accordance with the contracts.

The Partner organisation shall ensure that adequate provision is made in the Scheme budget to discharge retention monies and that any such payments due to contractors/suppliers are issued within the time periods specified in the contracts. The Partner organisation shall ensure that all works have been satisfactorily completed prior to releasing retention monies.

11.2.3 Land and Property
Where applicable, the Partner organisation shall ensure that all outstanding land and property issues are closed out in accordance with contract and statutory requirements. This will include the Partners' best endeavours to collect the payment of development levies where applicable. The Partner organisation shall inform the NTA when these requirements have been met.

11.2.4 Scheme Final Outturn Cost
The Scheme final outturn costs for each of the principal cost headings across all contracts and work orders should be compiled. The Scheme final outturn cost is the sum of all outturn costs from each cost heading agreed with the NTA.

The Partner organisation shall compile the base cost elements, based on final outturn costs, of the Phase 7 Target Cost 4 (TC4), which should reflect the final account settlement values for all the main contracts. The TC4 estimate shall be forwarded to the NTA for approval.

11.2.5 Post Completion Review
The Partner organisation's final activity in relation to the contracting process is to undertake a Post Completion Review in accordance with DoF CWMF Guidance Note GN 4.1 - Project Review on Completion. This will include an evaluation of the performance of the project contractors and consultants, a review of outturn costs, a design review and value and risk management reviews. The report will include a statement of 'Lessons Learned' from the various contracts. This should highlight both the positive and negative aspects of the contracts. These lessons learned will be recorded to inform the Partner organisation and the NTA of improvements that can be made to standards and policy for future contracts. If appropriate, actions to improve project management will be identified.

A report documenting the post completion review findings will be prepared for the NTA.

11.2.6 Post Project Review
The post-project review has the aim of drawing out lessons for the future. It is an assessment of both the project outturn and the appraisal and project management procedures used. Project outturn is to include an analysis of whether the expected benefits and outcomes materialised, as well as the project outturn cost.

The Partner organisation shall ensure that the Post Project Review is undertaken in accordance with the DoT’s Post Project Review Methodology for Transport Projects (February 2009). This methodology requires that the person carrying out the review should not have been directly involved in the oversight of the project planning or implementation, or in the appraisal of the project. It also recommends that the post-project review is undertaken once sufficient time has elapsed to allow the project to
be properly evaluated with sufficient evidence of the flow of benefits and costs from it. It is envisaged that, except in special circumstances, the Review will be commenced one year after project opening. The Post Project Review shall evaluate all previous phases of the project. Where appropriate, actions to improve project appraisal, planning or implementation will be identified.

In some cases, project benefits, maintenance costs and operating costs will be only partially realised at the time of the Post Project Review. The Post Project Review should describe systems put in place to monitor costs and benefits over the life of the scheme. These will integrate with the NTA’s arrangements for monitoring public service contracts where relevant.

The Post Project Review should identify plans, if any, to expand or enhance the project at a future date.

A report documenting the findings of the Post Project Review will be prepared for the NTA.

11.3 Phase 7 Deliverables and Close Out

The Phase 7 deliverables are:

- Post completion review report
- Post project review report

There is no NTA Gate to be passed in this phase. A close out review will be held with the NTA and the Partner organisation to review deliverables and lessons learnt. The Partner organisation shall also produce a Closure Report following the Review for the NTA to approve.
APPENDIX 1 - SELECTED LIST OF ABBREVIATIONS, DEFINITIONS AND TERMINOLOGY
## Appendix 1 - Selected List Of Abbreviations, Definitions And Terminology

<table>
<thead>
<tr>
<th>Term</th>
<th>Definition</th>
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<tbody>
<tr>
<td>Capital Works Management Framework (CWMF)</td>
<td>The Capital Works Management Framework (CWMF) is a structure that has been developed to deliver the Government’s objectives in relation to public sector construction procurement reform. It consists of a suite of best practice guidance, standard contracts and generic template documents that form the four pillars that support the Framework. The Guidelines were produced by the Department of Finance (DoF).</td>
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<tr>
<td>Contingency</td>
<td>The contingency is a budgetary provision to cover unknown risks informed by experience of similar projects and by reference to social, political, historical and economic considerations particular to the proposed location.</td>
</tr>
<tr>
<td>Design and Build contract</td>
<td>A Contractor-designed contract is one where the Contractor offers to design and build the required works.</td>
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<tr>
<td>Detailed Business Case</td>
<td>Sometimes previously referred to as the Outline Business Case. The outcome of the Detailed Project Appraisal undertaken in Phases 2 and 3, in accordance with DoF and DoT Guidelines.</td>
</tr>
<tr>
<td>Employer Led or Traditional Design contract</td>
<td>An Employer-designed Contract is one where the Employer includes detailed designs in the tender documentation, and prospective contractors bid for the build element of the Contract only. This is also referred as a Traditional Contract.</td>
</tr>
<tr>
<td>Environmental Impact Statement</td>
<td>An environmental impact statement is an environmental assessment prepared under Statutory Instrument S.I. No. 349 of 1989 ‘European Communities (Environmental Impact Assessment) Regulations 1989’. The instrument determines the criteria for where the process is applied.</td>
</tr>
<tr>
<td>Fast tracking</td>
<td>The acceleration and, on specified occasions, concurrent progression of a Scheme through planning and design phases up to and including statutory processes.</td>
</tr>
<tr>
<td>Final Business Case</td>
<td>The Final Business Case is the outcome of the post-tender appraisal validation process, where the Detailed Business Case is updated to take account of the tender prices received, and any changes to the Scheme or its outputs and benefits.</td>
</tr>
<tr>
<td>Functional Specification</td>
<td>The functional specification will set out not only what a system is supposed to accomplish but also how it is proposed that will be achieved. This will go into greater detail on elements of the project, particularly any systems, that are non-standard or that need to interface with other elements or systems of the existing or planned transport infrastructure.</td>
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<tr>
<td>Gate</td>
<td>A stage in the project life cycle usually between project phases which must be passed to proceed to the next phase.</td>
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<tr>
<td>Outline Business Case</td>
<td>See Detailed Business Case.</td>
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<tr>
<td>Partner or Partner organisation</td>
<td>The CIÉ Group companies (Iarnród Éireann, Bus Éireann and Dublin Bus), and/or the Railway Procurement Agency, unless otherwise stated.</td>
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<tr>
<td>Programme (1)</td>
<td>See Project Schedule</td>
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<tr>
<td>Programme (2)</td>
<td>A set of Projects that have some particular common objectives, characteristics, interfaces or other linkages in terms of their business cases, implementation or operation which mean that they are better considered together than in isolation.</td>
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<tr>
<td>Programme Director</td>
<td>A member of the Partner’s senior management team with overall responsibility for a major project and/or programme of projects.</td>
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<tr>
<td>Project</td>
<td>All phases of a temporary endeavour undertaken to create a unique product or service taken as a whole from inception, through approvals and consents to asset acquisition and on into service operation.</td>
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<tr>
<td>Project Brief</td>
<td>The Project Brief sets out all that is known from the Appraisal stage about the proposed project categorised under the sixteen project parameters. It should list alternative ways of satisfying the needs, and should set out the parameters and constraints that informed the approval-in-principle.</td>
</tr>
<tr>
<td>Project Execution Plan</td>
<td>A core document produced by the Partner organisation that details how the project is to be managed throughout its life cycle. The document will include the policies, standards, procedures and controls to be used and provides a concise description of the project scope and objectives.</td>
</tr>
<tr>
<td>Project Management</td>
<td>A structured and documented approach, comprising sets of behaviours, methods and techniques, designed to ensure the successful delivery of a Project to prescribed standards in a cost effective and scheduled manner.</td>
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<tr>
<td>Project Manager</td>
<td>The person appointed by the Partner organisation who has been assigned responsibility for the delivery of a Project.</td>
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<tr>
<td>Project Schedule</td>
<td>A planned schedule of events or activities, which are organised to ensure the successful delivery of a Project, or part of a Project, within a specified timeframe.</td>
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<tr>
<td>Term</td>
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<td>Risk Management</td>
<td>Risk management runs for the entire lifetime of a construction project, and seeks to minimise exposure to events that might increase the cost or extend the time-span of the works.</td>
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<tr>
<td>Sanctioning Authority</td>
<td>The Government Body with responsibility for implementing Government Policy and for providing financial assistance for capital programmes and projects. In the case of projects within NTA's authority, the NTA normally fulfils the role of Sanctioning Authority, subject to certain exceptions, where the role may be retained by the Government or the Department of Transport.</td>
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<tr>
<td>Sponsoring Organisation</td>
<td>The State organisation or company that requires the project to be undertaken. This is the core role that the NTA's Partner organisations fulfil in these Guidelines.</td>
</tr>
<tr>
<td>Scheme</td>
<td>NTA funded proposal which is subject to the requirements of these Guidelines</td>
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<tr>
<td>Scope Change</td>
<td>Changes to the work and supply elements included in a project which affect time, cost or quality/outputs as defined in Sections 3.5 and 7.4 of these Guidelines</td>
</tr>
<tr>
<td>Statutory Approval</td>
<td>Any kind of planning or other consent or approval that is required by any Irish law or statute enacted by the legislature.</td>
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<tr>
<td>Value Engineering (Value Management)</td>
<td>Value engineering is a practice that involves continually monitoring project development to determine if there are any alternative ways of proceeding or any innovative solutions that can reduce the costs while delivering the same outputs or enhance the value of the project without increasing the cost. Value management is the process of striving to attain improved value in this manner.</td>
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