

PROJECT APPROVAL GUIDELINES

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2020



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SECTION A

GENERAL

1. Introduction
2. Governance, Roles and Responsibilities
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1. Introduction

1.1 The National Transport Authority

The National Transport Authority (NTA) is a statutory non-commercial 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. Refer to the NTA website for details of NTA key functions, www.nationaltransport.ie

The agencies funded by the NTA to undertake transport related projects include local authorities, transport operators and State bodies.

1.2 Purpose and Objectives of the Guidelines

The purpose of these Guidelines is to provide a framework for, and a phased approach to, the development, management and delivery of sustainable mobility projects of all types, for all capital values, and for Information and Communication Technology (ICT) projects, funded by the NTA.

Due to the significant funding commitment required, NTA Approval Points, called Gateways, occur at key Approval milestones throughout these Guidelines.

These Guidelines replace the previous 'Project Management Guidelines for Projects Funded by the National Transport Authority (Up to €20 million in value)' dated December 2011 and the 'Guidelines for the Management of Public Transport Investment Projects Delivered by Conventional Procurement' dated July 2010.

The primary objective of these Guidelines is to set out a consistent and transparent approach across projects undertaken by agencies in receipt of NTA funding and to provide the NTA with the degree of transparency and certainty that is appropriate for an Approving Authority.¹

The Guidelines set out arrangements for project development, reporting and monitoring.²

For the purposes of these Guidelines, the reference to 'Capital Investment' refers to any transport related project that is not predominantly an ICT project.

1.3 Lifecycle and Process

These Guidelines divide the evolution of a Capital Investment project into a seven Phase process (Phase 1 to Phase 7 inclusive) with seven Gateways (Gateway 1 to Gateway 7 inclusive), see Figure 1, and for ICT projects into a nine Phase process (Phase 0 to Phase 8 inclusive) with nine Gateways (Gateway 0 to Gateway 8 inclusive), see Figure 2.

The Gateways generally align with the end of the Phases of the project lifecycle.

The purpose of an NTA Gateway is to ensure that a project has met certain requirements before it can proceed to the next Phase. Requirements include a level of certainty achieved in relation to scope, cost, quality and time as well as value/benefits.

In addition to Gateways, project specific 'Hold Points' are required for projects as determined by the NTA.

As Approving Authority, the NTA requires that the Sponsoring Agency compile the necessary evidence to demonstrate the specific application of these Guidelines to the project.

¹ The NTA reserves the right to make changes to the requirements herein as deemed necessary to ensure this transparency and certainty is achieved.

² The NTA reserves the right to alter the requirements of the deliverables set out in these Guidelines.

Further detail of the processes and deliverables at each Phase of a project are outlined in Section B (Capital Investment) and Section C (ICT) of these Guidelines.

For the purposes of these Guidelines, smaller projects that individually contribute to the achievement of an overall strategic objective may be grouped together in a Programme. In particular, cases where synergies (of cost, minimising disruption, etc.) can be achieved by undertaking them in a programmed way, the overall Programme can be treated as the relevant project for the application of these Guidelines, subject to the agreement of the NTA.

Where a project develops into additional projects, these additional projects will be required to follow these guidelines, commencing at Phase 1 Scope and Application.

These Guidelines are to be applied to all projects including ICT projects, for which the NTA is the Approving Authority.

Figure 1 Phases of an NTA Project Life Cycle - Capital Investment

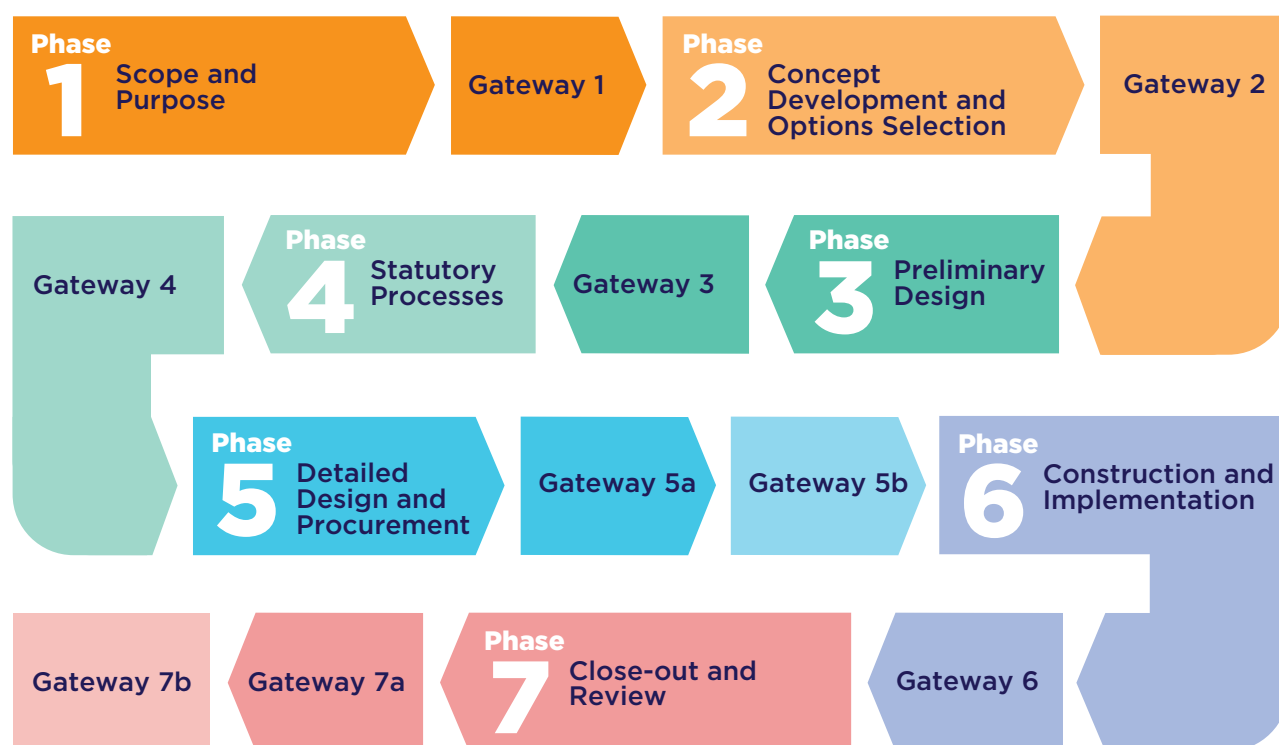


Figure 2 Phases of an NTA Project Life Cycle – ICT

1.4 Application of the Guidelines

The sponsoring, commissioning and letting of contracts for the implementation of projects and overseeing their delivery is predominantly undertaken on the NTA's behalf by other agencies. These agencies are defined as the Sponsoring Agency within the Public Spending Code (PSC).

These Sponsoring Agencies include Local Authorities for projects such as bus, cycle and accessibility infrastructure projects, Transport Infrastructure Ireland (TII) for projects such as Luas and Metro projects, Iarnród Éireann – Irish Rail for DART, commuter and regional railway projects, Dublin Bus, Bus Éireann and other Bus Operators for bus infrastructure.

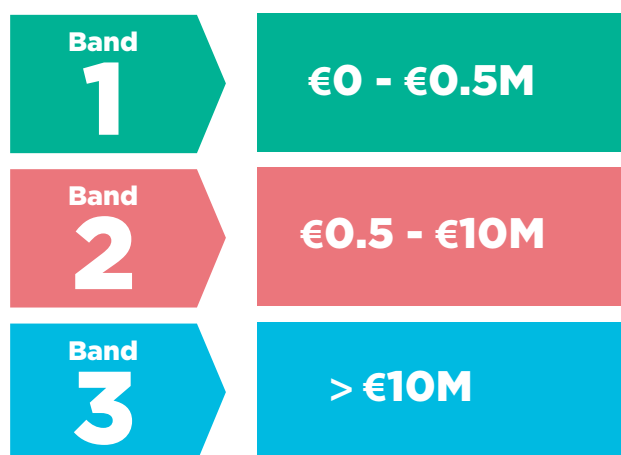
The role of the Sponsoring Agency is described further in Section 2.2.4

The application of these Guidelines is mandatory for a Sponsoring Agency where NTA are the Approving Authority; any proposed deviation from these guidelines must be agreed in advance with the NTA and confirmed in writing. Those receiving NTA funding are expected to apply their own project management processes but must address any explicit requirements specified in these Guidelines.

These Guidelines do not aim to be a full statement of the duties and obligations of the project team. Responsibility for ensuring that projects are progressed in accordance with applicable legislation, standards and other relevant guidelines remains with the Sponsoring Agency and the project team. Refer to Section 2 for Governance, Roles and Responsibilities.

These Guidelines are project band specific as identified in Figure 3 below:

Figure 3 Project Bands



Application of the procedures set out in these Guidelines is structured according to the level of funding sought, as follows:

- For projects, where NTA funding, or part-funding, of a project is less than €0.5 million, a simplified approach is adopted;
- For projects where NTA funding, or part-funding, is between €0.5 million and €10 million, additional information will be required;
- For projects where NTA funding, or part-funding, is over €10 million generally the full application of the procedures set out in these Guidelines is required unless otherwise agreed with the NTA; and
- Regular reporting of expenditure and progress is required for all projects.

The applicability of various requirements to projects may vary on a case by case basis based on a number of factors such as scale, complexity or scope of the project. Requirements will be determined in consultation with the NTA during Phase 2 for Capital Projects/Phase 1 for ICT Projects. The NTA reserves the right to change these requirements as the project progresses.

For smaller, less complex projects, within all bands, some Phases and Gateways may be combined to provide a simplified process proportionate to project size, with the prior agreement of the NTA.

NTA forms and templates referred to in this document are available from the NTA and are to be utilised as part of the project development and approval process. As part of a continual improvement process these forms and templates may vary from time to time. Sponsoring Agencies should therefore confirm with the NTA that the latest versions of the documents are being used.

1.4.1 Grant Funding application format

All grant funding applications, unless agreed otherwise by the NTA, shall be submitted using the NTA Project Grant Application Form³, provided by the NTA.

In addition, the Sponsoring Agency shall be required to submit any additional documentation required by the NTA, such as a 'Project Continuation Form' in support of a new year funding allocation request for an on-going previously approved project. Relevant forms and templates are available from the NTA.

A project is considered an ICT project where approximately 75% of the project cost relates to IT hardware, software or IT service related costs.

³ A separate procedure entitled "Capital Grant Application & Approval Procedures (for agencies/bodies external to the National Transport Authority)" is available from the NTA which outlines further detail on the process through which grant funding is made available and the specific procedural detail for the dissemination of capital grant funding to Sponsoring Agencies.

For all Projects which include an ICT digital element estimated to cost greater than €25,000, approval by the Digital Government Oversight Unit (DGOU) should be considered. The Sponsoring Agency shall submit details of the digital element of the project to the NTA ICT liaison officer, through the NTA appointed Programme Manager, for review and approval.

1.5 Layout of these Guidelines

The layout of these Guidelines is divided into four Sections:

- **Section A – General**

This section outlines the general requirements of the approval process for projects;

- **Section B – Project Phases Capital Investment**

This section provides details of the Phase requirements for Capital Investment projects;

- **Section C – Project Phases Information and Communication Technology**

This section provides details of the Phase requirements for ICT based projects; and

- **Section D – Overview of Key Project Deliverables**

This section provides a summary overview of the typical key deliverables for the various Project Bands and highlights typical Hold Points within each Phase. The required deliverables, whilst set out as individual deliverables, may be combined to avoid duplication, if agreed with the NTA.

A list of abbreviations, is provided in Appendix 1.

1.6 Interaction with other guidance

These Guidelines should be applied in conjunction with the NTA's most up to date suite of guidance documents such as the:

- Cost Management Guidelines for Public Transport Investment Projects; and
- Eligible Expenditure Guidelines for Projects Funded by the NTA.

Should an ambiguity or an inconsistency exist between the Project Approval Guidelines and the Cost Management Guidelines, guidance / requirements set out in the Project Approval Guidelines shall take precedence.

Refer to NTA website for all publications.⁴

These Guidelines do not replace other relevant Government Guidelines including, but not limited to, the following:

1. The Public Spending Code (PSC): A Guide to Evaluating Planning and Managing Public Investment (Department of Public Expenditure and Reform (DPER));
2. Circular No. 13/2014 entitled 'Management of and Accountability for Grants from Exchequer Funds', (DPER) or any updated relevant Circulars;
3. Capital Works Management Framework (CWMF) including associated Guidance Notes; and
4. Common Appraisal Framework (CAF) for Transport Projects and Programmes Department of Transport (DOT).

⁴ <https://www.nationaltransport.ie/publications/>

2. Governance, Roles and Responsibilities

2.1 Governance Overview

The PSC sets out the roles and responsibilities of the Approving Authority and the Sponsoring Agency.

In general, the NTA are the Approving Authority for transport related projects funded by the NTA.

In order to fulfil its function as Approving Authority, the NTA requires that the Sponsoring Agencies follow clear processes. This is 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.

The main parties involved in the delivery of a project, depending on project scale, are:

1. The Department of Public Expenditure and Reform (DEPR);
2. The Parent Government Department;
3. The Approving Authority;
4. The Sponsoring Agency;
5. Project Management Office (PMO) for NTA ICT projects;
6. The Peer Review Panel (Where required);
7. Programme Board and/or a Project Board (where required); and
8. Stakeholders.

2.2 Roles and Responsibilities

The PSC sets out the roles and responsibilities of the DPER, the Parent Department, Approving Authority and Sponsoring Agency. An overview of the roles and responsibilities follows.

In addition there are specific roles and responsibilities for effective delivery of projects required under these guidelines that are described below.

2.2.1 DPER

The DPER has a role in overseeing effective and efficient public investment for various Ministerial Vote Groups, including the Department of Transport (DOT). This includes having a role in the technical review of Strategic Assessment Reports (SAR) and Business Cases for projects estimated to cost over €100M to support consistent application of the PSC across all sectors.

2.2.2 Parent Department

The Department of Transport (DOT) is the Parent Department as defined within the PSC for projects where the NTA are Approving Authority. They are responsible for ensuring procedures are in place to ensure compliance with the PSC within their department and within the bodies under the aegis of their department and that agencies are appropriate to ensure compliance with the PSC, manage capital budgets and manage budgets at project level.

It is also the responsibility of DOT to facilitate seeking Government approval for transport projects estimated to cost over €100M.

2.2.3 The Approving Authority

The Approving Authority has ultimate responsibility for the project. For public transport and sustainable transport projects funded by the NTA, the NTA undertakes the role of the Approving Authority.

The responsibilities of the Approving Authority are as defined in the PSC. In addition, the NTA's functions include, among other things:

- Evaluating and approving (where appropriate) the project proposals against the NTA's strategic transport plans and value for money objectives;
- Monitoring the progress of projects, with particular emphasis on issues related to the scope, cost, programme, quality and benefits of projects;
- Approving scope change requests from the Sponsoring Agency;
- Approving membership of project oversight and review panels;
- Operating NTA Gateways and PSC Decision Gates and granting consent to proceed to the next Phase, as appropriate; and
- Submitting SAR's and Business Cases to relevant Government Departments for projects estimated to cost over €100M.

2.2.4 The Sponsoring Agency

The Sponsoring Agency has primary responsibility for evaluating, planning and managing public investment projects within the parameters of the PSC.

The responsibilities of the Sponsoring Agency are as defined in the PSC, in addition, the Sponsoring Agency is responsible for some, or all, of the functions of the management, co-ordination and implementation of the projects as sanctioned and approved by the NTA. The Sponsoring Agency will:

- Nominate and appoint a Project Manager who will act on behalf of the Sponsoring Agency in all matters identified in these Guidelines;
- Plan, design and manage the overall delivery of the project including management of scope in accordance with funding approval;
- Demonstrate compliance with the CWMF;
- Act as the Contracting Authority/ Agency to procure the construction/implementation of a project, as appropriate;
- Manage stakeholders;
- Put in place the necessary resources to deliver the project;
- Ensure that delivery of the project is undertaken in accordance with all relevant legislative and other requirements;
- Agree with NTA a design review and approval process and ensure NTA reviews and accepts all necessary designs and documentation prior to external consultation; and
- Under Health & Safety legislation, appoint a Project Supervisor Design Process (PSDP) and Project Supervisor Construction Stage (PSCS)

2.2.4.1 Project Manager

The Project Manager⁵ is appointed by the Sponsoring Agency and will have several key responsibilities around the day-to-day execution of the project plan and for dealing with issues that might affect achievement of the plan.

The Project Manager should report to and support the Project Director.⁶

⁵ For projects in Bands 1 and 2, a single Project Manager may be responsible for several projects.

⁶ For ICT Projects delivered by NTA, Project Managers report directly to the PMO.

The role and responsibilities of the Project Manager, includes, among other things:

- Developing and implementing appropriate project management processes and procedures to support the delivery of the project, including appropriate risk identification and management processes;
- Managing legislative and other compliance;
- Coordinating, managing and obtaining all NTA, and other required approvals, necessary to progress the project;
- Developing the Project Execution Plan (PEP) and the Project Brief;
- Coordinating and managing the delivery of regular progress and expenditure monitoring reports;
- Coordinating and managing the delivery of all NTA deliverables required in each Phase;
- Ensure the necessary design reviews and design approvals are obtained from the NTA;
- Maintaining a lessons learned log; and
- Communicating and managing any changes from the project brief and/or scope to support project delivery.

2.2.4.2 Project Director

On larger and more complex projects or programmes, it may be appropriate for the Sponsoring Agency to appoint a Project Director who will undertake some of the roles normally undertaken by the Project Manager.

In such cases the Project Director will have overall responsibility for the delivery of the project on behalf of the Sponsoring Agency, with the Project Manager reporting to the Project Director.

Most projects will not require separate Project Director and Project Manager roles, and a singular appointment of a Project Manager will be sufficient.

2.2.4.3 Project Integration Manager⁷

Some complex projects in Band 3 may include a number of separate contract packages which aggregate together to deliver the overall project, whether an entirely new asset, a new route or a new system. In such cases of multiple contract packages, with numerous interfaces between packages, it may be appropriate to consider the appointment of a Project Integration Manager to assist in the coordination of delivery across the various contracts.

Where appointed, the Project Integration Manager will have several key responsibilities to ensure adequate integration of key project elements from planning through to design and delivery. The Project Integration Manager should report to the Project Director and liaise closely with the Project Manager(s).

2.2.5 Project Management Office (ICT Projects)

The Project Management Office (PMO) is a department within the NTA that defines the standards and processes for ICT project management funded by the NTA.

The PMO reflects the culture and strategy of the NTA and is important in establishing (and maintaining): governance, consistency, transparency, reusability, delivery support and transparency across transport related ICT projects.

⁷ The Project Integration role requirements may form part of another role within the project team and therefore may not be called the Project Integration Manager.

2.2.6 Committees and Boards

In addition to the roles described above, specific additional oversight and decision making processes may be required for projects. Where these are identified as necessary, the Sponsoring Agency should undertake discussions in respect of such arrangements with the NTA.

The NTA reserves the right to alter these requirements and include additional monitoring, coordination, challenge or oversight as required based on the complexity, scale or estimated cost of the project.

2.2.6.1 Programme and Project Board

For larger projects it may be necessary to set up a Project Board. Where a number of projects are within a wider Programme, a Programme Board may be required. The NTA will advise when this is required and will advise on membership.

The Programme or Project Board typically will include a representative from the Approving Authority and the Sponsoring Agency. Other members if required will be decided at the appropriate Phase of the Project as determined by the NTA.

The overarching role of the Programme or Project Board will be to oversee the development and delivery of the project, to provide executive oversight of the project execution and to be the decision-making body on all matters related to the project not reserved for the Approving Authority's and Sponsoring Agency's Boards or Government.

The Programme or Project Board will normally be chaired by a senior representative within the Sponsoring Agency, unless agreed otherwise by the NTA.

Each Programme or Project Board shall establish a Terms of Reference at the outset, detailing as a minimum:

- Role of the Programme/Project Board
- Responsibilities of the Chair and the members
- Membership
- Quorum and decision making
- Meeting Frequency

2.2.6.2 Peer Review Panel

On certain larger or more complex projects, a Peer Review Panel may be required. The overarching role of the Peer Review Panel is to challenge and assess the quality of elements of a project as it is being developed.

When a peer review is required, the NTA will notify the Sponsoring Agency. In these instances, a Peer Review Panel will be set up. The panel members will be agreed with the NTA.

In some instances, the Peer Review Panel may identify certain issues which require further clarification. If this is the case, the responsible party shall provide this clarification. Larger projects may require several peer reviews at key stages of the project. However, peer review requirements for smaller projects will be determined by the NTA on a case by case basis.

For larger projects, it may also be deemed necessary to arrange for separate independent Expert Panels to challenge the robustness of elements of the project development.

2.2.7 Stakeholders

Effective stakeholder management is critical to the successful development and delivery of projects.

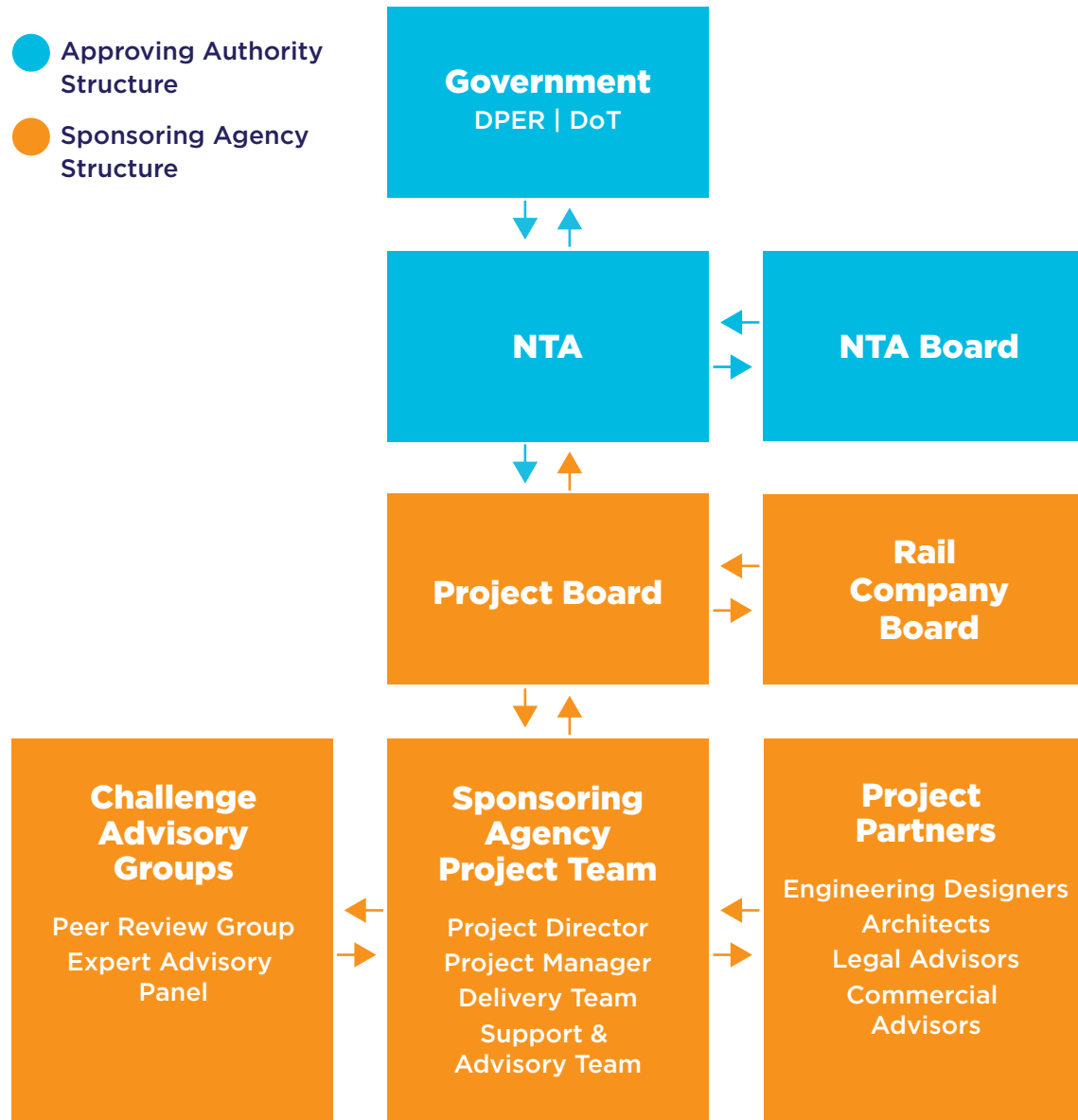
Stakeholders include all categories of road, public transport and system users, owners and occupiers of frontage and other affected properties, public representatives, emergency services, utility companies and other public bodies, and the general public.

The Sponsoring Agency, in particular the Project Manager (and Project Director for larger schemes), will be expected to place significant importance upon the development of collaborative, healthy and dynamic relationships with appropriate stakeholders at the relevant stages of the project life cycle.

2.3 Typical Governance Structure

A robust governance structure is required to be in place for projects. The structure needs to assist in building effective relationships and enable project reporting, funding and authorisation processes to be successfully deployed. The governance structure shall comply with the PSC requirements and clearly assign roles and responsibilities and reporting arrangements.

The Figure 4 overleaf shows a typical governance structure for an NTA project over €20M in Band 3.

Figure 4 Typical Governance Structure for a Project over €20M in Band 3 – Heavy Rail Project

3. Project Engagement and Communication

3.1 Methods of Engagement

This Section details the regular engagement that the NTA requires to have with Sponsoring Agencies. This will generally include:

- Regular (as agreed with the NTA) progress meetings between the NTA, the Sponsoring Agency and any other relevant body or bodies; and
- Regular (generally monthly) financial and progress reporting to the NTA.

And additionally, where required;

- Ad hoc meetings and reporting that arise between NTA and the Sponsoring Agency;
- Design meetings; and
- Programme Board and/or Project Board meetings.

Sponsoring Agencies need to ensure that formal and informal communication channels are established as an early project management task. The NTA will engage with the Sponsoring Agencies responsible for delivering the NTA funded projects in the most efficient manner for all concerned.

The purpose of the engagement structure is to assist in building effective relationships, to keep all parties fully informed of progress, and to deal with issues as they arise in a timely manner.

The degree of engagement required will be determined by the scope, scale and level of complexity of the project.

In general, the NTA prefers documentation to be provided in electronic format. Where hard copies are required, they should also be accompanied by an electronic copy.

The onus remains on the Sponsoring Agency to keep records of all project documentation which the NTA may request at any stage.

Once these Guidelines have been implemented and the effectiveness of these reporting arrangements has been determined, the NTA may seek to revise reporting templates to permit a more seamless integration with the Sponsoring Agency's own management reporting systems.

3.2 Meetings

This section highlights meetings required for projects. The level of meetings, meeting type and frequency shall be agreed with the NTA.

The Sponsoring Agency will be required to prepare the agenda and record all meeting minutes, unless agreed otherwise with the NTA. All agendas and minutes shall be provided to the NTA for review.

3.2.1 Initiation Meeting

An initiation meeting or 'kick-off meeting' should be held with the NTA at the commencement of the project at Phase 2 for Capital Projects/ Phase 1 for ICT Projects to agree meeting schedules, meeting types, programme and reporting requirements.

3.2.2 Progress Meetings

Regular progress meetings must be held between the NTA and each Sponsoring Agency receiving NTA funding. The frequency of these meetings will relate directly to the scale of, and timeframe for, the project. As part of the development of the Project Execution Plan or as determined in the 'Initiation Meeting' the frequency of these meetings must be confirmed with the NTA.⁸

⁸ For Projects within Band 1, depending on the scale of the project, the NTA will determine whether regular meetings are required.

The purpose of these meetings is to review, with the NTA:

- progress against plan;
- expenditure against budget;
- any risks or issues affecting scope, cost or programme;
- any changes including design alterations from original agreed brief; and
- any upcoming milestones or other relevant matters.

If appropriate, in response to issues arising at the progress meetings, the NTA may schedule subsequent project, programme or issue-specific meetings with the relevant Sponsoring Agency.

Where there are several projects being delivered by the Sponsoring Agency, combined progress meetings may be held between the NTA and the Sponsoring Agency. In preparation for these progress meetings, the NTA may require preparatory project-specific meetings be held between the NTA's representatives (including their independent advisors) and the Sponsoring Agency's project representatives.

3.2.3 Design Meeting

For larger projects with a substantial design component, regular design meetings should take place during the design stages to ensure that the NTA, in its role as the Approving Authority, is kept informed of all key design decisions. Arrangements for such design meetings shall be agreed with the NTA and may be accommodated within regular progress meeting arrangements.

The purpose of these meetings is to review, with the NTA:

- Design development status
- Options considered
- Emerging designs

- Key stakeholders impacted
- Key risks

The design of all projects must be agreed with the NTA prior to any public consultation being undertaken or any legislative or Statutory approvals being sought. This requires the Sponsoring Agency to ensure clear and comprehensive communication with the NTA.

3.2.4 Programme and Project Board Meetings

Once a Programme or Project Board is formed, terms of reference should be put in place which will outline the intended meeting purpose and schedule for the duration of the project.

The frequency of Board meetings will depend on the size and complexity of the project.

3.3 Reporting

This section outlines the general reporting required for projects. This section does not capture all reporting required as part of the deliverables as identified elsewhere in the Guidelines. The NTA may require supplemental reporting where an issue arises that needs papers to be submitted from the Sponsoring Agency to the NTA for discussion on the issue to be resolved.

All projects are required to have regular reporting and communication between the Sponsoring Agency, NTA or internal NTA business unit regardless of the project size.

For effective project management and oversight, it is important that regular reports are prepared for each project, providing, among other things, key information on progress and expenditure, as well as detailing risks, issues and opportunities.

The level of detail in such reports should be commensurate with project size/value. Significant detail will be required for larger projects, whereas less detail may be sufficient for smaller projects. The level of detail required for each report shall be agreed at the outset of the project with the NTA. As a minimum the following reports are required:

- Progress Reports – Monthly;
- Financial Reports – Monthly;
- Gateway Review Report (Band 2 and 3); and
- Final Project Report.

3.3.1 Progress Report

Progress reports shall be prepared by the Sponsoring Agency and forwarded to the NTA at least five (5) working days in advance of the progress meeting or on another basis as may be set out in the relevant NTA approval letter or subsequently agreed.

The project progress report shall include, but not be limited to, the following:

- An executive summary containing a written narrative, numerical data, scope, programme, budget and risk;
- The current NTA Phase of the project (and the Sponsoring Agency's own Phase description, if different);
- The status of Gateway reviews and any hold points;
- Major milestone dates – based on the project phasing detailed in these Guidelines;
- Major activities for the reporting period with issues flagged and decisions required over an agreed period;
- A project level summary of forward reporting of target project cost and target completion date, 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 programme;

- An outline of key issues, progress, achievements since last update and upcoming planned activities;
- Key project metrics;
- Progress photos as appropriate;
- The work completed within the reporting period, status of deliverables and the milestones achieved; and
- The current value of committed contracts within the overall programme, where appropriate.

3.3.2 Gateway Reports

At a project Gateway, the Sponsoring Agency shall prepare a Gateway report with a brief summary of the individual deliverables being provided as part of the Gateway documentation.

The Gateway report shall contain sufficient information to address the requirements for the particular Gateway approval. The Gateway report shall include, but not be limited to, the following:

- An executive summary containing a written narrative to support the Gateway approval being sought including details of the current project Phase and the Gateway in which the report relates;
- A written narrative on how the lines of enquiry for the relevant Gateway have been addressed;
- Confirmation of Hold Points released within that Phase (where applicable);
- Summary list of deliverables as required in Section B or Section C for the specific Gateway; and
- Appendix or otherwise of required deliverables.

Gateway Reports are required at all Gateways, as shown in Section B and Section C, for projects within Band 2 and 3, unless approved otherwise by the NTA.

3.3.3 Financial Reporting

The NTA requires all financial reporting from the Sponsoring Agency to be in accordance with the NTA Cost Management Guidelines.

The monthly finance report shall include, but not be limited to, the following:

- A project level summary of total original budgeted expenditure for the project, total updated forecasted expenditure for the project (if different to the original budget), amount claimed to date and forecast to completion;
- A project level summary of current year financial information including:
 - the current year NTA approved allocation to the project;
 - forecasted expenditure for the project for the year (if different to the original current year allocation);
 - amount claimed in the current year to date and forecast to completion;
 - A profile of projected claims by month (which will include actual claims to date and projected claims to year end) is also required; and
- Commentary is required at project level to report on any significant variances, any significant milestones scheduled for current year driving spend and any significant changes versus the prior month's report.

A monthly finance report template is available from the NTA if required.

In addition to the monthly finance report, the NTA may require additional financial reporting and/ or engage the Sponsoring Agency in certain finance activities including, but not limited to:

- Annual budgeting activities;
- Frequent forecasting activities; and
- Ad-hoc financial reporting and/ or finance activities.

3.3.4 Final Project Report

At the end of a project the Sponsoring agency shall provide a Final Project Report or 'Closure Report'.

The Final Project report shall be submitted prior to the final claim for costs and shall include as a minimum, the following:

- Summary of the outcome of the project against the project Objectives;
- Photos of the final project, where applicable;
- Details of handover and as-built details including acceptance by Local Authorities or otherwise if required, as-built drawings and records, and project Safety file where required;
- Key Learning's and lessons learned;
- The Final Account Report (as specified in the Cost Management Guidelines) appended or incorporated into the body of the Final Project Report.

3.3.5 Project Completion Report

At the project completion stage, the Sponsoring Agency shall provide a Project Completion Report. This report is required for all projects unless advised otherwise by the NTA.

The project completion report shall identify whether the projects were delivered in line with the intended scope and budget and in line with the PSC. Details of items to be included in the project completion report are set out in the PSC.

3.3.6 Ex-Post Evaluation Report

For projects €10M and over, an Ex-Post Evaluation Report shall be prepared by the Sponsoring Agency in accordance with the PSC requirements. For projects less than €10M, NTA requires Ex-Post Evaluation to be completed on a selection of projects. The NTA will advise the Sponsoring Agency of the requirement for Ex-Post Evaluation on such projects.

3.3.7 Other Reports

The Sponsoring Agency shall maintain proper books of accounts and records during the funded project lifecycle and for at least 6 years after its completion, potentially 12 years depending on if the contract is executed under deed or seal.

In the event that a project cannot proceed beyond an NTA Gateway due to funding non-availability or for other reasons, the Sponsoring Agency's Project Manager shall ensure that the deliverables completed to that point are available and that all relevant data is stored for start-up at a future date. This means closing out and obtaining all relevant data from consultants and service providers.

3.3.8 Reports to be published

The following documents and reports are required to be published in accordance with PSC requirements for Projects over €10M:

- The Preliminary Business Case
- The Final Business Case
- The Project Completion Report
- The Ex-Post Evaluation Report

Details on how and when reports will be published should be discussed and agreed with the NTA.

3.4 Publicity

Information regarding projects is released to the general public at specific stages during the project development. The NTA has specific requirements that must be met when putting information about a project into the public domain. The Sponsoring Agency shall liaise with NTA Public Affairs and/or Customer Experience team, through the NTA appointed Programme Manager, to ensure compliance with these requirements and to provide a coordinated response within the organisation to queries from the public and media.

A Publicity and Media governance structure which clearly defines the interfaces and roles and responsibilities, between DOT, NTA and the Sponsoring Agency and any media outlets shall be developed by the Sponsoring Agency for NTA approval.

4. NTA Gateways & Hold Points

4.1 Gateways

The NTA Gateway review allows the NTA, along with the Sponsoring Agency responsible for a project's delivery, to jointly assess its progress.⁹

The NTA will appraise the deliverables at the prescribed Gateway and determine whether a project can be approved to proceed to the next Phase. By approving a project at a Gateway, the NTA is indicating that it is satisfied that a project is justified to proceed to the next Phase and funding may be provided for, at least, that subsequent Phase, or part of that phase, within the current year.

The Gateway points are shown in Sections B, C and D for each Project Band. The Gateway is indicated by a △ within these Sections.

4.1.1 Gateways and PSC Decision Gates

The NTA Gateways align with the PSC Decision Gates; refer to Figure 5 overleaf for mapping of PSC and NTA Approval Points.

Government approval is required at three of the PSC Decision Gates for proposals with an estimated cost over €100 million. The applicable three Decision Gates are:

- Preliminary Business Case – Decision Gate 1 to proceed to planning application;
- Design & Planning and Procurement – Decision Gate 2 to proceed to tender; and
- Final Business Case – Decision Gate 3 to award the construction contract(s).

In addition, DPER are required to review the SAR for projects estimated to cost more than €100M.

A summary of the Gateway process and the PSC Decision Gates is shown in Figure 8 and the ICT Gateway process is in Figure 9.

4.1.2 NTA Gateway Review Process

At an NTA Gateway, the Sponsoring Agency shall submit a Gateway Report for NTA's review, for Projects in Band 2 and 3. For Projects in Band 1, a Gateway report is not required, unless determined otherwise by the NTA. For Projects in Band 1 the review of the deliverables for that phase or combined Phases, will form the Gateway review.

At a Gateway the NTA may, at its discretion, request clarification sessions with the Sponsoring Agency.

After completing its examination of the material provided, including clarifications, the NTA's representative(s) will advise the outcome of the Gateway (refer to Figure 6 for Typical Gateway Process). The outcome could be one of the following:

- Gateway has been passed and the project may proceed to the next Phase;
- Gateway has not been passed and if a particular course of action should be pursued as a result, or
- Gateway has not been passed and the project is to be suspended or abandoned.

When approving a Gateway, the NTA may specify requirements to be addressed in the next Phase as conditions of that approval.¹⁰ A successful review at an NTA Gateway will result in confirmation of the NTA's approval for the project to proceed up to the next Gate(s) of the project. Written confirmation of this approval will be issued.

The NTA may part approve grant funding for the next Phase up to an agreed level of project development within the current year.

⁹ All Gateways are mandatory, unless determined otherwise by the NTA, and are identified for different scales of projects in Section B and Section C. The NTA reserves the right to group some Phases and associated Gateways, where the scale or complexity of the project does not warrant individual Gateways, or include additional Gateways where they are deemed necessary.

¹⁰ The NTA reserves the right to bring forward specific deliverables required for a subsequent Phase, into the Phase being developed

Figure 5 Map of PSC and NTA Approval Points for Capital Investment Projects

NTA Project Approval Guidelines		Public Spending Code	
Phase	Gateway	Stage	Gate
1 Scope and Purpose	1	1 Strategic Assessment	0
3 Preliminary Design	3	2 Preliminary Business Case	1 Approval in Principal for Preliminary Business Case
5 Detailed Design and procurement	5a	3 Final Business Case	2 Pre-Tender Approval
	5b		3 Approval to Proceed
6 Construction and Implementation	6	4 Implementation	
7 Close-out and Review	7a	5 Review	
	7b	6 Ex-Post Evaluation	

4.1.3 Gateway Review

The NTA may decide to decline or withdraw funding for a project if it is not satisfied with the progress or development of a project. If the NTA decides, at any stage, not to proceed with a project that it was previously funding, written notice will be issued to the Sponsoring Agency.

The NTA Approval at a Gateway of a project may be conditional; there may be limitations on the scope of the project; there may be process requirements specified; or a requirement to refine or modify the design may be stated. Where the amount of approved funding is set out in a Gateway approval or subsequently, the Sponsoring Agency is required to ensure that the expenditure reimbursement amount is maintained within the authorised limit and in accordance with the terms and conditions set out in the funding approval.

Figure 6 Typical Gateway Process



In all cases the NTA is basing its approval of a project on the scope and stated amount of the project estimate provided by the Sponsoring Agency. If at any stage following the issue of funding approval the Sponsoring Agency becomes aware of any potential increases in the project cost, or change in scope, it shall promptly inform the NTA assigned Programme Manager and provide it with details of the potential change.

The Sponsoring Agencies are requested to work closely with the NTA assigned Programme Manager in the run-up to an NTA Gateway review to minimise approval times. The NTA will reach a decision following a Gateway review, subject to the provision of the required information by the Sponsoring Agency.

The NTA may inform the Sponsoring Agency of the project's indicative funding allocation when the project is commenced. This indicative allocation is not an entitlement to the funds. Funding may be made available on an annual basis and in stages as the project progresses in accordance with NTA Phases and Gateways. If the NTA decides to approve the project for funding, it will issue written approval to the Sponsoring Agency. This approval authorises the Sponsoring Agency to proceed to the next Phase or Phases, unless stated otherwise in the written approval.

4.2 NTA Hold Points

The purpose of an NTA Hold Point is to have an interim review of deliverables prior to a Gateway so that the NTA and the Sponsoring Agency are aligned with the development of the project scope and deliverables to enable a more efficient Gateway review.

The Hold Point process is intended to minimise the risk of proceeding too far with the development of a project without agreement prior to a Gateway and therefore reduce the risk that fundamental issues are raised during the Gateway review.

The Hold Point also allows for an NTA review of specific documentation prior to other deliverables being developed so as to minimise any re-work of deliverables.

Typical Hold Points are indicated in Sections B,C and D for each project Phase. These Hold Points are indicated by '👉' adjacent to the associated key deliverable in the tables in Sections B, C and D and as the following example in the body of the text.

Example - 👉 - Options Selection Report submission

Additional specific Hold Points, if required, will be determined by the NTA at the start of each Phase, or as otherwise advised by the NTA.

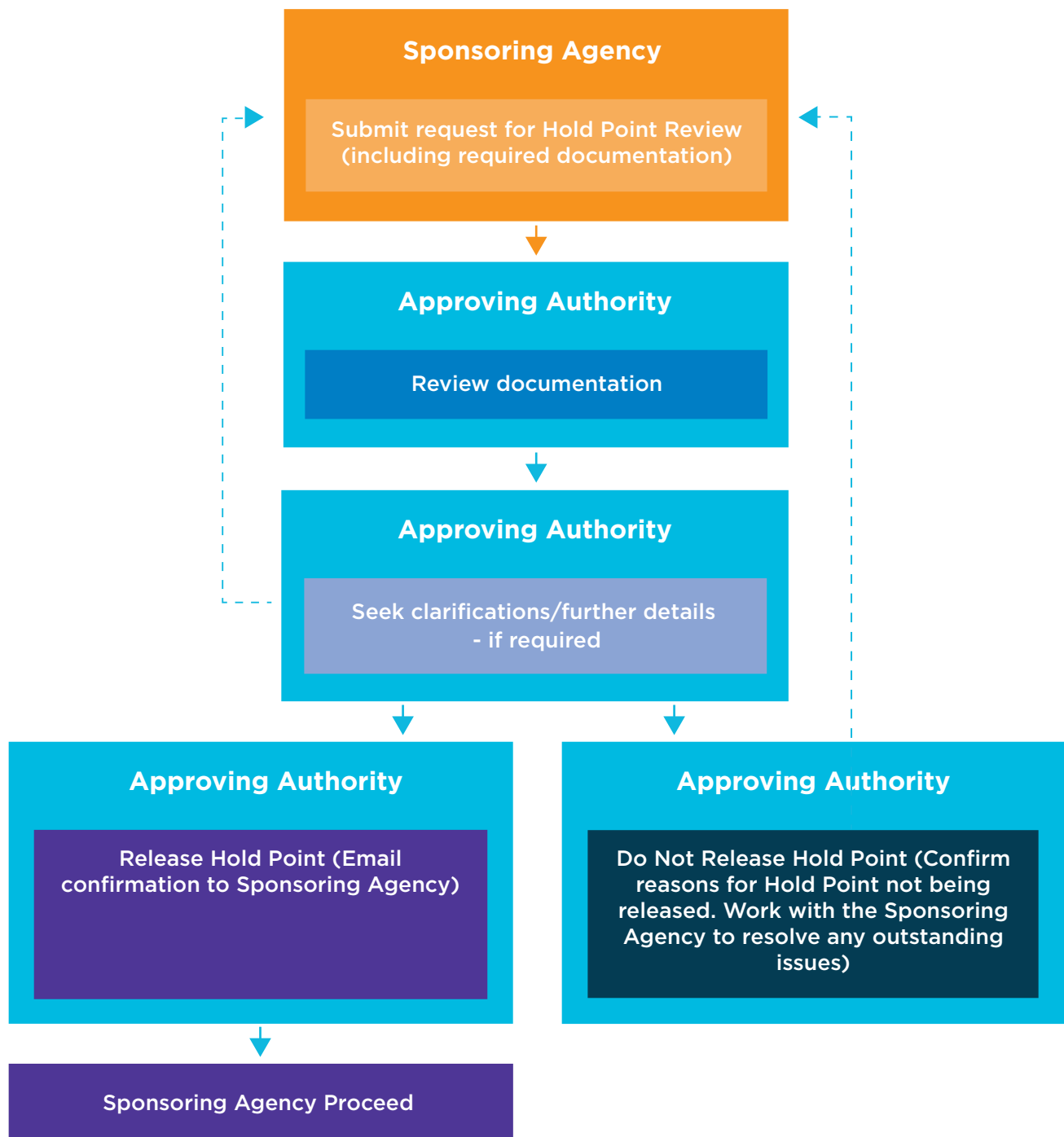
4.2.1 Hold Point Review Process

At a Hold Point, the Sponsoring Agency shall clearly indicate to the NTA in writing that it is seeking review of documentation to release the associated Hold Point.

The Sponsoring Agency shall submit the required documentation for NTA's review and provide sufficient time, as agreed by the NTA, for review of the documentation.

The NTA may seek additional information from the Sponsoring Agency at a Hold Point as required.

Upon review, and acceptance, the NTA will release the Hold Point and advise the Sponsoring Agency in writing that the Hold Point is released and the Sponsoring Agency can progress. Release of a Hold Point may be conditional. The process is detailed overleaf in Figure 7

Figure 7 Typical Hold Point Review Process

4.3 Fast-Tracking

Some projects, due to time constraints or the urgency of the needs which they address, may be 'fast-tracked', by running project Phases simultaneously. As a result, these Guidelines have been broadly written on the assumption that each Phase should be discrete and able to be progressed independently of any other Phase.

There may also be situations where a Sponsoring Agency wishes to undertake work on different Phases in parallel in order to optimise use of resources. Any decision to fast-track a project should generally be made in Phase 1, and NTA consent will be required. It is essential that consideration is given to the processes that are appropriate for this approach prior to a Sponsoring Agency embarking on fast-tracking a project.

A decision to fast-track a project implies a project specific process for reporting on progress and resolution of issues, which will continue to keep the NTA informed on critical indicators of progress and delivery of the project's objectives. NTA Gateways should also be applied appropriately to whatever amended process is agreed in advance of initializing the project. Special monitoring arrangements may also be required when it is agreed to fast-track a project. This may require the appointment by the Sponsoring Agency of a dedicated fast-track project coordinator.

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 and Gateways applied in an appropriate manner to the fast - tracked procedure.

Figure 8 Summary of Alignment of Approval Process – NTA Capital Investment Projects and Public Spending Code¹¹

NTA PHASES AND GATEWAYS				PSC STAGES AND GATES		
Phase/ Title	Phase Includes ***	Gateway	Gateway decision	Stage/ Title	Gate	Gate Decision
Phase 1 Scope and Purpose	Strategic Assessment Report*	Gateway 1	Decision to commence project and proceed to next Phase including Option development	Stage 1 Strategic Assessment *	Gate 0	Upon completion of the Strategic Assessment Report (for transport projects this is now clarified as being at the end of initial scoping stage in advance of feasibility studies);
Phase 2 Concept Development and Options Selection		Gateway 2	Decision to develop Preferred option to Preliminary Design level			
Phase 3 Preliminary Design	Preliminary Business Case**	Gateway 3	Decision to proceed to Statutory Process	Stage 2 Preliminary Business Case**	Gate 1	Approval in Principle for Preliminary Business Case – Upon completion of the Preliminary Business Case (Prior to planning application)
Phase 4 Statutory Processes		Gateway 4	Decision to proceed to further design and develop tender documentation			
Phase 5 Detailed Design and Procurement	Detailed Project Brief, Procurement Strategy, Pre-Tender Approval	Gateway 5a	Decision to proceed to tender for works	Stage 3 Final Business Case**	Gate 2	Pre Tender Approval - Upon completion of the Detailed Project Brief and Procurement Strategy (prior to commencing tendering for implementation)
	Final Business Case**	Gateway 5b	Decision to enter into contracts		Gate 3	Approval to proceed - Upon completion of the Final Business Case (following receipt of construction tenders and prior to award of contracts)
Phase 6 Construction and Implementation		Gateway 6	Decision on endorsement that the works are substantially complete	Stage 4 Implementation		
Phase 7 Close-out and Review	Project Completion Report	Gateway 7a	Decision to close the Project	Stage 5 Review		
	Ex- Post Evaluation Report	Gateway 7b	Decision on endorsement of whether project benefits have been realised	Stage 6 Ex-Post Evaluation*		

Note:

- * Projects over €10M - DPER review of documentation
- ** Projects over €100M - DPER review of Documentation
- *** Band Specific

¹¹ The mapping of the PSC to the NTA ICT approval gates is very similar except for a slight difference in phase numbering. More detail supporting the mapping can be found in Section C

Figure 9 Summary of Approval Process – ICT Projects

Phase/ Title	Gateway at end of Phase	Description of Gateway Decision
Phase 0 Concept	Gateway 1	Decision to commence project
Phase 1 Initiation	Gateway 1	Decision to initiate project based on funding and PID approval
Phase 2 Planning	Gateway 2	Decision to proceed on basis of agreed plans
Phase 3 Procure	Gateway 3a and 3b	Decision to on board successful bidder
Phase 4 Analysis	Gateway 4	Decision on agreed architectural and design approach
Phase 5 Build - Test	Gateway 5	Decision that the solution meets the objectives as outlined in PID
Phase 6 Deploy/Rollout	Gateway 6	Decision to deploy working solution to production environment
Phase 7 Handover and BAU	Gateway 7	Decision to close the project
Phase 8 Benefits Review	Gateway 8	Decision on whether project benefits have been realised

SECTION B

PROJECT PHASES - CAPITAL INVESTMENT

5. PHASE 1: Scope and Purpose
6. PHASE 2: Concept Development and Option Selection
7. PHASE 3: Preliminary Design
8. PHASE 4: Statutory Processes
9. PHASE 5: Detailed Design and Procurement
10. PHASE 6: Construction and Implementation
11. PHASE 7: Close-out and Review



5. PHASE 1: Scope and Purpose





Scale	Projects – Band 1 < €0.5 million	Projects – Band 2 > €0.5 million and < €10 million	Projects – Band 3 > €10 million
Key Deliverables	Completed Project Grant Application Form	Project Dossier (if applicable) Completed Project Grant Application Form	Project Dossier Completed Project Grant Application Form Prefeasibility Report and Preliminary Project Brief Strategic Assessment Report  Project Execution Plan Provisional Phase 2 Plan and Budget Gateway 1 Report
Approval Point	Gateway 1 	Gateway 1 	Gateway 1 
Leading to	Approval to proceed to Phase 2	Approval to proceed to Phase 2	Approval to proceed to Phase 2

Table 1 Capital Investment Phase 1– Key Deliverables

Please note that the listed deliverable items can be combined, for convenience, into a document (or documents) with required items included as separate chapters



NTA - Hold Point



NTA - Gateway Point

5.1 Applicability

The full provisions of this Phase apply to projects of greater than €10 million in total cost. The table above identifies the reduced deliverables required for Band 1 and Band 2 projects.

5.2 Purpose of Phase 1

The purpose of this Phase is to develop the preliminary work required to support a future Project Grant Application Form to the NTA for Approval in Principle for the project to commence and for initial funding allocation.

This Phase will ensure that the NTA and the Sponsoring Agency are fully aligned on the need to initiate the project at the current time and in accordance with current National, Regional, County and local plans, including those of the NTA, the relevant Local Authority Development Plans, and plans at the local level such as Local Area Plans.

The required outcome of Phase 1 is that the NTA and the Sponsoring Agency share an 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 for larger projects. This Phase may be characterized by preliminary studies to establish an agreement in principle that a project should be developed in a certain way.

Many current public transport investment projects have been defined in broad terms as part of the National Planning Framework, National Development Plan or Metropolitan Area Transport Strategies¹². Projects may also arise, subject to approval, as a result of requests from the Sponsoring Agencies for investment in specific infrastructure enhancements or major renewals. The NTA will undertake the initial assessment, with the support of the appropriate Sponsoring Agency, and the initial filtering of projects. The NTA will advise the Sponsoring Agency in instances when it wishes to initiate a project for NTA funding. This Phase 1 allows for the better definition of projects that the NTA wishes to move forward to planning and design. Phase 1 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 that this Phase allow for the firming up on initial assessment of the business requirements before major expenditure is committed in the establishment of a project team.

The Sponsoring Agency needs to consider the inputs, outputs, performance and impacts of proposed interventions and determine how these will be developed and monitored through the project lifecycle.

5.3 Key Phase 1 Activities

5.3.1 Assemble Information into Project Dossier

A project dossier should be assembled by the Sponsoring Agency containing all available information pertinent to the development of the project. This will be held by the Sponsoring Agency and should be available for NTA review at any stage.

The project dossier shall include the inter-dependencies with other projects and project 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.

The Sponsoring Agency 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 a grant application, and decision by, the NTA at Gateway 1. The knowledge gained shall be added to the information dossier. This project dossier should be updated as the project progresses and a summary of the dossier should form part of the Gateway report at the end of each Phase. For projects in Band 1 and 2, and particularly for newly initiated projects, it is unlikely that a project dossier will be required but this should be agreed with the NTA.

5.3.2 Grant Funding Application - All Project Bands

Once the Sponsoring Agency proposes to proceed with the project, the Sponsoring Agency may apply for funding to the NTA.

The NTA 'Project Grant Application Form', available from the NTA, should be used for all Capital Funding Applications. For most projects, the proposal should initially be discussed with the NTA in outline terms prior to completing the Project Grant Application Form.

The NTA will undertake an individual assessment of each application. The NTA reserves the right to seek clarification on any element of the application.

¹² NTA has published transport strategies for Dublin, Galway and Cork. Strategies for Limerick and Waterford are currently being prepared

Sponsoring Agencies shall refer to a separate procedure entitled “Capital Grant Application & Approval Procedures (for agencies/bodies external to the National Transport Authority)” available from the NTA which outlines further detail on the process through which grant funding is made available.

5.3.3 Prefeasibility Report and Project Brief- Project Band 3

The Sponsoring Agency will be responsible for distilling from the project dossier, a pre-feasibility report and a requirements statement in the form of a Preliminary Project Brief (as per DPER CWMF Guideline GN 1.2) as a key input to Phase 1 of the project. The Sponsoring Agency may also respond with its initial assessment of major issues related to scope and potential risks that may need to be mitigated.

5.3.4 Strategic Assessment Report – Project Band 3

A Strategic Assessment Report is required for all projects estimated to be €10M and over. The NTA reserves the right to require a Strategic Assessment Report for Projects less than €10M in specific cases.

The Strategic Assessment Report (SAR) should set out:

- Investment rationale
- Objectives
- Strategic alignment with Government policy
- Preliminary demand analysis
- Long-list of potential options
- Potential range of costs involved, both financial and economic
- Assessment of affordability in the context of available resources
- Identification of risks
- Framework for determining key performance indicators for the proposed intervention

- Appraisal plan, and
- An outline governance plan

The Sponsoring Agency shall develop the SAR in accordance with the PSC requirements.

For Projects over €100M the NTA will submit the SAR for review by DoT and DPER.



Submit Strategic Assessment Report for NTA review

5.3.5 Project Execution Plan and Provisional Phase 2 Budget – Project Band 3

The purpose of the Project Execution Plan (PEP) is to provide a core project management document which can monitor the scope of the project regarding expenditure and compliance to standards and policy. The Sponsoring Agency shall prepare a preliminary PEP for Phase 1, including a preliminary resource plan so that, if required, any funding needs can be determined by the Sponsoring Agency and provisional funding arrangements can be agreed with the NTA.

5.4 Phase 1 Key Deliverables

The key deliverables from this Phase of the project are as outlined in Table 1 for each of the project band categories.

5.5 Gateway 1

An NTA ‘Gateway 1’ review will be required after the completion of Phase 1.

The Sponsoring Agency will provide the NTA with copies of all required deliverables from Phase 1. If requested by the NTA, the Sponsoring Agency will meet the NTA for the purposes of briefing or clarification on the submitted material, or to discuss the NTA Gateway decision.

At Gateway 1, the NTA will consider, among other things, the brief as agreed with the NTA and the availability of project funding. Following consideration by the NTA, written approval may be issued as part of the Gateway review process confirming NTA's commitment to funding Phase 2 of the project.

The Gateway 1 review is intended to have the following outcomes:

- Approval of Phase 1 deliverables;
- Confirmation that a clear plan exists for the progression into the next Phase;
- Confirmation that the NTA wishes to proceed at this time.

For Projects within Band 1 the approval of the Project Grant Application Form will represent the Gateway review process.

5.5.1 Lines of Enquiry for the Gateway 1 Review

The Sponsoring Agency shall satisfy itself that the project has reached a sufficient level of development, prior to the start of the Gateway 1 Review. Key questions to be addressed by the NTA before granting Approval to Proceed to Phase 2 include:

- Why does this Project need to be done now?
- Is there sufficient preliminary analysis undertaken before embarking on this project?
- Does this project addresses national policy, strategic plans and business needs?
- What would happen if this project was not developed?
- What are the key risks for the Project?
- Are there lessons learned from previous projects that can be applied here?
- How will the benefits of the project be measured?
- What governance arrangements are proposed?

5.5.2 Gateway 1 – Outputs

If the Gateway 1 review has been successfully passed, the following outputs are expected:

- Validation of the Phase 1 project deliverables;
- Endorsement of the commitment to proceed to the next Phase.

Only when written approval is issued by the NTA should Phase 2 commence.

6. PHASE 2: Concept Development and Option Selection













Scale	Projects – Band 1 < €0.5 million	Projects – Band 2 > €0.5 million and < €10 million	Projects – Band 3 > €10 million
Key Deliverables	Project Execution Plan Phase 2 Project Appraisal report 	Project Execution Plan Project Brief  Project Feasibility Report including Feasibility Working Cost Estimate Option Selection Report  Stakeholder Management and Communication Strategy Consultation Plan  Indicative Procurement Strategy Phase 2 Project appraisal report  Gateway 2 Report	Project Execution Plan Project Brief  Project Feasibility Report including Feasibility Working Cost Estimate Feasibility level Project Programme Option Selection Report  Stakeholder Management and Communication Strategy Consultation Plan  Risk Management Strategy and Risk Management Plan Indicative Procurement Strategy Phase 2 Project appraisal report  Brief for Phase 3 and accompanying budget plan. Gateway 2 Report
Approval Point	Gateway 2 	Gateway 2 	Gateway 2 
Leading to	Approval to proceed to Phase 3	Approval to proceed to Phase 3	Approval to proceed to Phase 3

Table 2 Capital Investment Phase 2 – Key Deliverables

Please note that the listed deliverable items can be combined, for convenience, into a document (or documents) with required items included as separate chapters



NTA - Hold Point



NTA - Gateway Point

6.1 Applicability

The full provisions of this Section apply to projects of greater than €10 million in total cost. The Table 2 identifies the reduced deliverables required for Band 1 and Band 2 projects.

6.2 Purpose of Phase 2

The purpose of this Phase is to develop the project concept through options selection, including appraisal of the alternatives and options, and selection of the Preferred Option.

With Phase 2 commencing on a project, the NTA and Sponsoring Agency 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 will ensure that the need for the Project is confirmed and the concept and feasibility of undertaking the Project is sufficiently developed in order to determine how it is to be scoped and delivered. Arising from information assembled during this Phase, a Feasibility Working Cost Estimate should also be produced for Bands 2 and 3.

All public transport investment projects involve making choices, whether between alternative modes, technologies, routes, stop locations, or other features of a Project. It is essential that selected options meet transportation demand and business need, can gain statutory approval and, as far as reasonable, align with stakeholder requirements.

This Phase is necessary to confirm technical and initial 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 Sponsoring Agency and the NTA to decide whether to proceed further with the development of the project.

This Phase requires the Sponsoring Agency to undertake option development and initial appraisal of options compared to a baseline. Regardless of the type of project, the baseline will either be a 'Do Nothing' or a 'Do Minimum' scenario that forms the basis against which the 'Do Something' options are assessed. The Sponsoring Agency should select and define the Base Case and Options in accordance with the DOT 'Common Appraisal Framework', and any additional guidelines issued by the NTA or Central Government. Notably, Sponsoring Agencies should consider if there are management, rather than infrastructure 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.

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

The Sponsoring Agency should work with the NTA to determine the approximate scope limits of the proposed project. This will identify the physical parameters of the project (e.g. a route) and key features of the project.

It will be necessary for the Sponsoring Agency to continuously monitor the scope of the project 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 Sponsoring Agency will be interested in the control of the scope in terms of Cost, Time and Quality.

6.3 Key Phase 2 Activities

6.3.1 All Bands

6.3.1.1 Project Execution Plan (PEP)

The purpose of the PEP is to provide a core project management document which can monitor the scope of the project regarding expenditure and compliance to standards and policy. This document should be viewed as a working document and updated in accordance with progression of a project. A template for a standard PEP is available from the NTA. The PEP should be customised to suit the particular project and it may not be possible or required to fill in all sections in the early Phases of project development; similarly larger projects may require additional detail to be included.

The Sponsoring Agency shall comply with the DPER CWMF Guideline GN 1.1 and in addition should cover the following areas:

- Performance management plan;
- Safety and environmental issues;
- Risks and sensitivity analysis;
- Role, responsibilities and authorities;
- Contracting and procurement, including Indicative Procurement Strategy;
- Administration systems and procedures;
- Project control and assurance including management and governance arrangements; and
- Project evaluation.

The PEP shall also include a programme detailing the proposed sequence of deliverables required of each Phase as described herein, including Hold Points.

The PEP shall be developed and maintained by the Sponsoring Agency and subject to review by the NTA as appropriate.

The Sponsoring Agency should ensure adequate consideration is given to identifying risks associated with the project.

Appropriate cost allowance shall be developed to address the likelihood and the implications of the risks materialising. Of equal importance is the identification of appropriate mitigation measures to minimise the probability and consequence of the individual risks. For larger projects a formalised risk assessment process will be required; for smaller projects the identification of an appropriate contingency allowance may be sufficient. Where a formalised risk assessment process has been undertaken, a Risk and Contingency Report should be prepared as an appendix to the Total Project Cost. Refer to the NTA Cost Management Guidelines for further guidance.

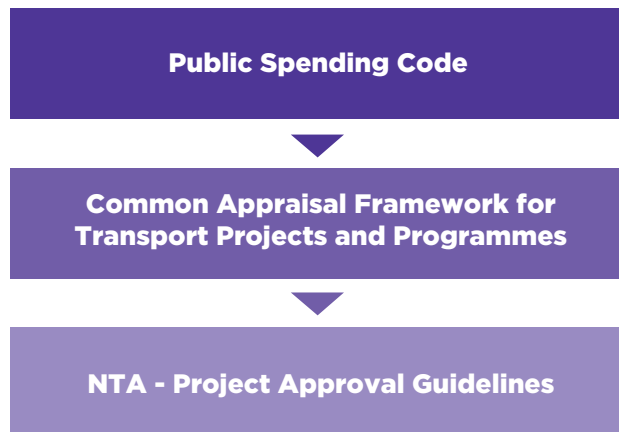
6.3.1.2 Project Appraisal

A Project appraisal shall be undertaken, in accordance with the DPER Guidelines and the DOT Common Appraisal Framework. The aim is to assess whether the project merits a more detailed appraisal.

All projects shall have an appraisal completed commensurate with the size/value of the project. Figure 11 provides the hierarchy of project guidance documents for project appraisal.

The project appraisal shall be in accordance with the DOT publication, Common Appraisal Framework (CAF) for Transport Projects and Programmes.

Figure 10 Hierarchy of Project Guidance Documents for Project Appraisal



The project base case and option selection, definition, comparative evaluation and initial appraisal of the preferred project are critical activities underpinning the ultimate final business case for the preferred project. Consequently, the Sponsoring Agency is required to 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 Preliminary Business Case to be developed in Phase 3.



Submit Phase 2 Project Appraisal Report for NTA review

6.3.2 Project Band 2 and 3

In addition to the deliverables as required above, the following are required for Band 2 and Band 3 projects, unless otherwise agreed with the NTA.

6.3.2.1 Project Brief

A Project Brief including a Project Definition shall be developed during this Phase. The Project Brief shall be developed in accordance with the DPER CWMF Guideline GN1.2 and the PSC requirements.

The Project Brief should be developed to ensure adequate identification of the requirements and objective(s) of the project and should take account of interfaces with other NTA-funded Capital Investment projects or existing subsidised public transport services. Any proposed changes in subsequent Phases to the Project Brief shall only be implemented with the approval of the NTA.

The Project Brief shall detail the requirements that can enable a responsive and efficient design process, with a minimum number of iterations arising out of amendments.

The Project Definition should consist of a set of activities that have as their final purpose the development of a Detailed Project Brief, which is a deliverable required within Phase 5.

The Detailed Project Brief is the full and complete statement of the project expressed in output requirements. It defines all design requirements for a project including performance standards and quality thresholds.

Development of the Detailed Project Brief required in Phase 5 is a process that involves adding new information and continuous refinement of initial information available at the Preliminary Business Case stage within Phase 3.

The Project Brief to be developed within Phase 2 should:

- Define the purpose and scope of the project clearly and unambiguously;
- State all requirements, both quantitative and qualitative, that the project must satisfy;
- Minimize the number of project assumptions to a manageable level going forward;

- Identify all known risks and where possible eliminate, mitigate or arrange for the transfer of such risks. For those risks where this is not possible the treatment of these risks should be deferred to the next activity;
- Provide contingency arrangements for the possibility of unknown risks that might subsequently arise during the delivery process;
- Set budget objectives and relate these to service delivery outcomes; and
- Reduce the risk of cost and time overruns through realistic master planning.



Submit Project Brief for NTA review

6.3.2.2 Option Selection Report & Option Comparison Cost Estimate

For most projects, an options selection process should be carried out. However, in the case of small limited projects, this may not be required. An options selection process (“optioneering”) should determine the Preferred Option. Depending on the project type, optioneering should consider the realistic alternatives for the implementation of the project. These alternatives may involve different modes, routes or alignments, alternative designs, or substitute approaches that could also deliver the core project objectives.

The Sponsoring Agency shall assess the options against the baseline to select a preferred option. A clearly defined appraisal methodology, set out in the SAR, should be used, in the selection of the Preferred Option. The Preferred Option will form the basis for the further development of the project.

The Sponsoring Agency shall prepare an Option Comparison Cost Estimate, unless otherwise agreed with the NTA, considering options being considered and any design information available/obtained during this Phase.

The Option Comparison Cost Estimate shall be prepared in accordance with the NTA Cost Management Guidelines, which includes the quantification of contingency.

When a Preferred Option has been selected, it may be necessary, in the case of larger projects, to undertake a Peer Review at this stage. The NTA will advise when this is the case.

In some instances, the Peer Review Group may identify certain issues which require further clarification. If this is the case the responsible party should provide this clarification.



Submit Option selection Report for NTA review

6.3.2.3 Procurement Strategy

The Sponsoring Agency shall ensure that an indicative contracting and procurement strategy for the project is developed. The procurement strategy shall consider procurement options and the associated risks and opportunities. The Sponsoring Agency shall submit the Strategy, with recommendations, to the NTA for review.

6.3.2.4 Stakeholder Management and Communication Strategy

The Sponsoring Agency shall submit a Stakeholder Management and Communication Strategy for NTA review. The strategy shall set out how the Sponsoring Agency will identify key stakeholders, manage stakeholder interfaces and provide detail of how effective communication will be managed including the type and frequency of communication for each stakeholder.

6.3.2.5 Consultation Plan

On projects involving, for example, route selection, there may be a requirement for public consultation as part of the option assessment process.

The Sponsoring Agency shall ensure that the appropriate degree of consultation with the public and other stakeholders is carried out. Public consultation and participation is frequently essential to the successful planning of developments. Inadequate public consultation can lead to unnecessary conflict and costly delays to projects. The NTA therefore supports the use of non-statutory public consultation, where appropriate.

The Sponsoring Agency shall submit a Consultation Plan which identifies how the Sponsoring Agency intends to undertake public and key stakeholder statutory and non-statutory consultation.

The Consultation Plan shall identify the timing and duration of the consultation, the intended public reach, the form of consultation proposed, the proposed consultation documents, and the proposed mechanism for consultation and how submissions and feedback will be collected and addressed.

The Sponsoring Agency shall agree the consultation plan including the consultation documents with the NTA prior to any engagement being undertaken and before making any form of public announcement in relation to options.



Submit Consultation Plan for NTA review

The NTA will retain the option of contributing feedback as part of the consultation process and will expect to be briefed on the outcome. The Sponsoring Agency shall ensure that the Preferred Option is agreed with the NTA.

6.3.2.5.1 Statutory Consultation

When there is a requirement for the Sponsoring Agency 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 the Sponsoring Agency to provide advance notification of this to the NTA. The Sponsoring Agency shall provide a copy of any information proposed to be provided as part of the statutory consultation process for NTA review. The NTA will retain the option of contributing feedback as part of the consultation process and will expect to be briefed on the outcome.

6.3.2.6 Feasibility and Feasibility Working Cost Estimate

The Sponsoring Agency shall commission feasibility studies as required to establish the quantitative and cost aspects of the project and confirm the financial and economic appraisal of the project. This information needs to be in a sufficient level of detail to enable a final and reasoned decision to be made on whether to proceed. To inform this decision, a Feasibility Working Cost (FWC) shall be prepared for the project, unless agreed otherwise with the NTA. Taking account of the stage, the FWC shall be prepared in accordance with the NTA Cost Management Guidelines. The FWC shall also be compliant with DPER CWMF Guidance Notes GN 1.1 and GN 1.3. The FWC should be as detailed as possible taking account of limitations on the extent of the project information at this early stage in development.

All elements of the project evaluation are prone to distortion by cognitive or behavioural biases. Awareness of these can help guard against forecasts being unduly optimistic or costs and risks being undervalued.

Project appraisals should include a comprehensive approach to addressing optimism bias. Forecasts should draw on outturn data for similar projects in Ireland or elsewhere and the evidence base for assumptions such as demand forecasts, cost estimates and delivery schedules.

It is the responsibility of the Sponsoring Agency to ensure that suitable mechanisms are in place to address optimism bias in the assessment of project demand/benefits, forecast costs and delivery programme.

A Contingency Calculator is included in the NTA Cost Management Guidelines which can be used when considering an appropriate level of contingency to include in cost estimates

6.3.2.7 Risk Management

The Sponsoring Agency shall develop a Risk Management Strategy and Risk Management Plan in accordance with the CWMF GN 1.1 and the requirements of the PSC.

The Risk Management Strategy shall be put in place which should be developed based on the detailed knowledge and understanding of the risks relating to a project and include details of the development of reliable plans for risk allocation and proactive risk management.

The Sponsoring Agency shall develop the Risk Management Plan and identify the actions that management need to take to mitigate risk.

6.3.2.8 Project Management Structure

For projects above €10 million, more formal project management structures with supporting processes including the appointment of initial project resources should be instigated.

In addition to the Key Phase 2 activities as listed in the sections above, for Band 3 projects this Phase should include the following activities by the Sponsoring Agency to ensure the project is developed in a timely and efficient manner:

- Outline the project management structure (including role & responsibilities and initial stakeholder management and communication strategy);
- Appoint a Project Manager (and, where appropriate, a Project Director) and core resources;
- Confirm Governance proposals and arrangements;
- Confirm initial funding requirements;
- Agree reporting requirements;
- Develop a Functional Specification, where applicable;
- Set out the project programme and objectives to progress the project;
- Establish a Risk Management Strategy and Risk Management Plan;
- 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; and
- Prepare a brief for Phase 3 and accompanying budget plan.

Where the NTA is the Approving Authority, 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 specific details of skills and expertise of appointed resources.

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

The Sponsoring Agency shall appoint a Project Manager (and, where appropriate, a Project Director) and shall establish its own internal reporting arrangements. The designated point of contact with the NTA will be notified to the Sponsoring Agency as part of the project funding approval process.

The Sponsoring Agency 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; and
- An initial list of key stakeholders who need to be informed of the project and supporting service providers who are involved with it.

The Sponsoring Agency shall ensure that this information is kept updated. This document will form an important basis of project plans, stakeholder communications and consultation plans.

6.3.2.9 Project Reporting

Once the Phase 2 funding arrangements have been agreed with the NTA, the Sponsoring Agency shall be responsible for completing monthly expenditure reports in order that project funding allocation can be drawn down in a timely manner.

The Sponsoring Agency shall also be responsible for establishing regular progress monthly reporting to the NTA so that it is kept informed of project progress and, as required, a meetings schedule.

6.3.2.10 Project Programme

The Sponsoring Agency shall prepare a Project Programme for the Project in line with the objectives contained within the Project Brief. The Programme shall confirm project targets, key deliverables and critical path activities for each Phase. The Programme 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 Gateways (following NTA input);
- Identification of key interdependencies with external organisations; and
- Key funding or hold points (e.g. contract award).

The Project Programme will need to be updated on a regular basis and will form part of the Project Brief and Project Execution Plan.

6.3.2.11 Phase 3 Brief and Plan

The Sponsoring Agency shall prepare a brief for the tasks to be undertaken in Phase 3 and a costed plan for that Phase.

6.4 Phase 2 Key Deliverables

The key deliverables from this Phase of the project are as outlined in Table 2 for each of the project band categories.

6.5 Gateway 2

An NTA 'Gateway 2' review will be required after the completion of Phase 2 and the release of all Hold Points. The Sponsoring Agency will provide the NTA with the deliverables required from Phase 2. If requested by the NTA, the Sponsoring Agency will meet the NTA for the purposes of briefing or clarification on the submitted material, or to discuss the NTA Gateway decision.

The Sponsoring Agency needs to demonstrate that the preferred option is the best option to meet the Project Brief as well as economic, environmental and policy requirements.

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

- Approval of the project scoping and feasibility stage;
- Approval of the preferred option as the best option;
- Confirmation that the Project Appraisal process has been rigorous and supports the selection;
- Update to key project documentation, e.g. Project Brief and Project Appraisal;
- 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; and
- Confirmation that a clear plan exists for the progression into Phase 3.

6.5.1 Lines of Enquiry for the Gateway 2 Review

The Sponsoring Agency shall satisfy itself that the project has reached a sufficient level of development, prior to the start of the Gateway 2 Review.

Key questions to be addressed by the NTA before granting Approval to Proceed to Phase 3 include:

- What level of confidence is there that the preferred option is the best option?
- Is the Project Appraisal sufficiently developed for this Phase?
- Is the Do Nothing or Do Minimum correctly ruled in or out?
- Does this project still address strategic plans and business needs?
- Is there evidence of a clear, well developed strategy and plan to proceed to the next Phase?
- Are major project constraints and risks clearly identified and are proposed treatments appropriate?
- Is the project developed to the level to be expected for this Phase of its development?
- Is the scope well defined?
- Are the project management and governance arrangements put in place sufficiently robust?
- Is the indicative procurement strategy appropriate?
- Will feedback from consultation be adequately addressed?

6.5.2 Gateway 2 – Outputs

Gateway 2 is important in that it commits the Sponsoring Agency to a preferred option.

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

- Validation of the Phase 2 project deliverables;
- Endorsement of the preferred option; and
- Endorsement of the decision to proceed to the next Phase to develop the preliminary design.

Only when written approval is issued by the NTA should Phase 3 commence.

7. PHASE 3: Preliminary Design







Scale	Projects – Band 1 < €0.5 million	Projects – Band 2 > €0.5 million and < €10 million	Projects – Band 3 > €10 million
Key Deliverables	Preliminary Cost estimate Preliminary Design  Phase 3 Appraisal Report	Preliminary Cost Estimate Procurement strategy report Preliminary Design and Preliminary Design  Preliminary Business Case Gateway 3 Report	Updated PEP Preliminary Design and Preliminary Design  Report Stage 1 Road Safety Audit and Road User Audit Reports (if applicable) Preliminary Cost Estimate Report, with accompanying risk assessment, value management and peer review reports Procurement Strategy report Preliminary Business Case Brief for Phase 4 and accompanying budget plan Gateway 3 Report
Approval Point	Gateway 3 	Gateway 3 	Gateway 3 
Leading to	Approval to proceed to Phase 4	Approval to proceed to Phase 4	Approval to proceed to Phase 4

Table 3 Capital Investment Phase 3– Key Deliverables

Please note that the listed deliverable items can be combined, for convenience, into a document (or documents) with required items included as separate chapters



NTA - Hold Point



NTA - Gateway Point

7.1 Applicability

The full provisions of this Section apply to projects of greater than €10 million in total cost. The table above identifies the reduced deliverables required for Band 1 and Band 2 projects.

7.2 Purpose of Phase 3

The purpose of Phase 3 is twofold:

Firstly, this is when the Sponsoring Agency develops a Preliminary Design, following the selection of a preferred option, to a level where there is sufficient detail to establish land-take requirements (if applicable), broad environmental impacts (including archaeology and built heritage) and a preliminary cost estimate.

Secondly, having completed the Preliminary Design and Preliminary Cost Estimate, the Sponsoring Agency is then able to develop the Preliminary Business Case ready for submission to the NTA for approval at Gateway 3.

To inform the design work at this Phase it is required that the Sponsoring Agency has enough preliminary work undertaken for preparation of the Environmental Impact Assessment Report and the Planning Application/Railway Order application. This will allow for the natural iterations that are required in developing the design.

A Preliminary Cost Estimate should be produced using the greater level of detail and information assembled during this Phase.

The Preliminary Design should consider the project's objectives and ensure that the design addresses those objectives. In the case of certain projects in Band 1, it may be more practical to carry out Detailed Design, rather than both a Preliminary and Detailed Design. This should be agreed with NTA in advance of commencement of design.

Regardless of project scale it remains the responsibility of the Sponsoring Agency to keep the NTA informed of progress and issues arising during this Phase.

7.3 Key Phase 3 Activities

7.3.1 Overview

The main activities of this Phase are to:

- Establish what consents are applicable to the project in question, and what activities are required in order to achieve those consents; arrange 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 project in question;
- Undertake the preliminary design or, for systems, develop technical requirements specifications, of all elements of the project (including, for instance, permanent way, stops and stations, depots, park and ride facilities, control buildings, signalling and control systems, fleet and rolling stock);
- Prepare a detailed contracting and procurement strategy, setting out the work packages into which the project will be split so that the design and specification work can be split in a similar manner; and
- In the case of a service focussed project, prepare a draft operations strategy setting out how the project will be operated and what plant, equipment and resources are required.

Having completed the preliminary design, further activities to follow include:

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

- Identify any 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);
- Confirm the construction strategy;
- Prepare the Preliminary Cost Estimate (including land costs);
- Prepare the Preliminary Business Case; and
- Plan the remaining activities of Phase 4, including a budget plan.

7.3.2 Preliminary Design

The Sponsoring Agency should prepare a Preliminary Design for the project. Following the identification of the Preferred Option as outlined in Phase 2, the Sponsoring Agency should ensure that the Preliminary Design is developed on the basis of the Preferred Option and that the design is sufficient to meet the project objectives as set out in Phase 2.

Where required, adequate mapping, surveys, and ground and service investigation should be undertaken. A Preliminary Design Report (PDR) should be prepared during this phase for all projects in Band 2 and Band 3. The PDR should specifically highlight:

- land-take requirements;
- overall layout and general arrangements;
- broad environmental impacts;
- mitigation measures; and
- transport benefits.

Consultation with stakeholders should occur at this stage of the project, as necessary, for individual project requirements.

For larger projects, it may be deemed necessary to arrange a Peer Review on completion of the PDR. In some instances, the Peer Review Group may identify certain issues which require further clarification. If this is the case, the responsible party should provide required clarification. Following the Peer Review of the PDR, no further changes should be made to the PDR prior to its passage through statutory processes (if applicable) without the prior agreement of the NTA.

The preliminary design and the PDR shall be submitted to the NTA for review.



Submit Preliminary Design and Preliminary Design Report for Review

7.3.3 Preliminary Cost Estimate

The Sponsoring Agency shall prepare a Preliminary Cost Estimate, considering the developed design together with any information obtained during Phase 3.

The Preliminary Cost Estimate shall be prepared in accordance with the NTA Cost Management Guidelines.

Costing information should be based on market costs, the most recent costs from similar projects and be informed by estimates of inflation and risks from similar projects in the past. To improve the accuracy of cost estimates, the risk of optimism bias should be minimised through the use of appropriate tools, such as external peer review, benchmarking and reference class forecasting.

7.3.4 Land Acquisition and Environmental Assessment

Following from the Preliminary Design it should be clear if land-take is required or if any environmental assessments are required. If land acquisitions are required, the Sponsoring Agency should undertake such procedures in accordance with best practice.

If it is determined that an environmental assessment is required, the Sponsoring Agency should determine what appropriate degree of assessment is needed to bring the project through the relevant Statutory Processes.

7.3.5 Risk Identification, Mitigation and Management

The Sponsoring Agency shall ensure that risk assessments and reviews are undertaken and that key risks have been identified, with an assessment of likely impacts and required mitigations. The Sponsoring Agency 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 Preliminary Cost Estimate report. The Sponsoring Agency should ensure that any impact of risk mitigation on project scope, benefits or outputs is analysed and reported to the NTA.

Templates and processes identified in the NTA Cost Management Guidelines shall be utilised, where appropriate, to assist the risk assessment process.

7.3.6 Value Management

The Sponsoring Agency shall ensure that value management processes are being utilised and that the results are explicitly reflected in the costs reported at this Phase. For larger projects, a value management report may be required to support the Preliminary Cost Estimate report. The Sponsoring Agency also should ensure that any impacts on the project benefits or outputs as a result of the value management process are taken into account and reported to the NTA.

7.3.7 Whole Life Cost Estimate

In addition to preparing capital cost estimates for a project, in order to prepare the project financial and economic appraisal, it will also be necessary to establish whole life cost estimates for the project in accordance with the requirements of the DOT Common Appraisal Framework.

These will need to include projections of operating, maintenance and renewal costs for the period of the appraisal.

7.3.8 Phase 3 Appraisal and Preliminary Business Case

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 Design process. The project benefits, disbenefits, impacts and objectives will also be updated to reflect any changes in the project or its outputs. Detailed quantitative analysis will be undertaken during this Phase. This, and all appraisal activities, will reflect the DOT Common Appraisal Framework, the PSC and any additional guidelines that may be produced by the NTA or Central Government.

The Phase 3 Appraisal will take the form of a Preliminary Business Case for projects in Band 2 and 3 and shall include the following elements:

- Confirmation of the strategic relevance of the proposal and detailed specification of the objective of the proposal;
- Description of the short-list of potential options to deliver the objectives set out;
- Detailed demand analysis and description of underlying assumptions;
- Options appraisal, including:
 - Financial appraisal;
 - Economic appraisal;
 - Sensitivity and Scenario Analysis;
- Assessment of affordability within existing resources;
- Risk assessment, allowance for optimism bias and full risk management strategy;
- Proposed approach to procurement;

- Proposed approaches to implementation and operation;
- Assessment of delivery risk;
- Plan for monitoring & evaluation including key performance indicators; and
- Recommendation to the Approving Authority.

The Sponsoring Agency shall ensure that a Preliminary Business Case report is produced in this Phase. This is a key deliverable. In accordance with the DOT Common Appraisal Framework, the report will include the option selection and assessment tasks undertaken in Phase 2.

For projects over €100M Government Approval in Principle of the Preliminary Business Case is required.

7.3.9 Procurement Strategy

The Sponsoring Agency shall ensure that a detailed contracting and procurement strategy for the project is prepared; including identifying any proposed advance enabling works and supply contracts. The procurement strategy shall consider procurement options and the associated risks and opportunities and shall include a procurement programme. The Sponsoring Agency shall submit the Strategy, with recommendations, to the NTA for review.

7.3.10 Road User Audit and Stage 1 Road Safety Audit

If relevant, the Sponsoring Agency shall ensure that a Road User Audit and a Stage 1 Road Safety Audit are undertaken at this stage of the project. If the Sponsoring Agency is unclear as to whether a Road User Audit and/or a Stage 1 Road Safety Audit is/are required, clarification can be sought from the NTA. A Road User Audit and/or a Stage 1 Road Safety Audit should be carried out prior to the completion of the PDR and its Peer Review.

7.3.11 Project Execution Plan

The Sponsoring Agency should ensure the Project Execution Plan (PEP) is updated in accordance with the progress of a project, as more and better-quality information becomes available.

7.3.12 Phase 4 Brief and Plan

The Sponsoring Agency shall prepare a brief for the tasks to be undertaken in Phase 4 and a costed plan for that Phase.

7.4 Phase 3 Key Deliverables

The key deliverables from this Phase of the project are as outlined in Table 3 for each of the project band categories.

7.5 Gateway 3

An NTA 'Gateway 3' will be required after the completion of Phase 3. The Sponsoring Agency will provide the NTA with copies of the deliverables from Phase 3. If requested by the NTA, the Sponsoring Agency will meet the NTA for the purposes of briefing or clarification on the submitted material, or to discuss the NTA Approval Point decision.

At Gateway 3 the NTA will consider, among other things, the brief as agreed with the NTA, the availability of project funding and any outcomes of consultation.

Passing Gateway 3 signifies the commitment to a project based on a developed preliminary design, a preliminary cost estimate and a preliminary business case. However, the NTA needs to be satisfied that the project is sufficiently developed before giving approval to proceed through to Phase 4.

The Gateway3 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 any required statutory approvals.

7.5.1 Lines of Enquiry for the Gateway 3 Review

The Sponsoring Agency shall satisfy itself that the project has reached a sufficient level of development, prior to the start of the Gateway 3 Review. Key questions to be addressed by the NTA before granting Approval in Principle to proceed to Phase 4 include:

- Is the preliminary design is developed to the required level?
- Is there clear management of major issues and risks?
- Is the proposed procurement strategy considered robust and suitable?
- Is there confidence from the Preliminary Cost Estimate and the Preliminary 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 plan to proceed to the next Phase?
- Are the proposed benefits of the project reflected in the design and planning application?
- Is the governance structure and governance arrangements still fit for purpose in the context of the current phase?

7.5.2 Gateway 3 Outputs

If the Gateway 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 Preliminary Business Case; and
- Endorsement of the decision to proceed with development and finalisation of documentation required for an application for the appropriate statutory approvals.

Only when written approval is issued by the NTA should Phase 4 commence.

8. PHASE 4: Statutory Processes








Scale	Projects – Band 1 < €0.5 million	Projects – Band 2 > €0.5 million and < €10 million	Projects – Band 3 > €10 million
Key Deliverables	Final Documentation for Planning (if applicable)  Planning Outcome Report(if applicable)	Final Documentation for Planning (if applicable)  Planning Outcome Report Gateway 4 Report	Reference Design  Statutory consents documentation (including planning, environmental and CPO consents)  Planning Outcome Report Updated Preliminary Cost Estimate Updated Procurement Strategy Brief for Phase 5, including updated PEP, and accompanying budget plan. Gateway 4 Report
Approval Point	Gateway 4 	Gateway 4 	Gateway 4 
Leading to	Approval to proceed to Phase 5	Approval to proceed to Phase 5	Approval to proceed to Phase 5

Table 4 Capital Investment Phase 4 – Key Deliverables

Please note that the listed deliverable items can be combined, for convenience, into a document (or documents) with required items included as separate chapters



NTA - Hold Point



NTA - Gateway Point

8.1 Applicability

The full provisions of this Section apply to projects of greater than €10 million in total cost. The table above identifies the reduced deliverables required for Band 1 and Band 2 projects.

8.2 Purpose of Phase 4

The purpose of Phase 4 is to finalise the submission of the statutory consent documents for a Scheme (including planning, environmental and land acquisition), seek the appropriate statutory approvals and support the approval process to its conclusion.

At the same time, the Sponsoring Agency should be preparing for land acquisition, advance enabling works or supply contracts to be let at the conclusion of this Phase. Preliminary design for the main Scheme may be progressed to a more detailed level to allow enabling works to be designed if approved by the NTA. This would be treated as fast-tracking and needs to be approved in advance by the NTA.

Not all projects require statutory planning approval involving consultation processes; some can be implemented under general enabling statutory processes, and others may not need any statutory procedures.

Following the completion of all required statutory processes, the Sponsoring Agency shall update the Preliminary Cost Estimate and Procurement Strategy to reflect the outcome of those processes.

It is the responsibility of the Sponsoring Agency to continue to keep the NTA informed of progress and issues arising.

The requirements of Phase 4 vary and are dependent on the type of project and its scale or impact, ranging from a project exempted from the planning process to a project requiring a full EIAR and/or Compulsory Purchase Order.

8.3 Key Phase 4 Activities

8.3.1 Reference Design

The Sponsoring Agency shall prepare the Reference Design for inclusion in the applicable planning application. The Reference design shall be agreed with the NTA. In many cases, the Reference Design will be the Preliminary Design.



Submit draft Reference Design for NTA review

8.3.2 Application for Statutory Approvals

The Sponsoring Agency shall consult with the NTA to ensure agreement on the relevant project details prior to submitting any documents for statutory planning approval. This is particularly important where the project parameters, in terms of design, costs and benefits, have changed in any significant way from those developed and validated in Phase 3. Where project details remain unchanged from those agreed in Phase 3, the NTA may agree with the Sponsoring Agency to waive this requirement.

The statutory consent documents must be prepared in accordance with the applicable legislation and should reflect an understanding of issues and sensitivities that are likely to be of importance in the consent process.



Submit draft Application for Statutory or legislative Approvals to NTA for review

8.3.3 Outcome of Application

If statutory planning approval is forthcoming, there may be commitments made during consultations with stakeholders and elected members, i.e. conditions imposed on the approval which could affect the project outputs, costs, benefits and programme.

The Sponsoring Agency should, as soon as practicable after the planning conditions are known, produce a report of the outcome of the planning process. This report should include:

- the outcome of the planning process including a copy of the Planning Approval;
- a review of the granted consents and their terms;
- a review of any impacts the terms of approval may have on the Project going forward; and

- identify any changes arising from the planning processes to the Project Brief, costs and/or benefits of the proposed project, or other matters which would be likely to alter the initial appraisal.

If statutory approval is not granted, this should be reported to the NTA. Alterations should be discussed at this stage.

8.3.4 Update of Preliminary Cost Estimate

The Sponsoring Agency shall ensure that the Preliminary Cost Estimate is updated to reflect any changes made or insight gained in this Phase, either pre- or post-statutory approval, as a result of any conditions imposed.

Any update to the Preliminary Cost Estimate shall be prepared in accordance with the NTA Cost Management Guidelines.

Any additional budget requirements which were not foreseen or accounted for in the Preliminary Cost Estimate should be approved by the NTA prior to proceeding. Reimbursement to the Sponsoring Agency of any unapproved costs may be declined at a later stage.

8.3.5 Update of Procurement Strategy

The Sponsoring Agency shall ensure that the Procurement Strategy is updated to reflect any changes during this Phase.

8.3.6 Phase 5 Brief and Plan

The Sponsoring Agency shall prepare a brief for the tasks to be undertaken in Phase 5, provide an updated PEP and a costed plan for that Phase.

8.3.7 Other activities

Where appropriate and following consultation with the NTA, the Sponsoring Agency shall prepare contracts for land acquisition and for any advance works that may be required to be undertaken in advance of the main construction / implementation contracts.

8.4 Phase 4 Key Deliverables

The key deliverables from this Phase of the project are as outlined in Table 4 for each of the project band categories.

In addition to the key deliverables referred above any updates to the Project Execution Plan during this Phase should also be provided to the NTA.

8.5 Gateway 4

An NTA 'Gateway 4' review will be required after the completion of Phase 4. The Sponsoring Agency will provide the NTA with copies of the deliverables from Phase 4. In certain circumstances some deliverables may be omitted with NTA agreement. If requested by the NTA, the Sponsoring Agency will meet the NTA for the purposes of briefing or clarification on the submitted material, or to discuss the NTA Gateway.

At Gateway 4 the NTA will consider, among other things, the brief as agreed with the NTA, the availability of project funding and any outcomes of consultation and the Statutory Planning process.

The Gateway 4 review is intended to have the following outcomes:

- Approval of the Phase 4 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 entering into land acquisition, advanced enabling works or supply contracts.

8.5.1 Lines of Enquiry for the Gateway 4 Review

The Sponsoring Agency shall satisfy itself that the project has reached a sufficient level of development, prior to the start of the Gateway 4 Review. Key questions to be addressed by the NTA before granting Approval to Proceed to Phase 4 include:

- Has the Planning Process fully concluded and what is the impact of the outcome?
- Has any planning conditions changed the benefits of the project?
- Is there a clear plan for entering into purchasing land required for the project?

8.5.2 Gateway 4 – Outputs

If the Gateway 4 review has been successfully passed, the following outputs are expected:

- Validation of the Phase 4 project deliverables;
- Endorsement of the decision to proceed into advanced enabling works or supply contracts and authority to proceed with the acquisition of land in accordance with the relevant statutory processes;
- Commitment to start preparations for the procurement of major construction and supply contracts; and
- Agreement to the plans for the next stage of work.

Only when written approval is issued by the NTA should Phase 5 commence.

9. PHASE 5: Detailed Design and Procurement








Scale	Projects – Band 1 < €0.5 million	Projects – Band 2 > €0.5 million and < €10 million	Projects – Band 3 > €10 million
Key Deliverables	Updated Design-  (if applicable) Tender Report Total Project Cost Phase 5 Appraisal Report	Updated Design Tender Documents  Tender Report Road Safety/Road User Audits (if applicable) Detailed Project Brief Total Project Cost Phase 5 Appraisal Report Gateway 5 Report	Updated Design The Tender documents, with accompanying Peer Review Report  Road Safety/Road User Audits (if applicable) Detailed Project Brief Detailed Risk Management Strategy and Risk Management Plan Procurement Strategy Gateway 5a Report Gateway 5a  Tender Report The post-Tender Total Project Cost with accompanying updated Peer Review Report Updated Detailed Project Brief (if applicable) Final Business Case Brief for Phase 6, including updated PEP, and accompanying budget plan Gateway 5b Report
Approval Point	Gateway 5 	Gateway 5 	Gateway 5b 
Leading to	Approval to proceed to Phase 6	Approval to proceed to Phase 6	Approval to proceed to Phase 6

Table 5 Capital Investment Phase 5– Key Deliverables

Please note that the listed deliverable items can be combined, for convenience, into a document (or documents) with required items included as separate chapters



NTA - Hold Point



NTA - Gateway Point

9.1 Applicability

The full provisions of this Section apply to projects of greater than €10 million in total cost. The table above identifies the reduced deliverables required for Band 1 and Band 2 projects.

9.2 Purpose of Phase 5

The purpose of Phase 5 is for the Sponsoring Agency to undertake, or co-ordinate, the preparation of the design and tender documentation for the implementation of the project and prepare and finalise the Final Business Case.

The purpose of this Phase is also the following:

- letting and supervision of any authorised advance enabling works or delivery contracts;
- the preparation of further designs and specifications for the main works and the remaining delivery contracts; and
- the preparation of the tender documentation, tender processes and tender assessment process up to readiness to award the main works and related contracts, including any planned works orders to be placed with the Sponsoring Agency's specialist/direct works divisions.

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

This Phase represents progression towards procurement and delivery of the project and includes the Tender processes up to the preparation of a report on tenders, provisional contract award determinations by the Sponsoring Agency and readiness to award contracts subject to the NTA's Gateway 5b approval.

The NTA should be kept informed of progress on, and issues relating to, design and specification development, cost management and the updating of the risk assessment and the Preliminary Cost Estimate. The Preliminary Cost Estimate will be superseded by the Total Project Cost once additional information is available following the tender assessment process. The Total Project Cost shall be reviewed and approved by the NTA.

9.3 Key Phase 5 Activities

9.3.1 Design and Specification Development

Following the review of any potential design changes subsequent to the conclusion of Phase 4, the design should be updated and developed at this stage of the project. The level of design required will be dependent on the procurement strategy proposed. When the design is complete the Sponsoring Agency shall provide copies to the NTA for agreement.

The Sponsoring Agency should inform the NTA if the completion of the design raises any implications for the Preliminary Cost Estimate or Project Brief as agreed.

9.3.2 Utilities Diversions

Where it is not possible to avoid causing diversion of services, exact details and locations of underground apparatus should be ascertained, where feasible, and detailed diversion plans should be agreed with each utility company. Costs relating to this should be identified and included in the Pre-Tender cost estimates.

9.3.3 Third Party Agreements

All design items requiring input from third parties, e.g. traffic control, road signage, etc., should be formally agreed and details provided in the design and specification. Any associated costs should be fully agreed and documented for inclusion in the project budgets.

9.3.4 Road User Audit and Stage 2 Road Safety Audit

If relevant, the Sponsoring Agency shall ensure a Road User Audit and Stage 2 Road Safety Audit is undertaken at this stage of the project.

A copy of the Road User Audit and the Road Safety Audit Stage 2 Report shall be included as part of the updated design package.

9.3.5 Health & Safety Plan

A preliminary Health and Safety Plan shall be prepared for inclusion with the tender documents, in accordance with the DPER CWMF Guidance Note.

9.3.6 Land Acquisition

Approval to proceed with land acquisition is likely to have been provided at Gateway 4 and, if so, the Sponsoring Agency is able to proceed to serve "Notices to Treat" (i.e. taking possession and paying compensation) but should keep the NTA informed. The Sponsoring Agency will be responsible for preparation and publication of any required confirmation notices.

9.3.7 Tender Documents

The Sponsoring Agency is responsible for the production of tender documents in line with EU Procurement Directives, the Irish Regulations which transpose these Directives, professional best practice, legal compliance, the Office of Government Procurement (OGP) Public Procurement Guidelines for Goods and Services and any specific NTA procurement procedures.

During the development of the tender documents the Sponsoring Agency shall follow the guidance of the CWMF requirements for projects.

The format of the tender documents should comply with the DPER CWMF Guidance, and the Sponsoring Agency should confirm its compliance with that guidance to the NTA.

The control of costs during the later implementation stage will be governed by the quality of the tender documentation produced during this Phase. It is essential that appropriate care and attention is given to the preparation of the tender documents and that the Sponsoring Agency puts in place a suitable review process to validate the quality

9.3.8 Pre - Tender Cost Estimate

The Sponsoring Agency shall prepare a Pre-Tender Cost Estimate, considering the updated design together with any information obtained during this Phase.

The Pre-Tender Cost Estimate shall be prepared in accordance with the Cost Management Guidelines, which includes the quantification of risk and contingency.

9.3.9 Tender Process including Peer Review

The Sponsoring Agency shall submit tender documents for NTA's review and approval prior to the commencement of the tender process. The Sponsoring Agency shall confirm that the tender documents are in compliance with CWMF Guidelines.

While some smaller projects may be carried out using in-house resources or local arrangements for the carrying out of minor works, most contracts will be awarded following a formal public procurement tendering process. The Sponsoring Agency shall follow DPER Guidelines and forms of contract in advertising, processing, evaluating and selecting the successful tenderer.

In order to ensure the adequacy of the tender documents, the Sponsoring Agency shall arrange for a peer review of the draft tender documents, unless agreed otherwise by the NTA. The Sponsoring Agency shall ensure that following any requested revisions, the documentation is formally signed off in accordance with the Sponsoring Agency processes.

The Sponsoring Agency shall ensure that it has appropriate legal expertise available to it in preparing for and undertaking procurement and shall involve such legal expertise when applicable.

Where panels of pre-qualified tenderers are available under framework-type arrangements, the provisions of the framework agreement shall be adhered to in conducting the procurement process for the award of the specific contract. Alternatively, where the contract is to be advertised through an open procedure, this shall be done through the Government's eTenders public procurement portal, which is an electronic tendering platform administered by the OGP, and the Official Journal of the European Union (OJEU), if applicable, and be subject to the full regime of EU public procurement rules.



Submit Tender Documents, with Peer Review Report for Band 3, for NTA Review

9.3.10 Detailed Project Brief

The Sponsoring Agency shall develop and complete a Detailed Project Brief in accordance with DPER CWMF Guideline GN 1.2 and the PSC requirements. The Detailed Project Brief is the full and complete statement of the Sponsoring Agency's functional and operational requirements for a project expressed in output requirements, developed as part of the earlier Phases of the Project development. The Detailed Project Brief should be set out in full in the Final Business Case.

9.3.11 Procurement Strategy

The Sponsoring Agency shall update and finalise the Procurement Strategy for NTA review.

9.3.12 Risk Management Strategy and Risk Management Plan

The Sponsoring Agency shall finalise the detailed project Risk Management Strategy and Risk Management Plan developed from Phase 2, in accordance with CWMF GN1.2 and the PSC, for NTA review. The Risk Management Strategy shall be included in the Final Business Case in accordance with the PSC requirements.

9.3.13 Project Execution Plan

The Sponsoring Agency should ensure the Project Execution Plan is updated in accordance with the progress of a project as more and better-quality information becomes available.

9.4 Phase 5 Key Deliverables

The key deliverables from this Phase of the project are as outlined in Table 5 for each of the project band categories.

9.5 Gateway 5 – Band 1 and 2

For Projects within Band 1 and 2 the Gateway 5 will be as per Gateway 5b herein.

9.6 Gateway 5a - Pre-Tender Approval - Band 3

In order to proceed with tendering the main works or supply contracts, it will be necessary to obtain the written approval of the NTA. This will be required to be obtained through Gateway 5a review process. The Sponsoring Agency will provide the NTA with copies of the deliverables required.

In certain circumstances some deliverables may not be required with NTA agreement. If requested by the NTA, the Sponsoring Agency will meet the NTA for the purposes of briefing or clarification on the submitted material, or to discuss the NTA Gateway decision.

At Gateway 5a the NTA will consider, among other things, the brief as agreed with the NTA, and the availability of project funding.

The Gateway 5a review is intended to have the following outcomes:

- Approval of the Gateway 5a deliverables;
- Confirmation that a clear plan exists for the progression to Gateway 5b and the next Phase;
- Confirmation that the NTA wishes to proceed at this time including express approval to tender Contracts.

Government review of the Project Brief and Procurement Strategy is required for projects over €100M prior to approval to go to tender.

9.6.1 Lines of Enquiry for the Gateway 5a Review

The Sponsoring Agency shall satisfy itself that the project has reached a sufficient level of development, prior to the start of the Gateway 5a Review. Key questions to be addressed by the NTA before granting Approval to Proceed to Gateway 5b include:

- Is the Project Brief clear and robust?
- Is the Procurement Strategy achievable?
- What are the key project risks and how are they proposed to be managed?
- Is there evidence of a clear, well developed tender process including tender evaluation for the construction and/or supply contracts?
- Has the tender process aligned with the Project Procurement Strategy?

9.6.2 Gateway 5a – Outputs

If the Gateway 5a review has been successfully passed, the following outputs are expected:

- Endorsement of the decision to tender Contracts
- Agreement to the plans for the next Phase of works;
- Approval to Proceed to develop deliverables for Gateway 5b.

Only when written approval is issued by the NTA should the Sponsoring Agency issue tender documents for the relevant contracts.

9.7 Post Tender documents

9.7.1 Tender Report

Following the receipt and evaluation of the tenders, a Tender Report shall be prepared and submitted to the NTA for approval to proceed, summarising the tender process, the details of tenders received and the outcome of the evaluation process.

Given the importance of the tender process, the Sponsoring Agency shall ensure that the persons involved in the process have the appropriate skills, or have appropriate support available to them, to manage the process competently.

9.7.2 Total Project Cost

A Total Project Cost shall be prepared taking account of the contract sums for the main contracts and any changes to base costs (e.g. land & property) if necessary. This will include the outcome of the Risk and Contingency Report. The Total Project Cost represents the fully developed final cost estimate for the project upon which the final decision will be taken on whether or not to proceed to the construction stage. Refer to the NTA Cost Management Guidelines for further Guidance.

9.7.3 Final Business Case

At the end of Phase 5, the final decision is made on whether the project should proceed to construction/implementation. The final design should be complete, with necessary statutory approvals in place and a Total Project Cost finalised based on tender information.

To enable informed decisions to be made, the Sponsoring Agency shall prepare the final Appraisal Report in the form of a Final Business Case for the project in accordance with the relevant appraisal guidance and PSC requirements. In most cases, updating the Preliminary Business Case prepared during the earlier stages of the project should suffice.

The Final Business Case shall be prepared and submitted to NTA for review and approval to proceed.

For Projects over €100M Government approval of the Final Business Case is required.

9.7.4 Phase 6 Brief and Plan

The Sponsoring Agency shall prepare a brief for the tasks to be undertaken in Phase 6 and a costed plan for that Phase.

9.8 Gateway 5b - Approval to 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 required to be obtained through Gateway 5b review process. The Sponsoring Agency will provide the NTA with copies of the required deliverables.

In certain circumstances some deliverables may be omitted with NTA agreement. If requested by the NTA, the Sponsoring Agency will meet the NTA for the purposes of briefing or clarification on the submitted material, or to discuss the NTA Gateway decision.

Government review of the Final Business Case is required for projects over €100M.

At Gateway 5b the NTA will consider, among other things, the brief as agreed with the NTA, and the availability of project funding.

The Gateway 5b review is intended to have the following outcomes:

- Approval of the Gateway 5b 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 entering into Contracts.

Only when written approval is issued by the NTA should Phase 6 commence.

9.8.1 Lines of Enquiry for the Gateway 5b Review

The Sponsoring Agency shall satisfy itself that the project has reached a sufficient level of development, prior to the start of the Gateway 5b Review. Key questions to be addressed by the NTA before granting Approval to Proceed to Phase 6 include:

- Is the Sponsoring Agency prepared to deliver the works?
- Is the tender assessment robust?
- Is the Final Business Case appropriately updated to reflect the requirements of the PSC?

9.8.2 Gateway 5b – Outputs

If the Gateway 5b review has been successfully passed, the following outputs are expected:

- 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 over run in the following Phase;
- Agreement to the plans for the next Phase of works;
- Approval to Proceed to next Phase.

Only when written approval is issued by the NTA should Phase 6 commence.

10. PHASE 6: Construction and Implementation

Scale	Projects – Band 1 < €0.5 million	Projects – Band 2 > €0.5 million and < €10 million	Projects – Band 3 > €10 million
Key Deliverables	Road Safety/Road User Audits (if applicable) Change Order Reports (if applicable) Final Project Report	Road Safety/Road User Audits (if applicable) Change Order Reports (if applicable) Final Project Report Gateway 6 Report	Road Safety/Road User Audits (if applicable) Change Order Reports (if applicable) Final Account report (on a contract by contract basis if necessary) Final Project Report Brief for Phase 7 and accompanying budget plan Gateway 6 Report
Approval Point	Gateway 6 △	Gateway 6 △	Gateway 6 △
Leading to	Approval to proceed to Phase 7	Approval to proceed to Phase 7	Approval to proceed to Phase 7

Table 6 Capital Investment Phase 6 –Key Deliverables

△ NTA - Gateway Point

Please note that the listed deliverable items can be combined, for convenience, into a document (or documents) with required items included as separate chapters

10.1 Applicability

The full provisions of this Section apply to projects of greater than €10 million in total cost. The table above identifies the reduced deliverables required for Band 1 and Band 2 projects.

10.2 Purpose of Phase 6

The purpose of this Phase is for the Sponsoring Agency to award the construction contract(s) having completed the tender process and to undertake the construction and implementation activities.

10.3 Key Phase 6 activities

The implementation of the project is the responsibility of the Sponsoring Agency whilst the Approving Authority must be satisfied that the Sponsoring Agency delivers the project as approved.

The responsibility for the management of all activities in this Phase remains with the Sponsoring Agency, including all matters related to the contract(s) awarded.

The NTA expects to be kept informed of progress and consulted on key issues or events that could have an impact on the cost, safety, specification or programme of the whole project.

The NTA will require the Sponsoring Agency to demonstrate that the Construction and Implementation Phase is managed strictly according to the terms of the approved contracts.

10.3.1 Project Delivery

The CWMF provides detailed guidance for this Phase of a project lifecycle. The CWMF describes key steps to be taken in works contract management, which are designed to ensure smooth delivery of projects. Guidance is also provided in relation to, among other things, roles and responsibilities, managing the works in progress, managing risk, calculating price variations, project completion and handover. The Sponsoring Agency shall follow the CWMF guidance for implementation of the projects procured under the DPER CWMF Conditions of Contract provided in Guidance Note GN 3.1 Implementation Process, and shall ensure that:

- Prior to the commencement of each contract, a person has been appointed to act as Employer's Representative on behalf of the Sponsoring Agency 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; and
- Overall responsibility for the delivery of the project shall remain with the Project Manager.

10.3.2 Project Reporting and Payment

The Employer's Representative shall prepare regular progress reports and financial reports relating to the main construction contract(s) in accordance with the requirements of the contract(s). These reports shall be submitted to the Project Manager for review.

The Sponsoring Agency shall be responsible for submitting to the NTA, as part of the reporting arrangements set out in Section 2, regular progress reports relating to the project, inclusive of progress and expenditure matters pertaining to the contract.

The Employer's Representative shall receive interim applications for payment from the relevant Contractor(s) and shall determine the amount payable in accordance with the contract(s). The Employer's Representative shall submit a recommendation for payment to the Project Manager or such other appropriate designated person within the Sponsoring Agency. The Sponsoring Agency shall ensure that payments are issued following receipt of the invoice in accordance with DPER CWMF Guidance Note GN 3.1 Implementation Process, based on the Employer's Representative's recommendation within the period specified in the relevant contract.

10.3.3 Change Orders

It shall be an objective of each contract that the use of Change Orders is minimised or avoided if possible. Reimbursement by the NTA of expenditure amounts in respect of Change Orders will only be facilitated in cases where written approval has been obtained from the NTA in advance of the Change Order instruction to the contractor. This requirement for prior written approval will be waived for Change Orders with a value below;

- €10,000 or 5% of the contract value (whichever is lesser) for contracts up to €0.5M;
- €25,000 for contracts between €0.5M and €10M;
- €50,000 for contracts over €10M;

The NTA reserves the right to change the values of change orders requiring prior written approval.

Notification of all Change Orders shall be included in the monthly Progress Report.

When the cumulative value of Change Orders and Claims for Compensation and Delay Events exceeds a value advised by the NTA, Change Order requests shall be submitted for all future Change Orders irrespective of the value.

The Sponsoring Agency, through the Employer's Representative, shall prepare a Justification Report for Change Order requests and shall maintain a register of all issued Change Orders, which shall be included as part of each monthly Progress Report.

10.3.4 Claims for Compensation and Delay Events

The Employer's Representative shall, where applicable, receive, acknowledge and process claims for Compensation and Delay Events and other contractual claims, shall maintain a Register of these claims in accordance with the contract, and shall advise the Sponsoring Agency on the validity of these claims and on the potential liability to the Employer.

The Sponsoring Agency shall notify the NTA if there is a potential claims liability which may impact on the scope, quality, cost or programme for completion of the project and/or if there is an impact on the Total Project Cost. It is advisable that the Sponsoring Agency should notify the NTA of any potential significant contractual claims as soon as the Employer's Representative becomes aware of them, refer to requirements in the NTA Cost Management Guidelines.

The Employer's Representative shall maintain such records as necessary in order to properly assess and make a considered determination on any claim(s) submitted.

10.3.5 Intervention Points

Should circumstances necessitate it, and within the context of any contractual arrangements, the NTA will intervene in the project implementation as required where there are key changes that may affect the delivery of the project against that as approved.

The NTA will liaise closely with the Sponsoring Agency to work through any proposed interventions.

Amongst other forms, Interventions may take the form of the following:

- Changes to governance arrangements;
- Changes to scope;
- Changes to delivery timeframes;
- Cancellation of the project; and/or
- Changes to wider external environment.

Government review may be required for interventions on projects with a value over €100M in value.

10.3.6 Contract Final Accounts

In the event that a Final Account (or any part thereof) is referred to a dispute resolution process (Conciliation, Mediation, Adjudication or Arbitration), the Project Manager should consult with the NTA to confirm whether it is in order to engage expert/legal advisors to assist in preparing the employer's case at Conciliation/Arbitration. In such circumstances, the Sponsoring Agency should also agree the appropriate procurement process with the NTA.

Where the final outturn costs of the construction/implementation contract(s) exceed the amount provided in the Total Project Cost for such contract(s), prior approval of the NTA will be required in advance of the Sponsoring Agency seeking any reimbursement from the NTA for such over-runs.

10.3.7 Final Project Report

Once the final outturn cost of the construction/implementation contract(s) has been determined, the Sponsoring Agency, in conjunction with the Employer's Representative, shall prepare a Final Project Report (including the Final Account Report in accordance with NTA Cost Management Guidelines) relating to the contract(s).

10.3.8 Phase 7 Brief and Plan

The Sponsoring Agency shall prepare a brief for the tasks to be undertaken in Phase 7 and a costed plan for that Phase.

10.4 Phase 6 Key Deliverables

The key deliverables from this Phase of the project are as outlined in Table 6 for each of the project band categories.

In addition to the deliverables referred to above, any updates to the Project Execution Plan during this Phase should also be provided to the NTA.

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 key deliverables required for Phase 6, in particular the Final Project Report, may not be finalised by this time. Where this arises, the deliverables may be carried forward to Phase 7, where agreed with the NTA.

The Sponsoring Agency shall advise the NTA of any deliverables that will 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.

10.5 Gateway 6

An NTA 'Gateway 6' review will be required after the completion of Phase 6. The Sponsoring Agency will provide the NTA with copies of the deliverables from Phase 6. In certain circumstances some deliverables may be omitted with NTA agreement. If requested by the NTA, the Sponsoring Agency will meet the NTA for the purposes of briefing or clarification on the submitted material, or to discuss the NTA Approval Point decision.

At Gateway 6 the NTA will consider, among other things, the level of substantial completion reached, the risks remaining on the project and the overall Project funding status. Following consideration by the NTA, written approval may be issued confirming NTA's commitment to funding Phase 7 of the project.

The Gateway 6 review is intended to have the following outcomes:

- Approval of the Phase 6 deliverables; and
- Confirmation that a clear plan, including a resource plan, exists for the progression into Phase 7.

10.5.1 Lines of Enquiry for the Gateway 6 Review

The Sponsoring Agency shall satisfy itself that the project has reached a sufficient level of development, prior to the start of the Gateway 6 Review. Key questions to be addressed by the NTA before granting Approval to Proceed to Phase 7 include:

- Are all contractual claims resolved?
- Has the Construction Stage achieved what was initially set out in the Contract?

10.5.2 Gate 6 Outputs

If the Gateway 6 review has been successfully passed, the following outputs are expected:

- Endorsement of the decision that the projects works are substantially completed;
- Agreement to the plans for the next Phase; and
- Approval to Proceed to next Phase.

Only when written approval is issued by the NTA should Phase 7 commence.

11. PHASE 7: Close out and Review

Scale	Projects – Band 1 < €0.5 million	Projects – Band 2 > €0.5 million and < €10 million	Projects – Band 3 > €10 million
Key Deliverables	Completed Safety File Project Completion Report	Completed Safety File Project Completion Report Gateway 7 Report	Completed Safety File Project Completion Report Gateway 7a Report Gateway 7a △ Ex-Post Evaluation Report Gateway 7b Report
Approval Point	Gateway 7 △	Gateway 7 △	Gateway 7b △

Table 7 Capital Investment Phase 7 – Key Deliverables

△ NTA - Gateway Point

Please note that the listed deliverable items can be combined, for convenience, into a document (or documents) with required items included as separate chapters

11.1 Applicability

The full provisions of this Section apply to projects of greater than €10 million in total cost. The table above identifies the reduced deliverables required for Band 1 and Band 2 projects.

11.2 Purpose of Phase 7

The purpose of Phase 7 is to ensure that:

- the project is properly closed out, without any outstanding issues;
- the project was delivered as specified;
- the requirements of the contract(s) were met;
- the project achieved the objectives that were identified at the outset by delivering the specified outputs; and
- lessons learned have been captured throughout the project lifecycle from key stakeholders and ensure these are properly documented.

11.3 Key Phase 7 Activities

The responsibility for the management of all activities in the Phase remains with the Sponsoring Agency.

Phase 7 covers the resolution of all outstanding contractual and residual issues relating to the project and its close-out.

It also reviews the project to inform future projects.

The NTA may require specific metrics for the project to be provided as part of this Phase.

The key activities of Phase 7 include:

- Completion of Final Account (if carried forward from Phase 6);
- Management of the Defects Period;
- Completion of the Safety File;
- Close-out of all land, property and handover issues;

- Confirmation of the outturn costs, outputs and outcomes/benefits;
- Post-completion review including capturing and documenting lessons learned;
- Project Completion Report; and
- Ex-Post Evaluation Report.

11.3.1 Defects Period, Defects Certificate and Retention Monies

The Sponsoring Agency shall ensure that all outstanding works and items are addressed by the various contractors/suppliers during the defect's periods, which shall generally commence after the certificates of substantial completion have been issued.

The Sponsoring Agency shall ensure that all works have been satisfactorily completed prior to releasing retention monies, and that any such payments due to contractors/suppliers are issued within the time periods specified in the particular contracts.

11.3.2 Land and Property

Where applicable, the Sponsoring Agency shall ensure that all outstanding land and property issues are closed out in accordance with contract and statutory requirements. The Sponsoring Agency shall inform the NTA when these requirements have been met.

It will be necessary to ensure that all compensation payments are made to affected property owners so that the final outturn cost for land and property can be determined. This includes all compensation cases which may have been referred to arbitration.

All other costs associated with the acquisition of land and property should also be finalised, including valuation and legal fees for both claimants and the Sponsoring Agency, any interest payments due, miscellaneous costs (e.g. Land Registry fees), and the costs associated with arbitration hearings.

Once all land acquisition compensation payments are completed, and prior to determining the final outturn cost for land and property, the Sponsoring Agency shall confirm that all property acquired as part of this project has been properly registered in the ownership of the relevant Local Authority.

11.4 Phase 7 Key Deliverables

The key deliverables from this Phase of the project are as outlined in Table 7 for each of the project band categories.

In addition to the key deliverables referred to above, some Phase 6 deliverables may have been carried forward and any updates to the Project Execution Plan during this Phase should also be provided to the NTA.

A close out review may be held with the NTA and the Sponsoring Agency to review the deliverables and any lessons for future projects. Any additional information required for this review should be provided to the NTA at its request.

11.4.1 Project Completion Review and Report

At the completion of the project the Sponsoring Agency shall undertake a Project Completion Review and prepare a Project Completion Report.

The aim of the review is to determine if:

- The basis on which the project was undertaken proved correct;
- The business case and management procedures were satisfactory;
- The operational performance and initial benefits have been realised; and
- The conclusions that can be drawn which are applicable to other projects, to the on-going use of the asset, or to associated projects.

The wider purpose of the review required is to ensure lessons learned from the project translate into improved knowledge for the sector and wider public service. The review shall be conducted as the project is completing to allow sufficient review before final completion. This is important to allow the NTA to access feedback from the contractor and project team as well as the progress reports.

The output of the review is the project Completion Report. The purpose of the Project Completion Report is to assess if the project was delivered in line with its intended scope and budget and in line with the PSC.

The Project Completion Report shall be prepared by the Sponsoring Agency in accordance with the PSC requirements, for all projects, regardless of size/value.

For Projects greater than €50M the Project Completion Report is required to be sent to DPER for review and dissemination.

11.4.2 Safety File

The Sponsoring Agency shall ensure that at this Phase the Safety File is completed and made available to the relevant authority, or otherwise, as required.

11.5 Gateway 7 – Band 1 and 2

For Projects within Band 1 and 2 the Gateway will be as per Gateway 7a herein.

11.6 Gateway 7a

An NTA 'Gateway 7a' will be required after the completion of the deliverables in 7a. The Sponsoring Agency will provide the NTA with copies of the deliverables from Phase 7a. If requested by the NTA, the Sponsoring Agency will meet the NTA for the purposes of briefing or clarification on the submitted material, or to discuss the NTA Approval Point decision.

If the Gateway 7a review has been successfully passed, the following outputs are expected:

- Confirmation all necessary deliverables for this Phase are endorsed;
- Endorsement of the decision that the project completion report is approved and the Ex-Post evaluation can commence at a time as agreed with the NTA; and
- Confirmation to proceed to Gateway 7b.

11.6.1 Lines of Enquiry for the Gateway 7a Review

The Sponsoring Agency shall satisfy itself that the project has reached completion, prior to the start of the Gateway 7a Review. Key questions to be addressed by the NTA before granting approval to proceed to Gateway 7b close out the project include:

- Are all the project deliverables completed and endorsed?
- Is the project properly closed out, without any outstanding issues?
- Did the project achieve the objectives that were identified at the outset?
- Is the Project Completion report in line with PSC requirements?
- Is there a clear plan for development of the Ex-Post Evaluation report required at Gateway 7b?

11.6.2 Gateway 7a - Outputs

Endorsement of the decision to proceed to Gateway 7b.

11.7 Ex-Post Evaluation Report

Upon approval of Gateway 7a the Sponsoring Agency shall prepare the Ex-Post Evaluation Report. The purpose of the Ex-Post Evaluation is to determine if the intended benefits and outcomes materialised and to judge the impact of the project or intervention.

The wider purpose is to translate the lessons learned on investment projects into sectoral and national guidance to support public bodies in delivering public investment projects with the desired identified outcomes.

For capital projects benefits will not be seen until after the project is completed and so the Ex-Post Evaluation should be conducted once sufficient time has elapsed for the benefits and outcomes to materialise, this could vary from three to five years after completion of the project.

The Ex-Post Evaluation should determine:

- The expected benefits and outcomes materialised including operational performance;
- The planned outcomes were the appropriate responses to actual public needs; and
- The conclusions that can be drawn which are applicable to other projects, to the ongoing use of the asset, or to associated projects. The Sponsoring Agency shall submit an Ex-Post evaluation report, at a time as agreed with the NTA. The Ex-Post Evaluation report should be prepared in line with the projects evaluation plan set out in the approved Business Case and in line with the PSC requirements.

For Projects greater than €50M the Ex-Post Evaluation Report is required to be sent to DPER for review and dissemination.

11.8 Gateway 7b

An NTA 'Gateway 7b' will be required after the completion of the ex-post evaluation report. The Sponsoring Agency will provide the NTA with copies of the deliverables from Phase 7b. If requested by the NTA, the Sponsoring Agency will meet the NTA for the purposes of briefing or clarification on the submitted material, or to discuss the NTA Approval Point decision.

If the Gateway 7b review has been successfully passed, the following outputs are expected:

- Confirmation the project is complete and all necessary deliverables for this Phase are endorsed.

11.8.1 Lines of Enquiry for the Gateway 7b Review

Key questions to be addressed by the NTA at Gateway 7b include:

- Did the project achieve the objectives that were identified at the outset?
- Were the outcomes, operational performance and benefits as identified in the Final Business Case, Detailed Project brief and Benefits realisation strategy achieved?
- How effective was the benefits management process and was it proportionate to the size and scale of the project?
- How accurate were the benefits models and assumptions?
- Did Management of risk have an impact on expected benefits and outcomes;
- What was the medium to long term impacts on targeted beneficiaries?
- What are the lessons to be learned for other projects/sectoral and/or national guidance?

11.8.2 Gateway 7b - Outputs

Endorsement of the decision that Ex-Post Evaluation is complete.

SECTION C

PROJECT PHASES - ICT

12. ICT PHASE 0: Concept
13. ICT PHASE 1: Initiation
14. ICT PHASE 2: Planning
15. ICT PHASE 3: Procure
16. ICT PHASE 4: Analysis & Design
17. ICT PHASE 5: Build & Test
18. ICT PHASE 6: Deploy/ Rollout
19. ICT PHASE 7: Hand Over & BAU
20. ICT PHASE 8: (Post-Project): Benefits Review



12. ICT PHASE 0: Concept

Scale	Projects – Band 1 < €0.5 million	Projects – Band 2 > €0.5 million and < €10 million	Projects – Band 3 > €10 million
Key Deliverables	Completed Project Grant Application Form	Completed Project Grant Application Form	Completed Project Grant Application Form Strategic Assessment Report 
Approval Point	Gateway 0 	Gateway 0 	Gateway 0 
Leading to	Approval to proceed to Phase 1	Approval to proceed to Phase 1	Approval to proceed to Phase 1

Table 8 ICT Phase 0 – Key Deliverables

Please note that the listed deliverable items can be combined, for convenience, into a document (or documents) with required items included as separate chapters

 NTA - Hold Point
 NTA - Gateway Point

12.1 Applicability

The full provisions of this Section apply to projects of greater than €10 million in total cost. The table above identifies the reduced deliverables required for Band 1 and Band 2 projects.

12.2 Purpose of Phase 0

This Phase relates to the preliminary work required to secure approval from the NTA to initiate a project. The purpose of this Phase is to ensure that the NTA and the Sponsoring Agency or internal NTA business unit are fully aligned on the need to initiate the project at the current time and in accordance with the current NTA Corporate strategy.

12.3 Key Phase 0 Activities

12.3.1 Submit Project Grant Application Form

A Grant Application form (also known as the Project Charter or Work Request Form) should be completed by the Sponsoring Agency or internal NTA business unit containing all available information pertinent to the development of the project, including the NTA strategic pillar which it aligns to, anticipated project cost, indicative project delivery timelines, project objectives/benefits, and solution overview. The completed Project Grant Application Form must be submitted by the Sponsoring Agency to the NTA for approval. In the event of an internal NTA request, the form should be submitted to the NTA ICT Project Management Office (PMO) Manager.

12.3.2 Decision to Proceed

The NTA will undertake an assessment of each Work Request Form. The NTA reserves the right to seek clarification on any element of the application. In the event that the ICT element is equal to or exceeding €25,000, further approval must be sought from the Digital Government Oversight Unit (DGOU) through the Department of Transport to secure funding. The Sponsoring Agency will submit this request for approval, if relevant. Likewise, if the requestor is an internal NTA business unit the onus is on the business unit to prepare the DGOU approval request and submit to DGOU via the NTA ICT liaison officer.

12.3.3 Strategic Assessment – Project Band 3

A Strategic Assessment is required for all projects estimated to be €10M and over. The NTA reserves the right to require a Strategic Assessment for projects less than €10M in specific cases. The Strategic Assessment Report (SAR) should set out:

- Investment rationale;
- Objectives;
- Strategic alignment with Government policy;
- Preliminary demand analysis;
- Long-list of potential options;
- Potential range of costs involved, both financial and economic;
- Assessment of affordability in the context of available resources;
- Identification of risks;
- Framework for determining key performance indicators for the proposed intervention;
- Appraisal plan; and
- An outline governance plan.

The Sponsoring Agency shall develop the SAR in accordance with the PSC requirements.

For Projects over €100M the NTA will submit the SAR for review by DoT and DPER.



Submit Strategic Assessment Report for NTA review

12.4 Phase 0 Key Deliverables

The key deliverables from this Phase of the project are as outlined in Table 8 for each of the three project band categories. Refer to Section D for an overview of key deliverables and typical Hold Points required for the various phases within the Project Bands.

12.5 Gateway 0

Following assessment of the project on the basis of the Work Request Form and any further information sought by the NTA, the NTA will determine whether to give formal approval to proceed with the project. If the NTA decides to approve the project for funding, it will issue formal written approval to the Sponsoring Agency; likewise, to the internal business units. This approval authorises the Sponsoring Agency or internal NTA business unit to proceed to the next Phase or Phases, up to the next NTA Gateway. For smaller projects, this represents the overall funding approval of the project, with just one or more specific NTA Gateways at later stages acting as check points. For some larger projects, the funding approval may only be for a particular Phase or Phases.

The NTA approval of a project may be conditional; there may be limitations on the scope of the project; there may be process requirements specified; or a requirement to refine or modify the design may be stated. In any issued approval, the amount of approved funding will be set out and the Sponsoring Agency or internal NTA business unit is required to ensure that the expenditure reimbursement amount is maintained within the authorised limit.

In all cases the NTA is basing its approval of a particular project on the stated amount of the project estimate provided by the Sponsoring Agency or internal NTA business unit. If at any stage following the issue of funding approval the Sponsoring Agency or internal NTA business unit becomes aware of any potential increases in the project cost, it shall promptly inform the NTA and provide it with details of the increase.

For this Phase the approval of the Project Grant Application Form will represent the Gateway review process.

12.6 Gateway 0 - Outputs

The required outcome of this Phase 0 is that the NTA and the Sponsoring Agency 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.

If satisfied on the basis of the preparatory work, the NTA will be able to give its formal approval that Phase 1 of the project should commence.

13. ICT PHASE 1: Initiation








Scale	Projects – Band 1 < €0.5 million	Projects – Band 2 > €0.5 million and < €10 million	Projects – Band 3 > €10 million
Key Deliverables	Outline Business Case Project Initiation Document (PID) DGOU Approval (If relevant) Kick-off Meeting documentation	Option Selection Report  Indicative Procurement Strategy Project Initiation Document (PID) Project Appraisal  DGOU Approval (If relevant) Kick-off Meeting documentation Gateway 1 Report	Option Selection Report  Indicative Procurement Strategy Project Initiation Document (PID) Project Appraisal  DGOU Approval (If relevant) Kick-off Meeting documentation Gateway 1 Report
Approval Point	Gateway 1 	Gateway 1 	Gateway 1 
Leading to	Approval to proceed to Phase 2	Approval to proceed to Phase 2	Approval to proceed to Phase 2

Table 9 ICT Phase 1 – Key Deliverables

Please note that the listed deliverable items can be combined, for convenience, into a document (or documents) with required items included as separate chapters



NTA - Hold Point



NTA - Gateway Point

13.1 Applicability

The full provisions of this Section apply to projects of greater than €10 million in total cost. The table above identifies the reduced deliverables required for Band 1 projects.

13.2 Purpose of Phase 1

The purpose of this Phase is to develop the business justification for the project, outlining the scope, benefits, project governance and approach, and other key information to facilitate subsequent project planning. This information should be assembled to produce a PID prior to progressing to Phase 2.

13.3 Key Phase 1 Activities

13.3.1 Option Selection Report & Option Comparison Cost Estimate – Band 2 and 3

For most projects, an options selection process should be carried out. However, in the case of small limited projects, this may not be required. An options selection process (“optioneering”) should determine the Preferred Option. Depending on the project type, optioneering should consider the realistic alternatives for the implementation of the project.

These alternatives may involve different solution types, alternative designs, or substitute approaches that could also deliver the core project objectives.


The Sponsoring Agency shall assess the options against the baseline to select a preferred option. A clearly defined appraisal methodology should be used, as set out in the SAR, in the selection of the Preferred Option. The Preferred Option will form the basis for the further development of the project.

The Sponsoring Agency shall prepare an Option Comparison Cost Estimate, unless otherwise agreed with the NTA, outlining options being considered and any design information available/obtained during this Phase.

The Option Comparison Cost Estimate shall be prepared in accordance with the NTA Cost Management Guidelines, which includes the quantification of contingency.

When a Preferred Option has been selected, it may be necessary, in the case of larger projects, to undertake a Peer Review at this stage. The NTA will advise when this is the case.

In some instances, the Peer Review Group may identify certain issues which require further clarification. If this is the case the responsible party should provide this clarification.

 Submit Option Selection Report for NTA Review

13.3.2 Indicative Procurement Strategy

The Sponsoring Agency shall ensure that an indicative contracting and procurement strategy for the project is developed. The procurement strategy shall consider procurement options and the associated risks and opportunities. The Sponsoring Agency shall submit the Strategy, with recommendations, to the NTA for review.

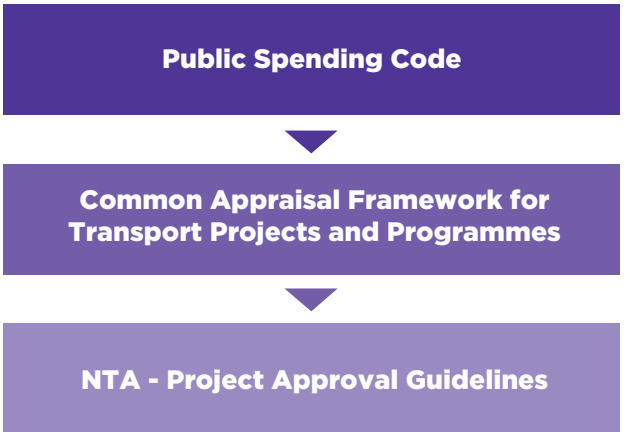
13.3.3 Project Appraisal - Band 2 & 3

A Project appraisal shall be undertaken, in accordance with the DPER Guidelines and the DOT Common Appraisal Framework. The aim is to assess whether the project merits a more detailed appraisal.

All projects shall have an appraisal completed commensurate with the size/value of the project. Figure 11 provides the hierarchy of project guidance documents for project appraisal.

The project appraisal shall be in accordance with the DOT publication, Common Appraisal Framework (CAF) for Transport Projects and Programmes.

Figure 11 Hierarchy of Project Guidance Documents for Project Appraisal



The project base case and option selection, definition, comparative evaluation and initial appraisal of the preferred project are critical activities underpinning the ultimate final business case for the preferred project. Consequently, the Sponsoring Agency shall 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 Preliminary Business Case to be developed in Phase 3.

 Submit Project Appraisal Report for NTA review

13.3.4 Outline Business Case – Band 1

The Sponsoring Agency or internal NTA business unit must submit a Business Case. The Business Case provides the mechanisms to judge whether a project is desirable, viable and achievable, and thus whether there is business justification that is consistent with the NTA strategy for undertaking the project. It includes the background to the project, how the project will address current business concerns, and the requirements, objectives and quantifiable benefits of the project. The business case also discusses detailed project goals, performance measures; benefits review plan, assumptions, constraints, and alternative options.

13.3.5 Project Initiation Document (PID)

A PID should be established. This document combines the key information needed to start the project on a sound basis and conveys the project information to all key project stakeholders in a presentable format. The PID, or alternatively the Project Charter, must be signed off by the designated project approvers prior to submitting to DGOU for funding approval if over €25k as discussed in 13.3.6 It is also a static document and should not be updated post-signoff unless approved by the NTA. The Business Case is the primary input into the PID. In the absence of a completed Business Case, the Work Request Form can be used.

13.3.6 DGOU Approval

In the event that the ICT element of a project cost is equal to or exceeding €25,000, further approval must be sought by the Sponsoring Agency or internal NTA business unit from the Digital Government Oversight Unit (DGOU) to secure funding. The Sponsoring Agency will submit this request for approval. Likewise, if the requestor is an internal NTA business unit, the onus is on the business unit to prepare the DGOU approval request.

The approval request must be forwarded to Department of Transport by the ICT liaison officer in the NTA and should be accompanied by one of the following project artefacts: - Business Case, Project Charter, or Project Initiation Document.

13.3.7 Kick-Off Meeting

A kick-off meeting should be held by the Project Manager, with all relevant key stakeholders which may include the Approving Authority, the Sponsoring Agency (if relevant), or internal NTA business unit, the Supplier organisation (if applicable) and resources fundamental to the delivery of the project. The purpose of this meeting is to effectively communicate the base elements of the project (e.g. project members, project plan etc.) and to establish project governance. Meeting minutes should be documented to confirm and verify all important discussion points, decisions and actions.

13.4 Phase 1 Key Deliverables

The key deliverables from this Phase of the project are as outlined in Table 9 for each of the three project band categories. Refer to Section D for an overview of key deliverables and typical Hold Points required for the various phases within the Project Bands.

13.5 Gateway 1

Phase 1 is followed by a Gateway. The Sponsoring Agency or internal NTA business unit will provide the NTA with copies or evidences of deliverables from Phase 1 as identified in 13.4 (above). If requested by the NTA, the Sponsoring Agency or internal NTA business unit will meet the NTA for the purposes of briefing or clarification on the submitted material, or to discuss the Gateway review decision. Following consideration by the NTA of the deliverables of Phase 1, written approval may be issued confirming NTA's commitment to funding Phase 2 of the project, or otherwise approval to proceed to Phase 2. Only when written approval is issued by the NTA should Phase 2 commence.

13.6 Gateway 1 – Outputs

If satisfied that approval has been given on the agreed content of the Project initiation document (PID) and approval from DGOU has been received, the NTA will be able to give its formal approval that Phase 2 of the project should commence.

14. ICT PHASE 2: Planning

Scale	Projects – Band 1 < €0.5 million	Projects – Band 2 > €0.5 million and < €10 million	Projects – Band 3 > €10 million
Key Deliverables	*Project Plan *Procurement Plan *Detailed Requirements Specification Test Strategy Responsibility / Accountability / Consult / Informed (RACI) Matrix *Budget Software Environments Plan Business Operations Plan	*Project Plan *Procurement Plan Preliminary Business Case *Detailed Requirements Specification Test Strategy RACI Matrix *Budget Software Environments Plan Business Operations Plan Gateway 2 Report	*Project Plan *Procurement Plan Preliminary Business Case *Detailed Requirements Specification Test Strategy Risk Management Plan RACI Matrix *Budget Software Environments Plan Business Operations Plan Gateway 2 Report
Approval Point	Gateway 2 △	Gateway 2 △	Gateway 2 △
Leading to	Approval to proceed to Phase 3	Approval to proceed to Phase 3	Approval to proceed to Phase 3

Table 10 ICT Phase 2 – Key Deliverables

△ NTA - Gateway Point

Please note that the listed deliverable items can be combined, for convenience, into a document (or documents) with required items included as separate chapters

Note: * represents documents to be submitted by Sponsoring agencies that are external to NTA.

14.1 Applicability

The full provisions of this Section apply to projects of greater than €10 million in total cost. The table above identifies the reduced deliverables required for Band 1 and Band 2 projects.

14.2 Purpose of Phase 2

This Phase relates to the designing of both detailed and high-level project plans to successfully manage and deliver the project, and to realise the project products and benefits. This Phase also requires developing the project budget and defining the functional and non-functional requirements of the project products.

This Phase represents progression towards procurement and implementation of the project. The NTA should be kept informed of progress on, and issues relating to, project planning, development of the high-level project cost estimates and risk assessments.

14.3 Key Phase 2 Activities

14.3.1 Project Planning

The Project Plan provides a statement of how and when the project's time, cost, scope and quality performance targets are to be achieved by showing the major deliverables, activities and resources required for the project. The Project Initiation Document (PID) will serve as an input to the Project Plan, but the Project Plan will need to be as comprehensively detailed as possible.

Additional plans and artefacts will also need to be created where relevant, including the Procurement Plan, Business Operational Plan, the Stakeholder Management Plan, Detailed Functional Requirements, Non-Functional Requirements, Budget, Environment Plan, Test Strategy, and the Risks, Assumptions, Issues & Dependencies (RAID) log.

14.3.2 Preliminary Business Case – Band 2 & 3

The project appraisal will be updated and refined to reflect the more detailed cost estimate and risk assessment developed during the Planning process. The project benefits, disbenefits, impacts and objectives will also be updated to reflect any changes in the project or its outputs. Detailed quantitative analysis will be undertaken during this Phase. This, and all appraisal activities, will reflect the DOT Common Appraisal Framework, the PSC and any additional guidelines that may be produced by the NTA or Central Government.

The Appraisal will take the form of a Preliminary Business Case for projects in Band 2 and 3 and shall include the following elements:

- Confirmation of the strategic relevance of the proposal, and detailed specification of the objective of the proposal;
- Description of the short-list of potential options to deliver the objectives set out;
- Detailed demand analysis and description of underlying assumptions;
- Options appraisal, including:
 - Financial appraisal:
 - Economic appraisal: and
 - Sensitivity Analysis;
- Assessment of affordability within existing resources;
- Risk assessment, allowance for optimism bias and full risk management strategy;
- Proposed approach to procurement;
- Proposed approaches to implementation and operation;
- Assessment of delivery risk;
- Plan for monitoring & evaluation including key performance indicators; and
- Recommendation to the Approving Authority.

The Sponsoring Agency shall ensure that a Preliminary Business Case report is produced in this phase. This is a key deliverable. In accordance with the DOT Common Appraisal Framework, the report will include the option selection and assessment tasks undertaken in the previous phase.

For projects over €100M Government Approval in Principle of the Preliminary Business Case is required.

14.4 Phase 2 Key Deliverables

The key deliverables from this Phase of the project are as outlined in Table 10 for each of the three project band categories. Refer to Section D for an overview of key deliverables and typical Hold Points required for the various phases within the Project Bands.

14.5 Gateway 2

Phase 2 is followed by a Gateway. The Sponsoring Agency or internal NTA business unit will provide the NTA with copies or evidences of deliverables from Phase 2 as identified in 14.4 (above). If requested by the NTA, the Sponsoring Agency or internal NTA business unit will meet the NTA for the purposes of briefing or clarification on the submitted material, or to discuss the Gateway review decision. Following consideration by the NTA of the deliverables of Phase 2, written approval may be issued confirming NTA's commitment to funding Phase 3 of the project, or otherwise approval to proceed to Phase 3. Only when written approval is issued by the NTA should Phase 3 commence.

14.6 Gateway 2 Outputs

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

- Validation of the Phase 2 overall delivery plans (including environments plan and business operations plan);
- Alignment on roles and responsibilities;
- Endorsement of the procurement strategy proposed;
- Endorsement of the test strategy; Agreement and approval of budget; and
- Agreement to the plans for the next stage of work.

Subject to approval of Gateway 2 and proceeding to Phase 3, the NTA will also release agreed funding for the next Phase.

15. ICT PHASE 3: Procure






Scale	Projects – Band 1 < €0.5 million	Projects – Band 2 > €0.5 million and < €10 million	Projects – Band 3 > €10 million
Key Deliverables	Tender and Contract Documents Signed Contract	Tender and Contract Documents Signed Contract Procurement Governance Document Gateway 3 Report	<div> Tender and Contract Documents with accompanying Peer Review Report  </div> <div> Procurement Governance Document Gateway 3a Report </div> <div> Gateway 3a  </div> <div> Tender Report The post-Tender Total Project Cost with accompanying updated Peer Review Report Final Business Case Signed Contract Brief for Phase 4, including updated PEP, and accompanying budget plan Gateway 3b Report </div>
Approval Point	Gateway 3 	Gateway 3 	Gateway 3b 
Leading to	Approval to proceed to Phase 4	Approval to proceed to Phase 4	Approval to proceed to Phase 4

Table 11 ICT Phase 3 – Key Deliverables

Please note that the listed deliverable items can be combined, for convenience, into a document (or documents) with required items included as separate chapters

 NTA - Hold Point
 NTA - Gateway Point

15.1 Applicability

The full provisions of this Section apply to projects of greater than €10 million in total cost. The Table 11 identifies the reduced deliverables required for Band 1 and Band 2 projects.

15.2 Purpose of Phase 3

The purpose of this Phase is for the Sponsoring Agency or internal NTA Procurement unit to coordinate the tender and tender assessment processes, the contract awarding process, and the preparation of the associated documentation.

This Phase represents progression towards implementation of the project and will often run in parallel to the planning Phase. The NTA should be consulted on any issues or events that could have an impact on the cost, specification or programme of the project.

15.3 Key Phase 3 Activities

15.3.1 Tender Documents

The Sponsoring Agency is responsible for the production of tender documents in line with EU Procurement Directives, the Irish Regulations which transpose these Directives, professional best practice, legal compliance and any specific NTA procurement procedures.

The format of the tender documents should comply with the NTA standard for ICT projects (or equivalent), and the Sponsoring Agency should confirm its compliance with that guidance to the NTA.

The control of costs during the later implementation stage will be governed by the quality of the tender documentation and the drafting of a suitable contract produced during this Phase. It is essential that appropriate care and attention is given to the preparation of the tender documents and contract, and that the Sponsoring Agency puts in place a suitable review process to validate the quality of the documentation for tender issue.



Tender and Contract documents with accompanying Peer Review Report for NTA Review

15.3.2 Tender Response

Bidders must provide a Tender Response in line with the requirements outlined in the Tender Request Document.

15.3.3 Final Business Case – Band 3

At the end of this phase, a final decision is made on whether the project should proceed to design /implementation. A Total Project Cost is finalised based on tender information. To enable informed decisions to be made, the Sponsoring Agency shall prepare the final Appraisal Report in the form of a Final Business Case for the project in accordance with the relevant appraisal guidance and PSC requirements. In most cases, updating the Preliminary Business Case prepared during the earlier stages of the project should suffice.

The Final Business Case shall be prepared and submitted to NTA for review and approval to proceed.

For Projects over €100M Government approval of the Final Business Case is required.

If the final tendered price exceeds the previously secured DGOU approval, then it may be necessary to seek re-approval to proceed with the project. The ICT Liaison Officer should be consulted regarding this decision.

15.3.4 Contract Execution

The final stage in the procurement process is to sign the contract and raise any Purchase Order (PO) to meet the initial cost of services stipulated by the successful bidder in the contract of work.

Before contracts are signed, it is important to check that the cost of the tendered project is still within the original DGOU approval value, (applicable to NTA projects). If there are significant differences, then it may be necessary to seek re-approval from DGOU to proceed with the project.

15.3.5 Procurement Governance Document

The NTA place important emphasis on the need for strong governance for all Phases of the Procurement cycle. The governance needs to be adhered to in line with the Procurement Policy. For larger more complex projects a separate Procurement Governance document may need to be put in place. This would be agreed in the PID document developed in Phase 1.

15.3.6 Revised Project Initiation Document (PID)

The PID may require some further updates during this Phase to reflect any agreements that was made during contract signing. Any updates to the PID needs to go through the agreed approvals process as outlined in Phase 1.

15.4 Phase 3 Key Deliverables

The key deliverables from this Phase of the project are as outlined in Table 11 for each of the three project band categories. Refer to Section D for an overview of key deliverables and typical Hold Points required for the various phases within the Project Bands.

15.5 Gateway 3

Phase 3 is followed by Gateway 3 for Band 1 and Band 2 Projects and by Gateways 3a and 3b for Band 3 Projects.

The Sponsoring Agency or internal NTA business unit will provide the NTA with copies or evidences of deliverables from Phase 3 as identified in 15.4 (above). For Projects within Band 1 and 2 the Gateway will be as per Gateway 3b.

If requested by the NTA, the Sponsoring Agency or internal NTA business unit will meet the NTA for the purposes of briefing or clarification on the submitted material, or to discuss the Gateway review decision.

It must be highlighted to the NTA if there are any changes outside the originally agreed parameters approved in the business case and original approach. Following consideration by the NTA of the deliverables of Phase 3, written approval shall be issued confirming NTA's commitment to funding Phase 4 of the project, or otherwise approval to proceed to Phase 4. Only when written approval is issued by the NTA should Phase 4 commence.

15.6 Gateway 3a – Pre-Tender Approval

In order to proceed with tendering contracts, it will be necessary to obtain the written approval of the NTA. This will be required to be obtained through the Gateway3a review process for Band 3 Projects. The Sponsoring Agency will provide the NTA with copies of the deliverables required.

In certain circumstances some deliverables may not be required with NTA agreement. If requested by the NTA, the Sponsoring Agency will meet the NTA for the purposes of briefing or clarification on the submitted material, or to discuss the NTA Gateway decision.

The Gateway 3a review is intended to have the following outcomes:

- Approval of the Gateway 3a deliverables;
- Confirmation that a clear plan exists for the progression to Gateway 3b and the next Phase;
- Confirmation that the NTA wishes to proceed at this time including express approval to tender Contracts.

Government review of the Procurement Strategy is required for projects over €100M prior to approval to go to tender.

15.6.1 Lines of Enquiry for the Gateway 3a Review

The Sponsoring Agency shall satisfy itself that the project has reached a sufficient level of development, prior to the start of the Gateway 3a Review. Key questions to be addressed by the NTA before granting Approval to Proceed to Gateway 3b include:

- Is the Procurement Strategy achievable?
- What are the key project risks and how are they proposed to be managed?
- Is there evidence of a clear, well developed tender process including tender evaluation for the contracts?
- Has the tender process aligned with the Project Procurement Strategy?

15.6.2 Gateway 3a – Outputs

If the Gateway 3a review has been successfully passed, the following outputs are expected:

- Validation of the relevant Phase 3 project deliverables
- Endorsement of the decision to tender Contracts
- Agreement to the plans for the next Phase of works;
- Approval to Proceed to develop deliverables for Gateway 3b.

Only when written approval is issued by the NTA should the Sponsoring Agency issue tender documents for the relevant contracts.

15.7 Post Tender documents

15.7.1 Tender Report

Following the receipt and evaluation of the tenders, a Tender Report shall be prepared and submitted to the NTA for approval to proceed, summarising the tender process, the details of tenders received and the outcome of the evaluation process.

Given the importance of the tender process, the Sponsoring Agency shall ensure that the persons involved in the process have the appropriate skills, or have appropriate support available to them, to manage the process competently.

15.7.2 Total Project Cost

A Total Project Cost shall be prepared taking account of the contract sums for the relevant contracts and any changes to base costs if necessary. This will include the outcome of the Risk and Contingency Report (below). The Total Project Cost represents the fully developed final cost estimate for the project upon which the final decision will be taken on whether or not to proceed to the Implementation stage. Refer to the NTA Cost Management Guidelines for further Guidance.

15.7.3 Risk Management Plan

The Sponsoring Agency should ensure adequate consideration is given to identifying risks associated with the project.

Appropriate cost allowance shall be developed to address the likelihood and the implications of the risks materialising. Of equal importance is the identification of appropriate mitigation measures to minimise the probability and consequence of the individual risks. For larger projects a formalised risk assessment process will be required; for smaller projects the identification of an appropriate contingency allowance may be sufficient. Where a formalised risk assessment process has been undertaken, a Risk and Contingency Report should be prepared as an appendix to the Total Project Cost. Refer to the NTA Cost Management Guidelines for further guidance.

15.7.4 Final Business Case

At the end of Phase 3, the final decision is made on whether the project should proceed to implementation. The final design should be complete, with necessary statutory approvals in place and a Total Project Cost finalised based on tender information.

To enable informed decisions to be made, the Sponsoring Agency shall prepare the final Appraisal Report in the form of a Final Business Case for the project in accordance with the relevant appraisal guidance and PSC requirements. In most cases, updating the Preliminary Business Case prepared during the earlier stages of the project should suffice.

The Final Business Case shall be prepared and submitted to NTA for review and approval to proceed.

For Projects over €100M Government approval of the Final Business Case is required.

15.8 Gateway 3b - Approval to Contract Award

In order to proceed with the award of the supply contracts, it will be necessary to obtain the written approval of the NTA. This will be required to be obtained through Gateway 3b review process. The Sponsoring Agency will provide the NTA with copies of the required deliverables.

In certain circumstances some deliverables may be omitted with NTA agreement. If requested by the NTA, the Sponsoring Agency will meet the NTA for the purposes of briefing or clarification on the submitted material, or to discuss the NTA Gateway decision.

Government review of the Final Business Case is required for projects over €100M.

The Gateway 3b review is intended to have the following outcomes:

- Approval of the Gateway 3b 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 entering into Contracts.

Only when written approval is issued by the NTA should Phase 4 commence.

15.8.1 Lines of Enquiry for the Gateway 3b Review

The Sponsoring Agency shall satisfy itself that the project has reached a sufficient level of development, prior to the start of the Gateway 3b Review. Key questions to be addressed by the NTA before granting Approval to Proceed to Phase 4 include:

- Is the tender assessment robust?
- Is the Final Business Case appropriately updated to reflect the requirements of the PSC?

15.8.2 Gateway 3b - Outputs

If the Gateway 3b review has been successfully passed, the following outputs are expected:

- Endorsement of the decision to enter into supply contracts, including definition of what will be considered to constitute a 'significant' contractual claim or project over run in the following Phase;
- Agreement to the plans for the next Phase of works;
- Approval to Proceed to next Phase.

Only when written approval is issued by the NTA should Phase 4 commence.

16. ICT PHASE 4: Analysis & Design

Scale	Projects – Band 1 < €0.5 million	Projects – Band 2 > €0.5 million and < €10 million	Projects – Band 3 > €10 million
Key Deliverables	System Requirements Specification Non-functional Requirements Specification Architecture Document Functional & Technical Design Test Plan Security Design Training Requirements & Support Model Privacy Impact Assessment Update Project Plan	System Requirements Specification Non-functional Requirements Specification Architecture Document Functional & Technical Design Test Plan Security Design Training Requirements & Support Model Privacy Impact Assessment Update Project Plan Gateway 4 Report	System Requirements Specification Non-functional Requirements Specification Architecture Document Functional & Technical Design Test Plan Security Design Training Requirements & Support Model Privacy Impact Assessment Update Project Plan Gateway 4 Report
Approval Point	Gateway 4 △	Gateway 4 △	Gateway 4 △
Leading to	Approval to proceed to Phase 5	Approval to proceed to Phase 5	Approval to proceed to Phase 5

Table 12 ICT Phase 4 – Key Deliverables

△ NTA - Gateway Point

Please note that the listed deliverable items can be combined, for convenience, into a document (or documents) with required items included as separate chapters

16.1 Applicability

The full provisions of this Section apply to projects of greater than €10 million in total cost. The table above identifies the reduced deliverables required for Band 1 projects.

16.2 Purpose of Phase 4

The purpose of this Phase is for the Sponsoring Agency or internal NTA business unit to coordinate the analysis of the project requirements, the architectural and process designs, the approach for delivering the project and the expected costs of the project.

Input from suppliers, vendors, project managers, project team members and subject matter experts are required in this Phase. It is important to agree on timelines and resource demand with suppliers and vendors at this time so a delivery timeline can be confirmed and aligned with the project plan. Project plan updates may be required based on the outputs of this Phase.

This Phase represents progression towards the build, testing and rollout of the solution. The NTA should be consulted on any issues or events that could have an impact on the cost, scope, quality or programme of the project.

16.3 Key Phase 4 Activities

16.3.1 Project Design

The objective of this activity is to provide a detailed design of the project requirements. Artefacts that should be created include an architectural document, and functional and technical product design documents.

16.3.2 Project Analysis

This activity describes the analysis of the requirements of the project, the approach as to how the project will be implemented, and the confirmed costs of implementation. Further activities and support models to support the transition of the project products into steady state management are also considered here.

16.3.3 Security Design/Threat and Vulnerability Modelling

The purpose of this activity is to identify potential vulnerabilities with the project solution, products and the supporting infrastructure from a business perspective, and to provide recommendations or activities to address these. Formal security testing will be performed in the next stage after the build is complete.

16.3.4 Privacy Impact Assessment (PIA)

A PIA is a General data Protection Regulation (GDPR) requirement to assess how personal information will be collected, processed and effectively safeguarded during the course of the project. Any risks to the protection of personal data must be identified and documented in the PIA and project risk register. Mitigation strategies to appropriately address these risks must be documented in the PIA and risk register and considered as part of the project scope.

16.4 Phase 4 Key Deliverables

The key deliverables from this Phase of the project are as outlined in Table 12 for each of the three project band categories. Refer to Section D for an overview of key deliverables and typical Hold Points required for the various phases within the Project Bands.

16.5 Gateway 4

Phase 4 is followed by a Gateway. The Sponsoring Agency or internal NTA business unit will provide the NTA with copies or evidences of deliverables from Phase 4 as identified in 16.4 (above). If requested by the NTA, the Sponsoring Agency or internal NTA business unit will meet the NTA for the purposes of briefing or clarification on the submitted material, or to discuss the Gateway review decision. Following consideration by the NTA of the deliverables of Phase 4, written approval may be issued confirming NTA's commitment to funding Phase 5 of the project, or otherwise approval to proceed to Phase 5. Only when written approval is issued by the NTA should Phase 5 commence.

16.6 Gateway 4 Outputs

- Validation of the Phase 4 project deliverables;
- Approval of requirements (both functional and non-functional) in addition to architectural and design sign-off;
- Approval that all GDPR aspects of the project have been considered and appropriate dealt with; and
- Agreement to the plans for the next stage of work.

17. ICT PHASE 5: Build & Test




Scale	Projects – Band 1 < €0.5 million	Projects – Band 2 > €0.5 million and < €10 million	Projects – Band 3 > €10 million
Key Deliverables	Working Software Demos Test Reports Release to Production Approval Change Advisory Board Request Go/ No-Go Decision Paper User/ Operation Guides Source Code Review	Working Software Demos Test Reports Release to Production Approval Change Advisory Board Request Go/ No-Go Decision Paper User/ Operation Guides Source Code Review Gateway 5 Report	Working Software Demos Test Reports Release to Production Approval Change Advisory Board Request Go/ No-Go Decision Paper User/ Operation Guides Source Code Review Gateway 5 Report
Approval Point	Gateway 5 	Gateway 5 	Gateway 5 
Leading to	Approval to proceed to Phase 6	Approval to proceed to Phase 6	Approval to proceed to Phase 6

Table 13 ICT Phase 5 – Key Deliverables

 NTA - Gateway Point

Please note that the listed deliverable items can be combined, for convenience, into a document (or documents) with required items included as separate chapters

17.1 Applicability

The full provisions of this Section apply to projects of greater than €10 million in total cost. The table above identifies the reduced deliverables required for Band 1 projects.

17.2 Purpose of Phase 5

The purpose of this Phase is to build, test and demonstrate the solution in non-production environments prior to deployment of the solution into a production/ live environment.

This stage is crucial to ensure that the project products of the solution are successful in the objective to address the business needs for which the project has been undertaken, or otherwise highlight any adverse effects prior to deployment into a production environment.

This Phase represents progression towards rollout of the solution into production. The NTA should be consulted on any issues or events that could have an impact on the cost, scope, quality or programme of the project.

17.3 Key Phase 5 Activities

17.3.1 Solution Build

This activity describes the development of the solution in conjunction with the Systems Requirement Specification (SRS), Detailed Non-Functional Requirements, Architectural Documentation, Technical Design and Functional Design documentations that were developed in Phase 4. This activity is conducted within non-production environments to facilitate testing prior to rollout to deployment to the production environment.

17.3.2 Solution Testing

The purpose of this activity is to test the solution in non-production (i.e. User Acceptance Test or UAT) environments under a defined set of criteria prior to production rollout in conjunction with the Test Plan developed in Phase 4. These tests are conducted by NTA or supplier, where relevant. The results of these tests and any outstanding issues must be documented and sign-off agreed.

This testing Phase must also include a security penetration test to ensure that any security weaknesses are identified, assessed and remediated where necessary.

17.3.3 Request to Production Approval (RTPA) and Change Advisory Board (CAB) Request

For internal NTA projects, the RTPA form is required for any change request to deploy a solution into production. It outlines what the change is, why the change is necessary, and evidences the test approvals.

The RTPA form must be submitted to the NTA ICT Project Management Office (PMO) two weeks prior to the scheduled deployment to production.

In addition, a CAB request must be submitted in accordance with the agreed CAB process. The outputs of the RTPA form will also be discussed at this meeting. For external projects this may be required and will be reviewed on a case by case basis.

All external organisations should have suitable controls in place to ensure an informed decision is made before deploying a change into production.

17.3.4 Go/ No-Go

The Go/ No-Go is a formal meeting between the project stakeholders to authorise the project scope being released to a live Production environment. It is comprised of the Sponsoring Agency or internal NTA business unit, Approving Authority, Subject Matter Experts and key relevant stakeholders as defined in the Project Initiation Document. Decisions and actions made in the meeting must be captured and evidenced in the Go/ No-Go Decision Paper.

17.4 Phase 5 Key Deliverables

The key deliverables from this Phase of the project are as outlined in Table 13 for each of the three project band categories. Refer to Section D for an overview of key deliverables and typical Hold Points required for the various phases within the Project Bands.

17.5 Gateway 5

Phase 5 is followed by a Gateway. The Sponsoring Agency or internal NTA business unit will provide the NTA with copies or evidences of deliverables from Phase 5 as identified in 17.4 (above). If requested by the NTA, the Sponsoring Agency or internal NTA business unit will meet the NTA for the purposes of briefing or clarification on the submitted material, or to discuss the Gateway review decision.

Following consideration by the NTA of the deliverables of Phase 5, written approval shall be issued confirming NTA's commitment to funding Phase 6 of the project, or otherwise approval to proceed to Phase 6. Only when written approval is issued by the NTA should Phase 6 commence.

17.6 Gateway 5 Outputs

- Validation of the Phase 5 project deliverables;
- Assurances and approval that all necessary checks have been performed to ensure a seamless transition of deliverables to the Production environment; and
- Agreement to the plans for the next stage of work.

18. ICT PHASE 6: Deploy/ Rollout

Scale	<div>Projects – Band 1</div> <div>< €0.5 million</div>	<div>Projects – Band 2</div> <div>> €0.5 million and < €10 million</div>	<div>Projects – Band 3</div> <div>> €10 million</div>
Key Deliverables	<div>Deployed Software</div> <div>Production Bench Tests</div> <div>Run-Book (Operations Guides)</div> <div>Secure Source Code</div>	<div>Deployed Software</div> <div>Production Bench Tests</div> <div>Run-Book (Operations Guides)</div> <div>Secure Source Code</div> <div>Gateway 6 Report</div>	<div>Deployed Software</div> <div>Production Bench Tests</div> <div>Run-Book (Operations Guides)</div> <div>Secure Source Code</div> <div>Gateway 6 Report</div>
Approval Point	<div>Gateway 6 △</div>	<div>Gateway 6 △</div>	<div>Gateway 6 △</div>
Leading to	<div>Approval to proceed to Phase 7</div>	<div>Approval to proceed to Phase 7</div>	<div>Approval to proceed to Phase 7</div>

Table 14 ICT Phase 6 – Key Deliverables

△ NTA - Gateway Point

Please note that the listed deliverable items can be combined, for convenience, into a document (or documents) with required items included as separate chapters

18.1 Applicability

The full provisions of this Section apply to projects of greater than €10 million in total cost. The table above identifies the reduced deliverables required for Band 1 projects.

18.2 Purpose of Phase 6

This Phase describes the deployment of the solution into a production environment.

This Phase represents progression towards handover of the solution into Business as Usual (BAU) and project closure. The NTA should be consulted on any issues or events that could have an impact on the cost, scope, quality or programme of the project.

18.3 Key Phase 6 Activities

18.3.1 Solution Deployment into Production Environment

The solution is deployed into the designated production environment as outlined in the Project Plan. This activity must be supported with an agreed rollback procedure that must be enacted in the event of unexpected issues that cannot be resolved in a defined timeframe.

18.3.2 Solution Bench Testing

The solution is tested as per the Test Plan defined in Phase 4 and executed in User Acceptance Test (UAT) environments in Phase 5. Production Bench tests are the final tests that are run when the solution goes live. Any failures may require a rollback decision depending on the severity of the issue.

18.3.3 Develop Run-Book (Operational Guides)

A Run-Book is an instruction manual outlining the processes and routine procedures required to manage the solution in Business as usual conditions (BAU). The intended audience is the internal or external operations and maintenance teams that will directly manage and support the project products in BAU.

18.3.4 Secure Source Code

The Source Code developed must be securely managed in line with secure coding practices. The NTA Security team and/or Architecture Review Board (ARB) may review to ensure best practices have been adopted.

18.4 Phase 6 Key Deliverables

The key deliverables from this Phase of the project are as outlined in Table 14 for each of the three project band categories. Refer to Section D for an overview of key deliverables and typical Hold Points required for the various phases within the Project Bands.

18.5 Gateway 6

Phase 6 is followed by a Gateway. The Sponsoring Agency or internal NTA business unit will provide the NTA with copies or evidences of deliverables from Phase 6 as identified in 18.4 (above). If requested by the NTA, the Sponsoring Agency or internal NTA business unit will meet the NTA for the purposes of briefing or clarification on the submitted material, or to discuss the Gateway review decision. Following consideration by the NTA of the deliverables of Phase 6, written approval shall be issued confirming NTA's commitment to funding Phase 7 of the project, or otherwise approval to proceed to Phase 7. Only when written approval is issued by the NTA should Phase 7 commence.

18.6 Gateway 6 Outputs

- Validation of the Phase 6 project deliverables;
- Satisfactory deployment of solution to the Production environment and the secure management of the source code and operational procedures; and
- Agreement to the plans for the next stage of work.

19. ICT PHASE 7: Hand Over & BAU

Scale	Projects – Band 1 < €0.5 million	Projects – Band 2 > €0.5 million and < €10 million	Projects – Band 3 > €10 million
Key Deliverables	Lessons Learned Document Project Closure Report End of Project Submission to DGOU (If applicable)	Lessons Learned Document Project Closure Report End of Project Submission to DGOU (If applicable) Gateway 7 Report	Lessons Learned Document Project Closure Report End of Project Submission to DGOU (If applicable) Gateway 7 Report
Approval Point	Gateway 7 △	Gateway 7 △	Gateway 7 △
Leading to	Approval to proceed to Phase 8	Approval to proceed to Phase 8	Approval to proceed to Phase 8

Table 15 ICT Phase 7 – Key Deliverables

△ NTA - Gateway Point

Please note that the listed deliverable items can be combined, for convenience, into a document (or documents) with required items included as separate chapters

19.1 Applicability

The full provisions of this Section apply to projects of greater than €10 million in total cost. The table above identifies the reduced deliverables required for Band 1 projects.

19.2 Purpose of Phase 7

This purpose of this Phase is to provide a fixed point at which acceptance for the project products by the NTA is confirmed and to recognise that the objectives set out in the Project Initiation Document (PID) have been achieved. It is also the Phase that marks the transition of solution management from the project to the Business as Usual (BAU) team, and the subsequent disbanding of the project. The NTA should be consulted on any issues or events that could have an impact on the closure of the project.

19.3 Key Phase 7 Activities

19.3.1 Prepare Project Closure

The project manager must ensure that all project objectives have been met. A review of the procurement contract document should be carried out to ensure that all contractual obligations have been fulfilled by all relevant parties, and a review of the PID should be carried out to confirm that the project has completed all project deliverables in accordance to the defined scope and quality criteria.

19.3.2 Hand Over to BAU

The Run-Book (prepared in Phase 6) and the project products are handed over to the operations and maintenance teams. Written confirmation of acceptance from the operations and maintenance leads must be requested and obtained. Responsibility for the project products is then transferred to the operations and maintenance teams to manage in BAU.

In addition to the above, any open risks and issues that are to be transitioned into BAU should be updated in the Risks, Assumptions, Issues & Dependencies (RAID) log with follow-on actions and recommendations and documented as part of the project closure report.

19.3.3 Prepare Project Closure Report

The objective of the Project Closure Report is to verify that the project objectives have been met, to assess how successful or unsuccessful the project has been, and to facilitate organisational learning.

The project manager should review and document the project's original intent as defined by the PID, and any subsequent changes. The key metrics of the project (time, cost, scope, quality) should be assessed and compared against the baseline. A summary of the project products should be documented.

The project manager should also consult the project team/stakeholders to prepare a Lessons Learned Document for inclusion in the Project Closure Report. This will consist of the project manager's summary of the project's performance against planned targets and product quality, as well as an appraisal of the project team(s) performance. An appraisal of third-party suppliers'/ contractors' performances should also be considered.

All of the above should be compiled into the Project Closure Report as per the approved template to support the request for Project Closure. The Return on Investment (ROI) will be reviewed as part of the activities in Phase 8.

19.3.4 Recommend Project Closure

The project manager should make the recommendation to the NTA that the project can be closed. All project registers and logs should be closed with any open items recommended for transition to BAU. For internal projects all project information should be stored in the NTA's knowledge management system for future reference.

For external projects the deliverables outlined as mandatory in the various stages should be submitted and will be stored in the NTA's knowledge management system for future reference.

19.4 Phase 7 Key Deliverables

The key deliverables from this Phase of the project are as outlined in Table 15 for each of the three project band categories. Refer to Section D for an overview of key deliverables and typical Hold Points required for the various phases within the Project Bands.

19.5 Gateway 7

Phase 7 is followed by a Gateway. The Sponsoring Agency or internal NTA business unit will provide the NTA with copies or evidences of deliverables from Phase 7 as identified in 19.4 (above). If requested by the NTA, the Sponsoring Agency or internal NTA business unit will meet the NTA for the purposes of briefing or clarification on the submitted material, or to discuss the Gateway review decision. Following consideration by the NTA of the deliverables of Phase 7 and a review to ensure that all contractual obligations and/or agreed deliverables have been delivered by the project, written approval shall be issued confirming that the NTA has accepted the transition of the project products, open risks and issues into BAU and that the project may be closed. Only when written approval is issued by the NTA should the project be closed, and the project resources disbanded.

19.6 Gateway 7 Outputs

- Validation of the Phase 7 project deliverables; and
- Agreement to the plans for the next stage of work.

20. ICT PHASE 8: (Post-Project): Benefits Review

Scale	Projects – Band 1 < €0.5 million	Projects – Band 2 > €0.5 million and < €10 million	Projects – Band 3 > €10 million
Key Deliverables	Benefits Realisation Report	Benefits Realisation Report	Benefits Realisation Report
Approval Point	Gateway 8 △	Gateway 8 △	Gateway 8 △

Table 16 ICT Phase 8 – Key Deliverables

△ NTA - Gateway Point

Please note that the listed deliverable items can be combined, for convenience, into a document (or documents) with required items included as separate chapters

20.1 Applicability

The full provisions of this Section apply to projects within all bands.

20.2 Purpose of Phase 8

This purpose of this Phase is to confirm that the expected benefits of the project products have been realised and how the products have performed when in operational use. Each expected benefit is assessed, and a decision is made on whether any additional time is needed to assess the residual benefit. The Benefits Review may also serve to identify unexpected side-effects (both beneficial and adverse) and provide rationale for why these side-effects were not foreseen.

20.3 Key Phase 8 Activities

20.3.1 Perform Benefits Review

Benefits Reviews are performed at a point in time and by the personnel/ team as defined by the Benefits Review Plan (as outlined in the Project Initiation Document). This is typically scheduled between 6mths to 1yr post go-live.

20.3.2 Prepare Benefits Realisation Report

The Benefits Realisation Report documents the results of the Benefits Reviews for each expected benefit. For Projects in Band 3 this is also known as the ‘Ex-Post Evaluation report’.

For internal projects it is prepared by the operational owner of the project products with assistance provided by the NTA ICT Project Management Office (PMO). For external projects it will be performed within the Sponsoring Agency itself. Quantifiable metrics for each expected benefit are measured and compared against the baseline and/ or target metrics, as defined by the Benefits Review Plan. The results and relevant comments/ rationale are recorded in the Benefits Realisation Report.

20.3.3 Hand Over to Authorising Agency

The Benefits Realisation Report is submitted to the Authorising Agency for further review and consideration.

20.4 Phase 8 Key Deliverables

The key deliverables from this Phase of the project are as outlined in Table 16 for each of the three project band categories. Refer to Section D for an overview of key deliverables and typical Hold Points required for the various phases within the Project Bands.

20.5 Gateway 8

Phase 8 is followed by a Gateway. The Sponsoring Agency or internal NTA business unit will provide the NTA with copies or evidences of deliverables from Phase 8 as identified in 20.4 (above). If requested by the NTA, the Sponsoring Agency or internal NTA business unit will meet the NTA for the purposes of briefing or clarification on the submitted material, or to discuss the Gateway review decision. Following consideration by the NTA of the deliverables of Phase 8, written approval may be issued confirming that the NTA has accepted the Benefits Realisation Report.

For this Phase the approval of the Benefits Realisation Report will represent the Gateway review process.

20.6 Gateway 8 Outputs

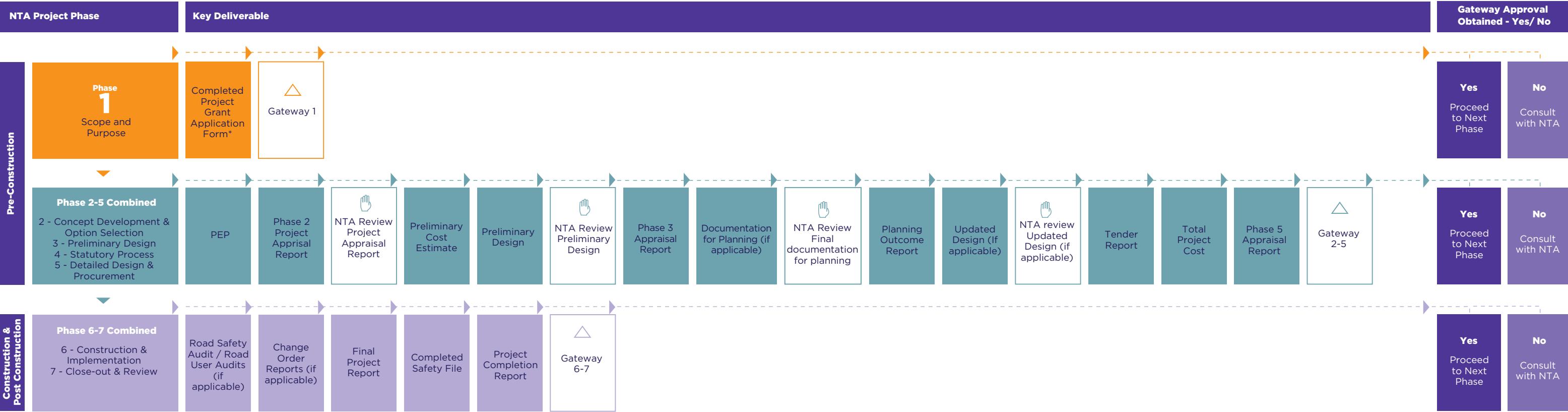
- Validation of the Phase 8 project deliverables; and
- Satisfactory appraisal of the benefits incurred since project delivered and whether objectives were successfully met.

SECTION D

OVERVIEW OF KEY PROJECT DELIVERABLES



CAPITAL INVESTMENT Projects
Band 1 (€0 - €0.5 Million) Key Project Deliverables



Notes

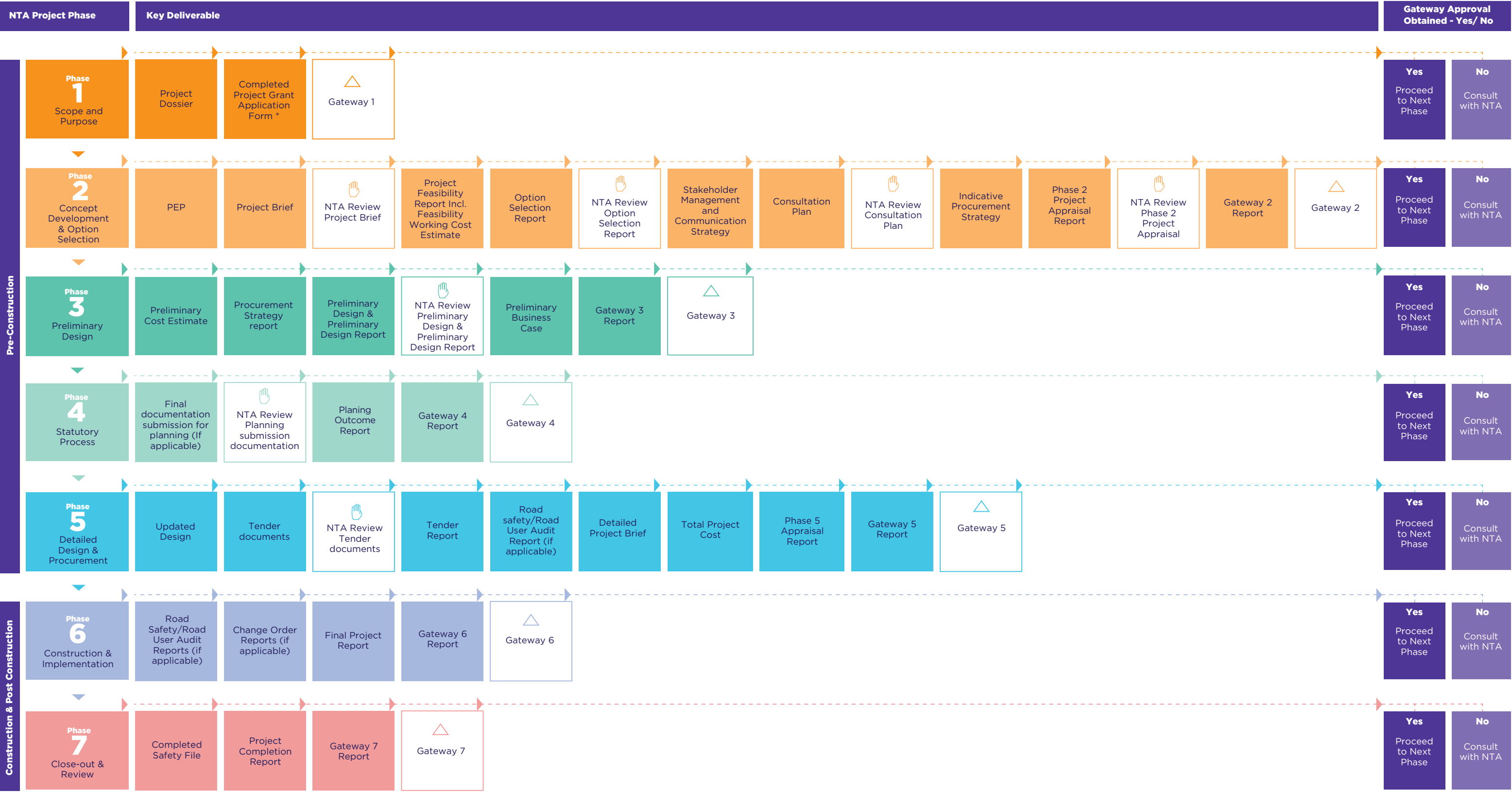
Sponsoring Agencies are expected to familiarise themselves with the Project Approval Guidelines to identify key and supporting phase deliverables. This flowchart is not considered exclusive, but identifies the minimum key deliverables for Band 1 projects. The sequence of deliverables is indicative only and should be agreed with the NTA.

*A separate procedure entitled “Capital Grant Application & Approval Procedures (for agencies/bodies external to the National Transport Authority)” is available from the NTA which outlines further detail on the process through which grant funding is made available and the specific procedural detail for the dissemination of capital grant funding to Sponsoring Agencies.

Please notes that the listed deliverable items can be combined, for convenience, into a document (or documents) with required items included as seperate chapters

-  NTA - Hold Point
-  NTA - Gateway Point

CAPITAL INVESTMENT Projects
Band 2 (€0.5 - €10 Million) Key Project Deliverables



Notes

Sponsoring Agencies are expected to familiarise themselves with the Project Approval Guidelines to identify key and supporting phase deliverables. This flowchart is not considered exclusive, but identifies the minimum key deliverables for Band 2 projects.

The sequence of deliverables is indicative only and should be agreed with the NTA.

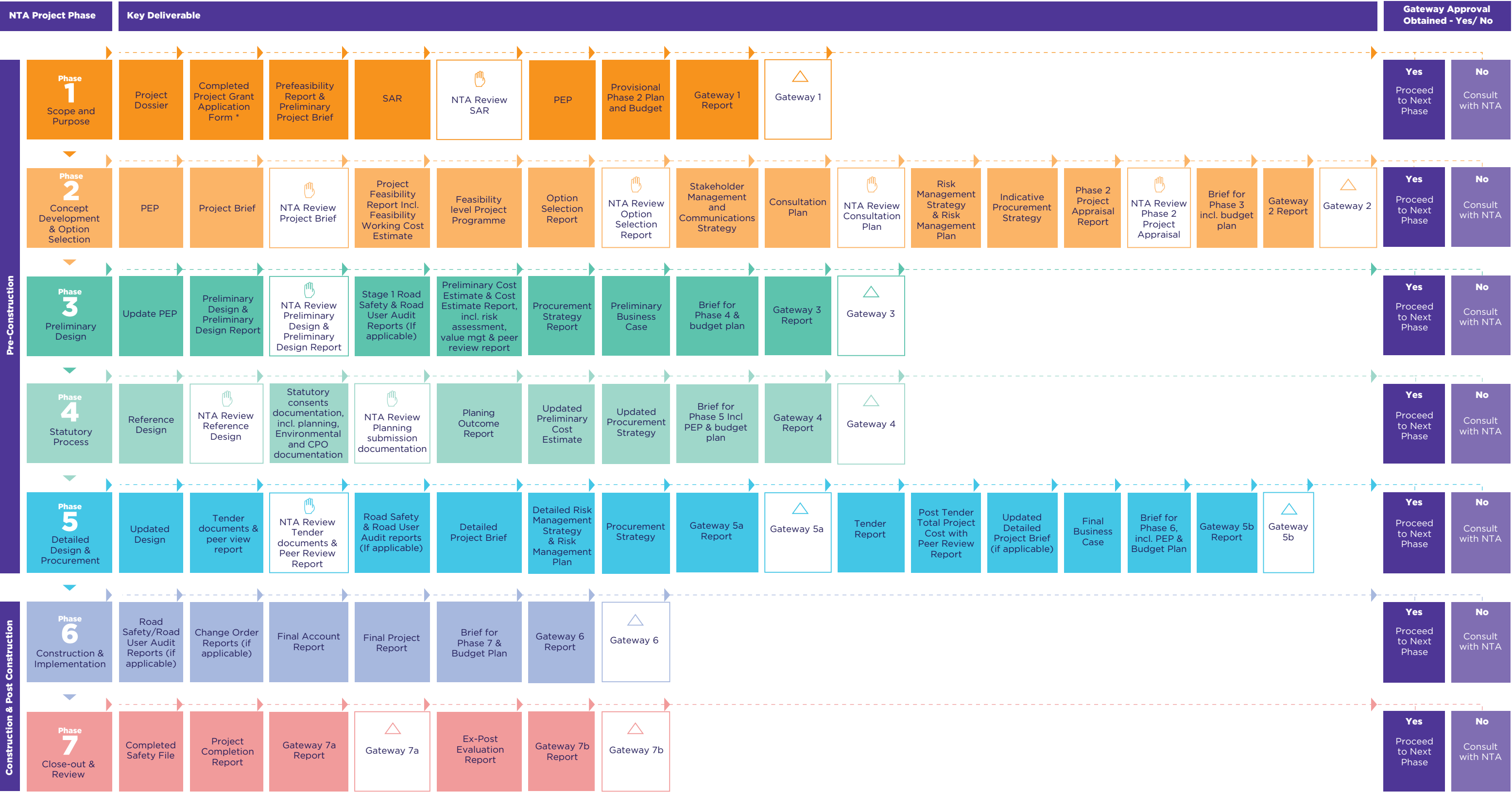
*A separate procedure entitled "Capital Grant Application & Approval Procedures (for agencies/bodies external to the National Transport Authority)" is available from the NTA which outlines further detail on the process through which grant funding is made available and the specific procedural detail for the dissemination of capital grant funding to Sponsoring Agencies.

Please notes that the listed deliverable items can be combined, for convenience, into a document (or documents) with required items included as separate chapters

 NTA - Hold Point

 NTA - Gateway Point

CAPITAL INVESTMENT Projects
Band 3 (€10 Million+) Key Project Deliverables

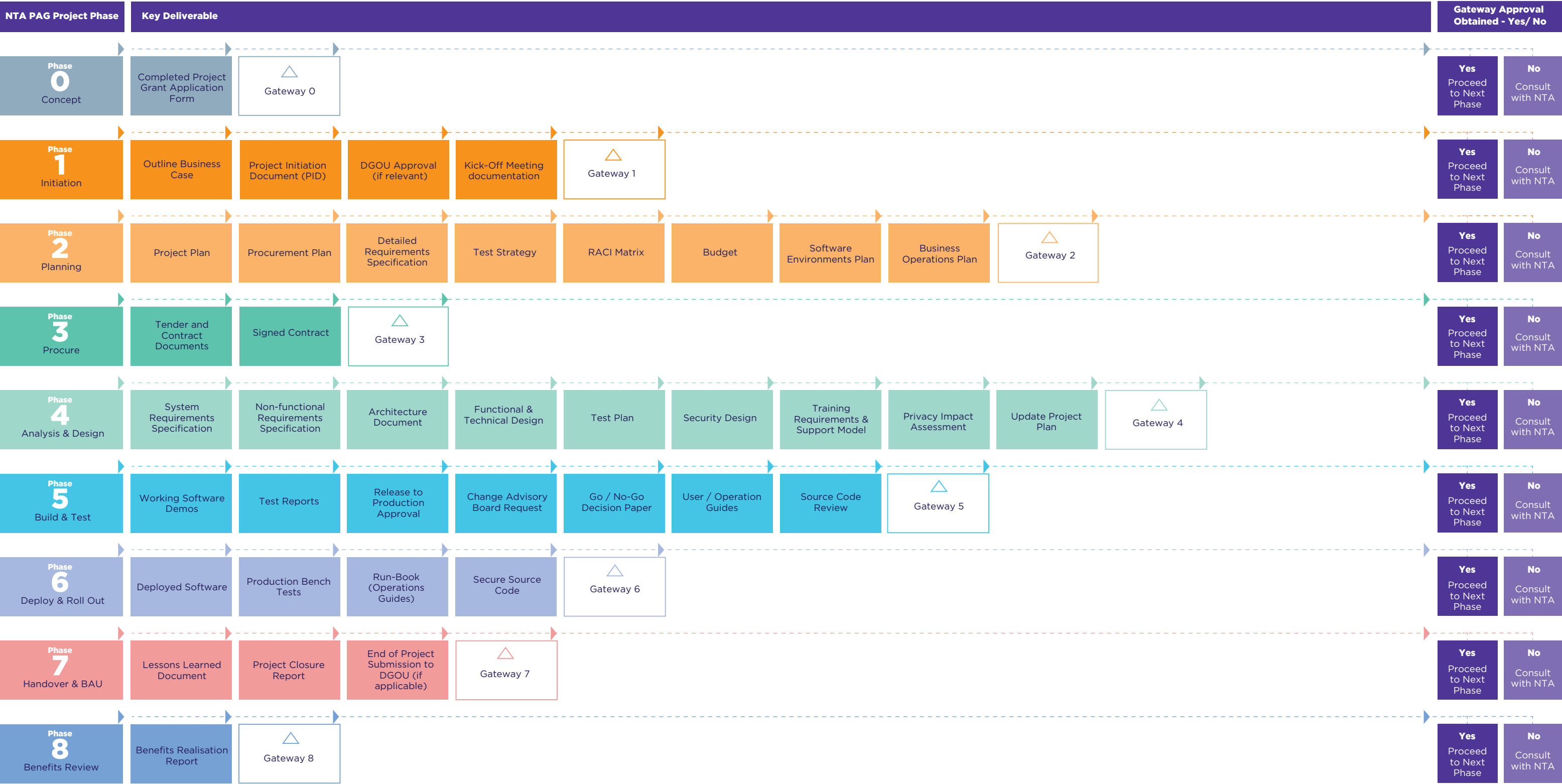


Notes

Sponsoring Agencies are expected to familiarise themselves with the Project Approval Guidelines to identify key and supporting phase deliverables. This flowchart is not considered exclusive, but identifies the minimum key deliverables for Band 3 projects.
The sequence of deliverables is indicative only and should be agreed with the NTA.
*A separate procedure entitled "Capital Grant Application & Approval Procedures (for agencies/bodies external to the National Transport Authority)" is available from the NTA which outlines further detail on the process through which grant funding is made available and the specific procedural detail for the dissemination of capital grant funding to Sponsoring Agencies.
Please notes that the listed deliverable items can be combined, for convenience, into a document (or documents) with required items included as seperate chapters

NTA - Hold Point
 NTA - Gateway Point

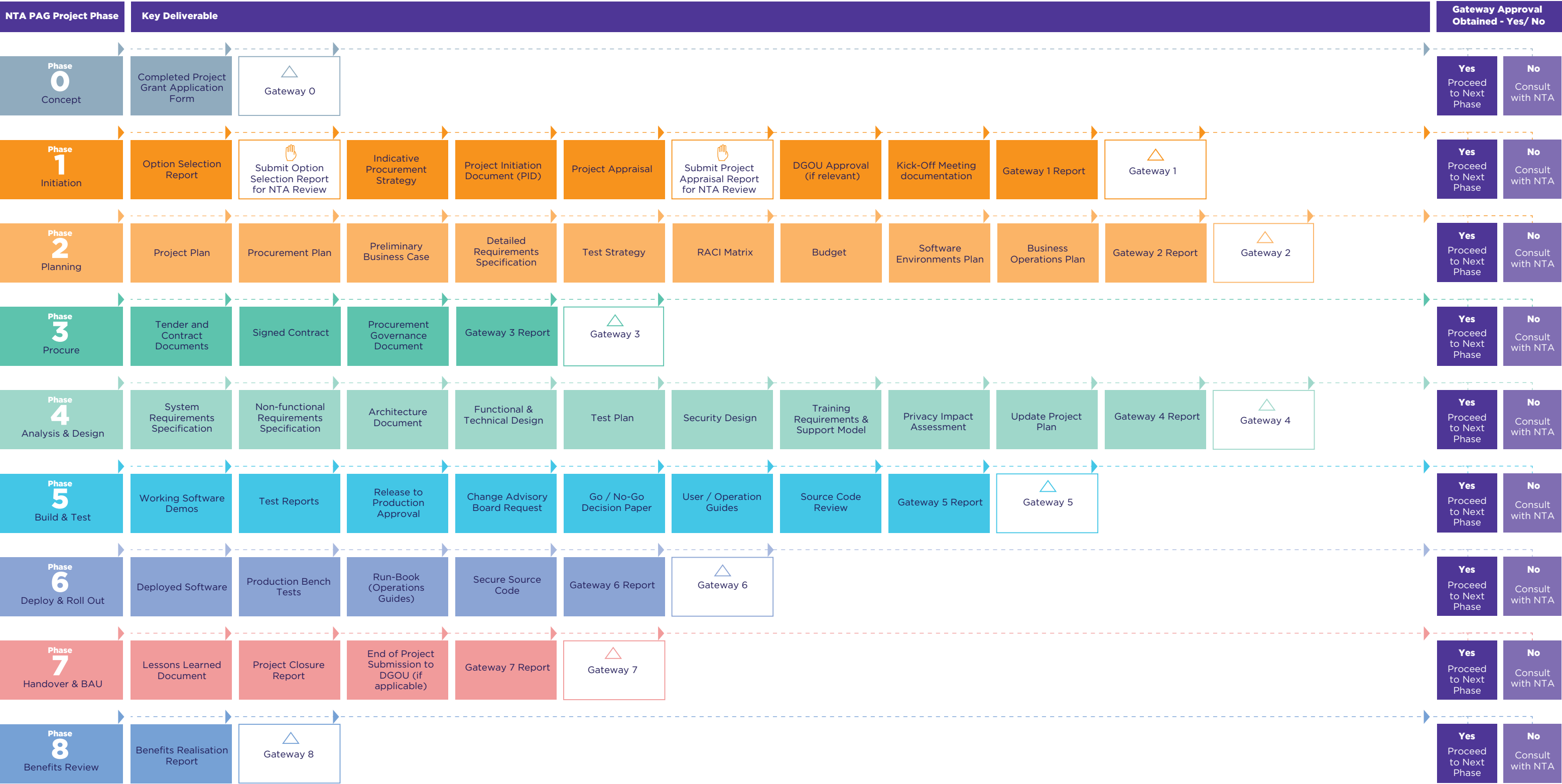
ICT Projects
Band 1 (€0 - €0.5 Million) Key Project Deliverables



Notes
Sponsoring Agencies are expected to familiarise themselves with the Project Approval Guidelines to identify key and supporting phase deliverables. This flowchart is not considered exclusive, but identifies the minimum key deliverables for Band 1 projects. The sequence of deliverables is indicative only and should be agreed with the NTA.
Please notes that the listed deliverable items can be combined, for convenience, into a document (or documents) with required items included as seperate chapters

NTA - Hold Point
 NTA - Gateway Point

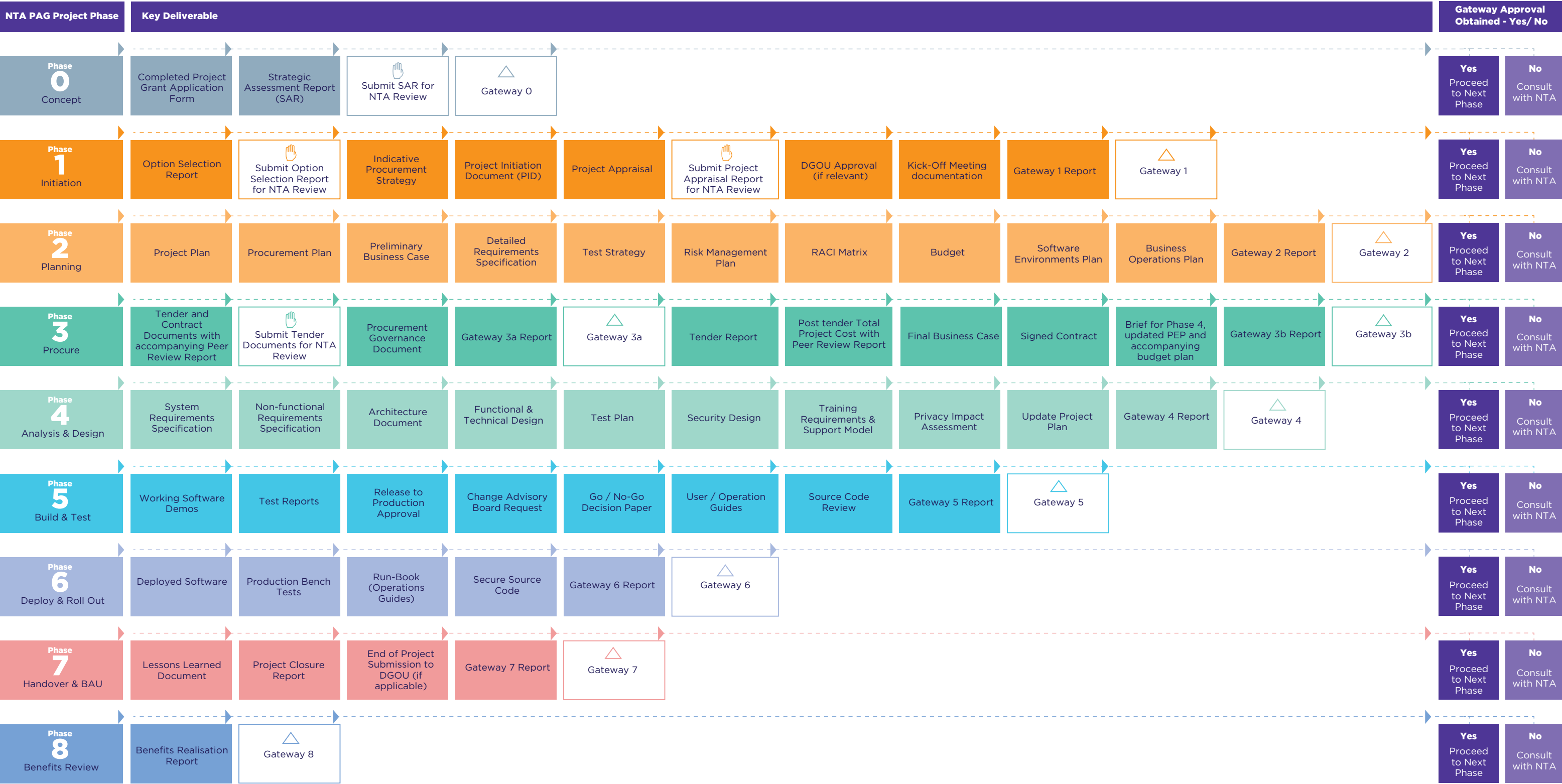
ICT Projects
Band 2 (€0.5 - 10 Million) Key Project Deliverables



Notes
Sponsoring Agencies are expected to familiarise themselves with the Project Approval Guidelines to identify key and supporting phase deliverables. This flowchart is not considered exclusive, but identifies the minimum key deliverables for Band 1 projects. The sequence of deliverables is indicative only and should be agreed with the NTA.
Please notes that the listed deliverable items can be combined, for convenience, into a document (or documents) with required items included as seperate chapters

✋ NTA - Hold Point
△ NTA - Gateway Point

ICT Projects
Band 3 (€10 Million+) Key Project Deliverables



Notes
Sponsoring Agencies are expected to familiarise themselves with the Project Approval Guidelines to identify key and supporting phase deliverables. This flowchart is not considered exclusive, but identifies the minimum key deliverables for Band 1 projects. The sequence of deliverables is indicative only and should be agreed with the NTA.
Please notes that the listed deliverable items can be combined, for convenience, into a document (or documents) with required items included as seperate chapters

NTA - Hold Point
 NTA - Gateway Point

APPENDIX 1 – ABBREVIATIONS



List of Abbreviations Used

Abbreviation	Explanation
ARB	Architecture Review Board
BAU	Business As Usual
CAB	Change Advisory Board
CAF	Common Appraisal Framework
CEO	Chief Executive Officer
CIO	Chief Information Officer
CPV	Common Procurement Vocabulary
CPO	Compulsory Purchase Order
CWMF	Capital Works Management Framework
DGOU	Digital Government Oversight Unit
DOT	Department of Transport
DPER	Department of Public Expenditure & Reform
FWC	Feasibility Working Cost
GN	Guidance Note
GDPR	General Data Protection Regulation
HP	Hold Point
ICT	Information and Communications Technology
NTA	National Transport Authority
OGP	Office of Government Procurement
PDR	Preliminary Design Report
PEP	Project Execution Plan
PIA	Privacy Impact Assessment
PID	Project Initiation Document
PMO	Project Management Office
PO	Purchase Order
PSC	Public Spending Code
PSCS	Project Supervisor Construction Stage
PSDP	Project Supervisor Design Process
RACI	Responsible, Accountable, Consulted, Informed
RAID	Risks, Assumptions, Issues & Dependencies
ROI	Return on Investment
RTPA	Request to Production Approval
SAR	Strategic Assessment Report
SRS	System Requirements Specification
TII	Transport Infrastructure Ireland
UAT	User Acceptance Test

