



# Capital Project and Grant Application & Approval Procedures

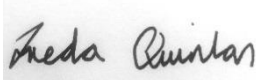
*(for agencies/bodies external to the  
National Transport Authority)*

November 2020

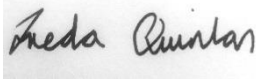
## Document History

Version	Date	Description
1.0	09/11/2020	Updated Procedure Issued
1.1	17/09/2021	Updated role of the External Agency Finance Officers – Section 4 Updated Appendix F - Allocation Adjustment Form

## Approvals

Position	Name	Signature	Date
Head of Capital Programme Office	Freda Quinlan		17th September 2021
Director of Transport Planning & Investment	Hugh Creegan	Hugh Creegan	17th September 2021

## Owner

Position	Name	Signature	Date
Head of Capital Programme Office	Freda Quinlan		17th September 2021

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## 1. Introduction

Each year, the National Transport Authority (“NTA”) receives a capital funding allocation from the Department of Transport (“DOT”). The NTA’s Transport Planning & Investment Department (TPI) oversees the allocation of capital funds to external agencies and bodies for the delivery of public transport projects. The NTA’s Capital Programme Office (“CPO”) (as part of the NTA’s Transport Planning & Investment Department) administers the allocation of capital funds to external agencies and bodies.

## 2. Scope

This document outlines the process for the dissemination of Capital Grant Funding to external agencies/bodies by the NTA from the DOT annual capital funding allocation. It is intended to outline the process through which Capital projects are applied for, approved and funded. The main elements of the process are illustrated below.



Note: This procedure applies to agencies & bodies **external** to the NTA only.

## 3. Definitions

Definitions	
<b>DPER</b>	Department of Public Expenditure and Reform
<b>DOT</b>	Department of Transport
<b>NTA</b>	National Transport Authority
<b>CPO</b>	NTA Capital Programme Office
<b>PRS</b>	The allocation and dissemination of NTA capital grant funding to external agencies is managed through PRS, the NTA’s Capital Grant Management System.
<b>Project Grant Application Form</b>	A <b>Project Grant Application Form</b> is used to seek project approval and indicative approval in principle for the funding required for the full project lifecycle and approved current year funding allocation.
<b>Project Approval Letter &amp; Project Approval Confirmation Form</b>	A <b>Project Approval Letter</b> is issued by the NTA to an External Agency/ body to confirm NTA support and funding of a project in principle to proceed in line with relevant terms and conditions. A Project Approval Letter may be issued covering more than one project where appropriate.

	A <b>Project Approval Confirmation Form</b> is required to be completed only in instances where the project was not captured in the Annual Allocation Letter ( <i>see definition below</i> ) with the required Annual Capital Grant Allocation Form returned to the NTA by the External Agency. In such circumstances, the NTA Capital Programme Office will request the External Agency to complete a Project Approval Confirmation Form confirming agreement to proceed in line with the requirements specified in the Project Approval Letter.
<b>Project Funding Continuance Form</b>	A <b>Project Funding Continuance Form</b> is used to seek approval for a funding allocation for an ongoing previously approved project in a new financial year.
<b>Annual Allocation Letter and Annual Capital Grant Allocation Confirmation Form</b>	An <b>Annual Allocation Letter</b> is a letter issued by the NTA to an External Agency/ body to confirm the current year capital funding allocation by project for public transport projects being delivered by the External Agency/ body and associated terms and conditions for the provision of this funding.  An <b>Annual Capital Grant Allocation Confirmation Form</b> is appended to the Annual Allocation Letter which is required to be completed by the External Agency/ body confirming agreement to proceed in line with the requirements specified in the Annual Allocation Letter.
<b>Allocation Adjustment Form</b>	An <b>Allocation Adjustment Form</b> captures any required increases to a project's current year allocation. This form will be completed by the NTA Programme Manager (with the support of the External Agency) who will seek the required NTA approvals. This form should not be used to request approval for an increase in the total estimated project cost; such required increases must be discussed with the NTA Programme Manager in line with the NTA's Project Approval Guidelines.

## 4. Key Personnel

Key stakeholders for this procedure include:

- External Agencies & Bodies
- NTA Senior Programme Managers
- NTA Senior Management (referred to hereafter as NTA Section Heads)
- NTA Capital Programme Office

The key stakeholders involved in this procedure, and their respective roles and responsibilities are outlined in the following table. It should be noted that the roles and responsibilities outlined below solely relate to those that pertain to the capital grants management process and do not reflect the broader responsibilities of those personnel relating to the oversight/ management of public transport projects. Such responsibilities are included in NTA's Project Approval Guidelines and are in alignment with the requirements of the Department of Public Expenditure and Reform's Public Spending Code.

Key Personnel	Role	Responsibilities	Approvals
<b>NTA Capital Programme Office</b>	Management and control of the dissemination of capital grant expenditure, including administration, oversight and reporting	<ul style="list-style-type: none"> <li>Administering the distribution of the NTA's DOT Capital Grant Allocation</li> <li>Oversight and control of capital grant expenditure and responsibility for related governance arrangements</li> <li>Gatekeeper of all required grant documentation</li> <li>Issue NTA Annual Allocation Letters, Project Approval Letters and other relevant correspondence</li> <li>Administrators of the PRS system</li> </ul>	<ul style="list-style-type: none"> <li><b>Finance approval for all project grant documentation.</b> <i>The purpose of this sign-off is solely in terms of confirming that the funds are available based on the most recent Capital forecast, for extracting information for current year and multi-year spend forecasts and for confirming that the required information for PRS set-up is included and accurate.</i></li> </ul>
<b>Director of Transport Planning &amp; Investment</b>	Approver for NTA (see approval threshold in Approvals field)	<ul style="list-style-type: none"> <li>Ultimately accountable for the allocation and expenditure of the NTA's DOT Capital Grant</li> <li>Ultimate oversight and control of the NTA's overall Capital Programme</li> <li>Ultimate NTA Approver of annual funding allocations and grant documentation for projects and allocations which exceed a certain threshold.</li> </ul>	<ul style="list-style-type: none"> <li><b>Ultimate NTA Approver of Annual funding allocations</b> for various projects to external agencies via the Annual Allocation Letter;</li> <li><b>Ultimate NTA Approver for Project Grant Application Forms</b> where the total cost of the project is greater than <b>€500,000</b>;</li> <li><b>Ultimate NTA Approver for intermittent allocation adjustments</b> where the allocation adjustment requested in respect of a project exceeds <b>€500,000</b></li> </ul>
<b>NTA Section Heads</b>	<ul style="list-style-type: none"> <li>Approver for NTA (see approval threshold in Approvals field)</li> </ul>	<ul style="list-style-type: none"> <li>Responsible for the oversight and control of their respective component(s) of the NTA's Capital Programme</li> <li>NTA Approver of grant documentation for projects and allocations within certain thresholds</li> </ul>	<ul style="list-style-type: none"> <li><b>Ultimate NTA Approver for Project Grant Application Forms</b> where the total cost of the project is between <b>€100,000 - €500,000</b></li> <li><b>Senior NTA Approver for Project Grant Application Forms</b> where the total estimated cost</li> </ul>

			<p>of the project is <b>greater than €500,000</b> in advance of Director of Transport Planning &amp; Investment approval</p> <ul style="list-style-type: none"> <li>• <b>Ultimate NTA Approver for Project Funding Continuance Forms</b> where the new year funding allocation is <b>greater than €100,000</b></li> <li>• <b>Initial approval for intermittent allocation adjustments</b></li> </ul>
<b>NTA Senior Programme Manager</b>	<ul style="list-style-type: none"> <li>• Approver for NTA (<i>see approval threshold in Approvals field</i>)</li> <li>• Liaison with External Agency Project Managers</li> <li>• Various project reporting functions</li> </ul>	<ul style="list-style-type: none"> <li>• Responsible for the management of the application and approval process for New Project Grant Applications Forms, Project Funding Continuance Forms and Allocation Adjustment Forms</li> <li>• NTA Approver of grant documentation for projects and allocations within certain thresholds</li> </ul>	<ul style="list-style-type: none"> <li>• <b>Ultimate NTA Approver for Project Grant Application Forms</b> where the total estimated cost of the project is <b>less than €100,000</b> and ensuring the relevant NTA Section Head is informed of projects and approvals which fall within this category</li> <li>• <b>Ultimate NTA Approver for Project Funding Continuance Forms</b> where the new year funding allocation is <b>less than €100,000</b></li> <li>• <b>Initial NTA Approver of all grant documentation</b> (Project Grant Application Forms and Project Funding Continuance Forms)</li> <li>• <b>Proposer of intermittent allocation adjustments</b></li> </ul>
<b>NTA Programme Manager</b>	<ul style="list-style-type: none"> <li>• Initial Reviewer for NTA</li> <li>• Liaison with External Agency Project Managers</li> <li>• Various project reporting functions</li> </ul>	<ul style="list-style-type: none"> <li>• Responsible for the management of the application and approval process for Project Grant Application Forms, Project Funding Continuance Forms and Allocation Adjustment Forms</li> </ul>	<ul style="list-style-type: none"> <li>• <b>Initial NTA Reviewer of all grant documentation</b></li> <li>• <b>Proposer of intermittent allocation adjustments</b></li> </ul>

<b>External Agency Claim Proposer</b>	<ul style="list-style-type: none"> <li>Claim preparer and submitter</li> </ul>	<ul style="list-style-type: none"> <li>Responsible for the preparation and submission of grant claims for projects to External Agency Finance Officer for review and approval</li> <li>Responsible for ensuring all grant claims are in compliance with the terms and conditions set out in the Project Approval Letter</li> </ul>	<ul style="list-style-type: none"> <li>External Agency proposer and initial approver of all project claims in PRS</li> </ul>
<b>External Agency Finance Officers</b>	<ul style="list-style-type: none"> <li>Approver of claims within External Agency for submission to NTA</li> <li>The Finance Officer should be a senior official within a Sponsoring Agency such as Chief Financial Officer or a Director of Services within a Local Authority. The senior official does not necessarily require a Finance-dedicated role but is rather a senior official with appropriate authority to validate and verify the accuracy and approval of claims</li> </ul>	<ul style="list-style-type: none"> <li>Accountable for the External Agency's approval and verification of all grant claims</li> <li>Ultimately accountable for ensuring all grant claims are in compliance with the terms and conditions set out in the Project Approval Letter</li> </ul>	<ul style="list-style-type: none"> <li>Senior External Agency approver of all project claims in PRS</li> <li>Provides approval for External Agency New User Request Forms</li> </ul>
<b>External Agency Directors or a suitably senior</b>	<ul style="list-style-type: none"> <li>Approver of project/ grant documentation within External Agency</li> </ul>	<ul style="list-style-type: none"> <li>Ultimately accountable for ensuring projects proceed in line with the terms and conditions set out in the Project Approval Letter</li> </ul>	Provide approval for: <ul style="list-style-type: none"> <li>Project Grant Application Forms</li> <li>Project Funding Continuation Forms</li> </ul>



<i>representative with delegated responsibility for the approval of such forms such as the Head of Public Transport Infrastructure</i>	<ul style="list-style-type: none"> <li>Liaison with NTA where required</li> </ul>		
<b>External Agency</b> <i>Group may vary depending on the agency. In some cases these tasks will be performed by <b>Project Services</b> or <b>another central department</b> or in others by <b>Project Managers</b> directly</i>	<ul style="list-style-type: none"> <li>Preparer within External Agency</li> <li>Liaison with NTA Programme Managers</li> </ul>	<p>Preparation and submission of:</p> <ul style="list-style-type: none"> <li>Project Grant Application Forms</li> <li>Project Funding Continuation Forms</li> <li>New User Request Forms</li> </ul> <p>Liaison with NTA Programme Manager where current year allocation adjustments are required</p>	Not applicable

## 5. Procedure Detail

The *Quick Reference Guide - Capital Project Approval Process* (Appendix A), outlines the key steps for initiating a request for capital funding. It should be noted that the steps vary depending on whether the project is a Technology Project or Other Capital Project. The following procedure assumes that the project is not a technology project and as such, the External Agency must be cognisant of the submission and approval route for technology projects illustrated in Appendix A.

The figure below outlines the procedure for the dissemination of capital grant funding to external agencies/bodies. Each form/document (including necessary approvals) is explained in detail over the following pages.

	Initial Project Proposal	Project Approval	Claim Submissions	Allocation Changes
Procedures	<ol style="list-style-type: none"> <li>1. Concepts for new projects developed by external agencies/bodies and NTA</li> <li>2. NTA holds meetings with external agencies/bodies (e.g. Sponsoring Agencies, Local Authorities)</li> <li>3. NTA conducts annual business planning and budget process where the NTA advises of the projects which may be supported in principle</li> <li>4. External agency submits forms for projects (Project Grant Application Form for new projects/ Project Funding Continuation Form for existing projects) to NTA Programme Manager</li> </ol>	<ol style="list-style-type: none"> <li>5. NTA Programme Manager reviews forms</li> <li>6. NTA Programme Manager seeks NTA approvals</li> <li>7. NTA Programme Manager shares the approved form(s) with the CPO</li> <li>8. CPO issues the approved Project Grant Application Form and Project Approval Letter (in the case of new projects)/ Project Funding Continuation Form (for existing projects) to external agencies/bodies</li> <li>9. Any Acknowledgement forms (appended to NTA Approved Forms/ Letters) must be returned by external agency to CPO</li> <li>10. CPO completes necessary PRS changes and advises the external agency accordingly</li> </ol>	<ol style="list-style-type: none"> <li>11. External Agency Claim Proposer prepares claims on PRS</li> <li>12. External Agency Finance Officer approves the submission of the claim on PRS which, following their approval, automatically submits to the NTA for review/ approval</li> <li>13. The NTA Programme Manager reviews and either approves, rejects or query's the claim</li> <li>14. In the case of approved claims, the claims payment process ensues in the NTA</li> </ol>	<ol style="list-style-type: none"> <li>15. In case of adjustments required to the funding allocation in the current year, the external agency/body must discuss the required change with the NTA Programme Manager</li> <li>16. The NTA Programme Manager will complete an Allocation Adjustment form with input from the external agency</li> <li>17. The NTA Programme Manager seeks approvals from various NTA approvers</li> <li>18. The NTA Programme Manager shares the approved form with the CPO who make the necessary PRS changes and advises the external agency accordingly</li> </ol>
Forms & Documents	<ul style="list-style-type: none"> <li>▶ Project Grant Application Form</li> <li>▶ Project Funding Continuation Form</li> </ul>	<ul style="list-style-type: none"> <li>▶ Project Approval Letter</li> <li>▶ Acknowledgement Forms</li> <li>▶ Annual Allocation Letter (only issued once yearly including all project allocations for current year)</li> </ul>	<ul style="list-style-type: none"> <li>▶ New User Request Form</li> </ul>	<ul style="list-style-type: none"> <li>▶ Allocation Adjustment Form</li> </ul>

### Initial Project Proposal

Project proposals may be submitted, or may be invited by the NTA:

- **For proposed projects captured in the annual budget and business planning process** between the External Agency and the NTA, Project Grant Application Forms (for new projects) or Project Funding Continuation Forms (for existing projects) must be submitted following agreement in principle of the projects which will be supported by the NTA in the following year. The required forms must be submitted and approved by the NTA in advance

of the NTA Annual Allocation Letter (described in further detail below) being issued by the NTA to the External Agency.

- **For proposed projects not captured in the annual budget process** the first step in the process is to engage the relevant NTA Programme Manager to discuss the proposed project/concept. Following agreement between the NTA Programme Manager and External Agency, the External Agency will complete and submit a Project Grant Application Form (for new projects) or Project Funding Continuance Form (for existing projects) to the NTA Programme Manager.

The forms required at the “Initial Project Proposal” stage are described below along with the circumstances in which these forms are required:

### **Project Grant Application Form**

- Note: this form only applies for **new projects which have not previously been funded or supported by the NTA.**
- A *Project Grant Application Form* is used to seek:
  - Project approval (whether annual or multi annual) to proceed with the project in line with the NTA’s Project Approval Guidelines;
  - Indicative support in principle for the provision of funding required for the full project lifecycle; and
  - Approval of a current year funding allocation in respect of a project which has not been previously funded or supported the NTA. In most cases, this will be for new projects.
- The Project Grant Application Form will need to be completed by the External Agency/body for each project and submitted to the NTA Programme Manager for consideration and review;
- A *Project Grant Application Form* template is included as Appendix B of this document;
- If the NTA Programme Manager considers the project suitable, they will seek the necessary internal NTA approvals (For technology programmes this includes sign off from the IT Senior Programme manager, Director of Transport and Investment and the Senior Capital Finance Manager)
- Once the necessary internal NTA approvals have been obtained by the NTA Programme Manager, the NTA Programme Manager will issue the approved and signed form to the CPO for finance sign-off and processing;
- The CPO will issue the approved Project Grant Application Form and Project Approval Letter (described in the Project Approval Section below) to the External Agency. In instances where the project and indicative funding allocation was not captured in the Annual Allocation Letter with the required Annual Capital Grant Allocation Confirmation Form returned by the External Agency (see Project Approval Section for further detail), the CPO will request the External Agency to complete a Project Approval Confirmation Form and return to the CPO and NTA Programme Manager. The funding allocation for the project will not be assigned in PRS (the NTA’s Capital Grants Management System) until such time as this countersigned form is received; and
- Once the countersigned Project Approval Confirmation Form has been received, the CPO will proceed to allocate the funding for the project on PRS and will notify the External Agency and NTA Programme Manager when complete.

### Project Funding Continuation Form

- Note: this step only applies for **ongoing projects** in a new financial year where a new year funding allocation is required. It should be noted that NTA funding is allocated on an annual basis and while (via an approved Project Grant Application Form) the total estimated cost of the project may be approved in principle by the NTA, agencies must apply for funding in each year. Funding over the life of the project, where multi-annual, is not guaranteed and new year funding in respect of a previously approved project can only be drawn down following the approval of a Project Funding Continuation Form. No carry-over of un-spent allocation from the previous year is permitted;
- A *Project Funding Continuation Form* is used to seek approval for a funding allocation for an ongoing previously approved project. The Project Funding Continuation Form will need to be completed by the External Agency for each existing ongoing project at the beginning of a new financial year and submitted to the NTA Programme Manager for consideration and review. The NTA Annual Allocation Letter (described in the Project Approval section below) will not be issued until such time as Project Funding Continuation Forms for all projects continuing into the new financial year are received;
- A *Project Funding Continuation Form* template is included as Appendix D of this document;
- Once the form is received by the NTA Programme Manager, they will review and if the funding request is appropriate, they will obtain the necessary internal NTA approvals;
- The NTA Programme Manager will share the completed and signed form with the CPO for finance approval and processing who will then allocate the approved funds on PRS and will notify the External Agency and NTA Programme Manager when complete.

## Project Approval

The approval of public transport projects and allocation of NTA capital funding to external agencies in respect of these projects is conditional upon the External Agency's compliance with the:

- The Department of Public Expenditure and Reform's Public Spending Code which sets out the requirements for evaluating, planning and managing both public capital investment projects and current expenditure;
- The NTA's Project Approval Guidelines which provide a framework for, and a phased approach to, the development, management and delivery of transport projects of all types, for all capital values, funded by the NTA or where the NTA acts as Approving Authority;
- The Department of Public Expenditure and Reform's Circular 13/2014 "Management and Accountability for Grants from Exchequer Funds" which imposes certain obligations on grantees of Exchequer funding;
- The NTA's Eligibility Guidelines which provide guidance to Sponsoring Agencies on the eligibility of expenditure items for grant funding by the NTA;
- The NTA's Cost Management Guidelines which cover the cost management of both conventionally procured investment projects and Public Private Partnership (PPP) projects to be applied to all projects which the NTA acts as Approving Authority; and
- Any other terms and conditions set out in the Project Approval Letter (described below) issued by the NTA to the External Agency.

The letters which are issued by the NTA to the External Agency at the “Project Approval” stage are described below along with the circumstances in which these letters are issued:

#### NTA Annual Allocation Letter

- At the beginning of the year and as a result of the NTA Annual Budgeting and Business Planning Process that the NTA undertakes with external agencies and bodies, an Annual Allocation Letter will be issued to external agencies and bodies which confirms the capital funding allocations to various projects for the year. The process regarding the Annual Allocation Letter is as follows:
  - The Director of Transport Planning & Investment approves the capital funding allocations for all projects for each External Agency;
  - The CPO issues Annual Allocation Letters to each External Agency;
  - A countersigned *Annual Capital Grant Allocation Confirmation Form* (appended to the NTA Annual Allocation Letter) confirming acknowledgement of the allocations and agreeing to abide by the conditions applicable to the funding allocations is required to be returned promptly to the NTA CPO by each External Agency/body. Allocations to various projects will not be set up on PRS until such time as this acknowledgement is received;
  - The provision of funding per the Annual Allocation Letter is subject to the prior submission and approval of the required forms (**Project Grant Application Form or Project Funding Continuance Form**). **Such forms must be submitted and approved in advance of the NTA Allocation Letter being issued** to external agencies. These forms are described in the “Initial Project Proposal” section above.
- An *NTA Annual Allocation Letter* template is included as Appendix E of this document

#### Project Approval Letter

- Where a new project arises, following the approval and sign off of a *Project Grant Application Form*, the NTA CPO will issue a Project Approval Letter which outlines the necessary approvals and confirms the conditions upon which the project is approved and funding allocated.
- A countersigned *Project Approval Confirmation Form* (appended to the NTA Project Approval Letter), confirming acknowledgement of the allocations and agreeing to abide by the conditions applicable to the funding allocations, is required to be returned promptly to the NTA CPO by each External Agency/body in instances where the project/ funding allocation was not captured in the Annual Allocation Letter. Funding allocations will not be set up on PRS until such time as this *Project Approval Confirmation Form* is received in instances where it applies. The NTA CPO will advise the External Agency if a Project Approval Confirmation Form is required to be completed.
- For timing and efficiency, if appropriate, a single Project Approval Letter may be issued by the NTA to cover multiple projects following the submission and approval of a Project Grant Application Form in respect of each project.
- A *Project Approval Letter* template is included as Appendix C in Section 9 of this document

## Claim Submissions

In order to obtain visibility of projects on PRS and submit/ approve claims, a Claim Proposer and Finance Officer from the external agencies must be set up on PRS. New users should gain PRS access via the following process:

### New User Request Form

- Each agency will need to have at least two agents that are registered on PRS
  - The External Agency Claim Proposer is the individual who prepares the claim for submission and duly authorises it in that role; and
  - The External Agency Finance Officer will approve the claims as part of the submission process. The Finance Officer should be a senior official within a Sponsoring Agency such as Chief Financial Officer or a Director of Services within a Local Authority.
- In order for a new user to be set up on PRS, a *New User Request Form* should be submitted to the NTA's PRS helpdesk ([PRShelpdesk@nationaltransport.ie](mailto:PRShelpdesk@nationaltransport.ie))
- The PRS helpdesk will contact the External Agency individual should any further detail or additional actions be required
- A *New User Request Form* template is included as Appendix G of this document

External agencies can only begin making claims once the project has been activated on PRS. Once the project has been set up on PRS by the CPO, funds can be claimed in accordance with the following process.

### Submission

- All claims are made on a matured liabilities basis, meaning agencies cannot claim expenditure in advance. Payment cannot be initiated where a liability has not matured for payment (i.e. where a liability has not yet been incurred and payment is not due) unless in circumstances where a formally approved pre-funding written agreement is in place.
- Claims are prepared by the External Agency Claim Proposer and initiated in PRS
- When a claim is made, supporting documentation must also be provided which may include:
  - Spreadsheet detailing expenditure that comprises the claim;
  - Invoices or other supporting documentation, where requested by the NTA Programme Manager; and
  - Other relevant material
- It should be noted that all material submitted in support of the claim should be easily understandable to independent reviewers such that the reviewer can clearly identify the nature, composition, the requirement for the claim and its relevance to the project
- The claim will be approved by the External Agency Finance Officer via PRS and is then automatically submitted to the NTA

### Review & Approval

- Once approved by the External Agency Finance Officers, claims automatically come to the NTA Programme Manager and sits in his/her PRS Worklist
- The NTA Programme Manager will review the claim and approve if appropriate. This approval initiates the payment process
- PRS payment runs are completed every two weeks
- The annual PRS Payment Schedule will be shared with external agencies/bodies at the beginning of each year. This schedule illustrates the timeline from the External Agency's submission of the claim through to when funds should be received in the External Agency's bank account

## Allocation Changes

### Allocation Adjustment Form

In some circumstances, there may be certain changes which impact the required funds for the project in the current year. These circumstances may include:

- An acceleration in progress on the project which increases the funding requirement in current year; or
- A change in the scope of the project which increases the required funding allocation in current year.

In such cases, approval must be sought from the NTA. The process to be followed is outlined below. It should be noted that an Allocation Adjustment Form is used solely to seek approval for an allocation adjustment in the current year and **not** an estimated change in the total/ multi-annual cost of the project; in such circumstances, the External Agency/ body must liaise with the NTA Programme Manager in accordance with the guidance for same outlined in the NTA's Project Approval Guidelines:

- The External Agency should proactively discuss any increases to the projected funding requirement for the current year with the NTA Programme Manager.
- The steps to be taken are as follows:
  - The External Agency must inform the NTA Programme Manager of the anticipated change and discuss the nature & cause of the change with them;
  - The NTA Programme Manager will consider if the required change is appropriate and may deliberate with the External Agency/ certain NTA stakeholders;
  - If the NTA Programme Manager considers that the change is required and justified, they will complete a complete an Allocation Adjustment Form which captures any increases to a project's current year allocation. A single Allocation Adjustment Form may be completed in respect of multiple projects across multiple external agencies if appropriate;
  - The NTA Programme Manager will be responsible for proposing the adjustment to the relevant NTA approvers and as such must assure themselves that the required adjustment is valid and justified;
  - The NTA Programme Manager will seek appropriate approvals from certain NTA stakeholders and will revert to the External Agency with a response or if further information/ discussion is required;



- The NTA Programme Manager will share the approved *Allocation Adjustment Form* with the CPO who will make the necessary changes on PRS and will notify the NTA Programme Manager and External Agency once complete;
- The NTA may conduct quarterly, annual, and/ or multi-annual forecasting exercises from time to time requiring input from external agencies. While it is highly important that the information provided by agencies/ bodies for projects reflects the true anticipated current year funding requirement for projects, this exercise should not be the means through which the NTA is made aware of any potential changes to the required current year funding allocation for the projects. Proactive discussion with the NTA Programme Manager is required.
- An *Allocation Adjustment Form* template is included as Appendix F of this document

## 6. Related Policies & Procedures

In submitting funding applications in accordance with this procedure and in the ongoing management of projects for which NTA is the Approving Authority, compliance is also required by the Sponsoring Agency/ recipient of NTA Capital Grant Funding with the following policies and procedures:

- The NTA's Project Approval Guidelines (new version in development – refer to NTA website for most recent version)
- The NTA's Cost Management Guidelines (new version in development – refer to NTA website for most recent version)
- The NTA's Eligibility Guidelines ([https://www.nationaltransport.ie/wp-content/uploads/2019/09/Eligible\\_Expenditure\\_Guidelines\\_for\\_Projects\\_funded\\_by\\_the\\_NTA\\_update\\_2019.pdf](https://www.nationaltransport.ie/wp-content/uploads/2019/09/Eligible_Expenditure_Guidelines_for_Projects_funded_by_the_NTA_update_2019.pdf))
- The Department of Public Expenditure and Reform's Public Spending Code (<https://www.gov.ie/en/publication/public-spending-code/>)
- Circular 13/2014 "Management and Accountability for Grants from Exchequer Funds" from the Department of Public Expenditure and Reform (<http://circulars.gov.ie/pdf/circular/per/2014/13.pdf>)

## 7. Frequently Asked Questions

- Refer to Appendix H for answers to the following Frequently Asked Questions:

### **Initial Project Proposal**

1. [My project will only extend over a few months but it will fall across 2 calendar years. Can I request the total funding requirement in current year in the Project Grant Application Form so that I can guarantee that the full funding requirement is approved?](#)
2. [The Project Grant Application Form requests a multi-annual estimated overall total cost of project profile. Should I provide a profile based on when the expenditure is expected to be incurred or a profile based on my anticipated claims from the NTA in a given year?](#)



3. [I understand that in general a Project Grant Application Form/ Project Funding Continuance form must be submitted and approved by the NTA in advance of the NTA issuing its Annual Allocation Letter to my organisation to enable me to access the funds for my project. Based on an extenuating circumstance, I am unable to submit the form at this time but do require an indicative allocation for other reasons. How should I proceed?](#)

#### **Application, Approval and Allocation**

4. [I submitted a Project Grant Application Form this year and received an allocation of funding for the current year. Based on a project/ programme slippage, I do not anticipate that the funds/ a portion of the funds will be required however I will require these funds next year. How should I proceed?](#)
5. [I submitted a Project Grant Application Form late last year and did not utilise any of last year's allocation. It was not included in my budget submission for this year as I expected that the amount required would be spent last year. How should I proceed?](#)
6. [What is the timeframe in which I can expect a response to my submitted form?](#)
7. [I submitted a Project Grant Application Form last year and it was approved by the NTA. Does this guarantee the funding to cover the total estimated cost of the project as specified in the Project Grant Application Form over the life of the project?](#)

#### **Claims Submission**

8. [I have not used PRS before and I do not have an account/ log-in details. Can I instead request a purchase order to be raised via the NTA's financial accounting system, Agresso, and submit invoices to the NTA's Accounts Team through the standard Accounts Payable process?](#)
9. [There are individuals in my organisation assigned to the PRS roles of "Claim Proposer" and "Finance Officer" however I would like to designate an additional person to each role as a contingency for when leave periods or other circumstances arise. Is this permissible?](#)
10. [Can I both submit and approve the claims to be processed in PRS?](#)

#### **Allocation Changes**

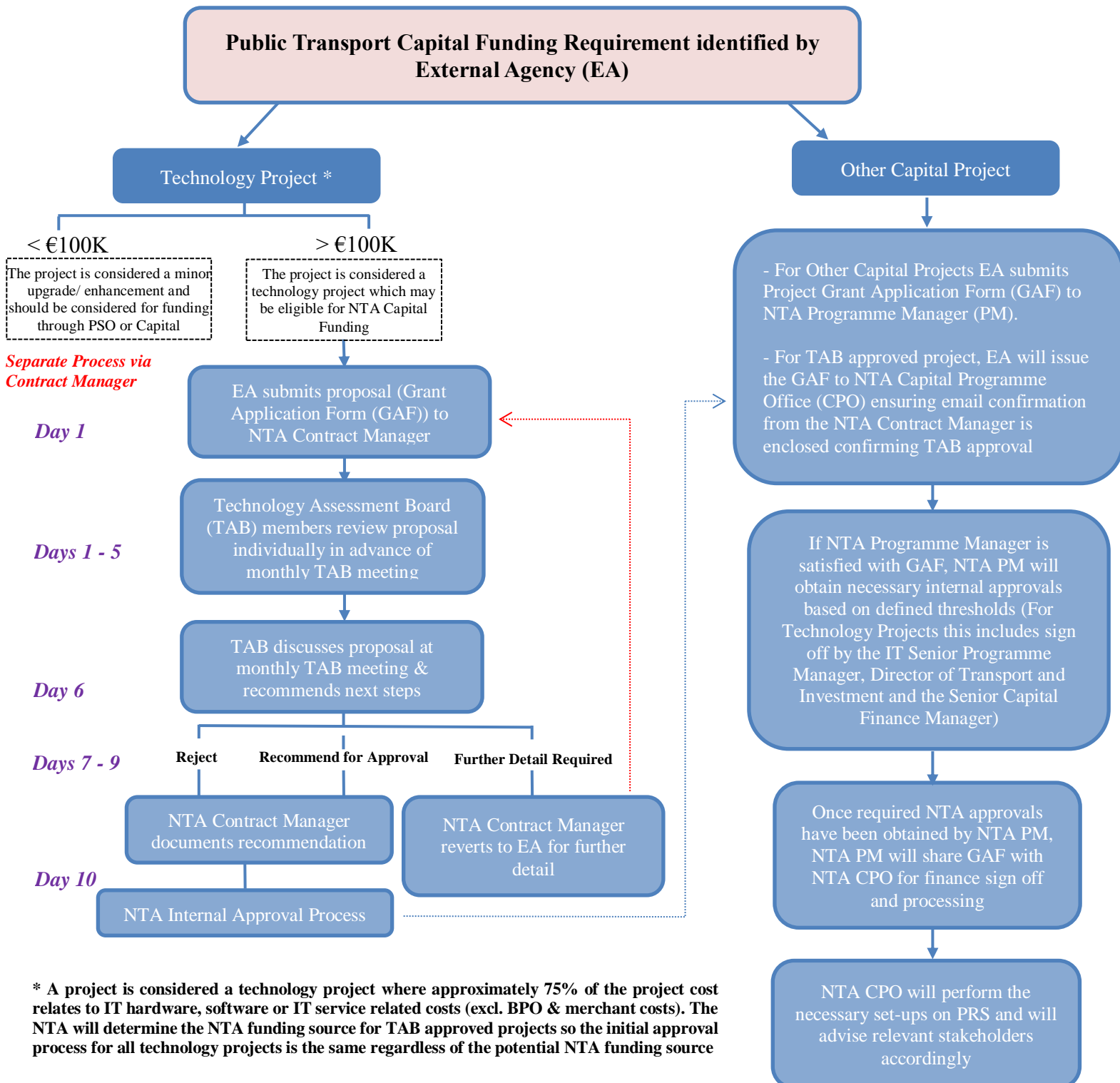
11. [My project requires an uplift to its overall multi-annual funding requirement total. I do not, however, require any change to its allocation for the current year. Is there any action that I need to take?](#)

## 8. Contact

- NTA Capital Programme Office
  - [capitalprogrammeoffice@nationaltransport.ie](mailto:capitalprogrammeoffice@nationaltransport.ie)

## 9. Appendices

### A. Quick Reference Guide – Capital Project Approval Process



## B. Project Grant Application Form



### Project Grant Application Form

*To be used for seeking provision of funding allocation in respect of a new project*

*Text in RED is for guidance and should be deleted in the course of completion of the Form. All documentation, maps and additional supporting documentation should be clearly itemised and attached as an annexe to each criterion heading.*

1. Sponsoring Agency: \_\_\_\_\_

2. Project Name: \_\_\_\_\_

3. NTA Project Type (select one only)

Programme	Category	Tick One
Walking & Cycling	Cycling	
	Walking	
Sustainable Urban Transport (SUT)	Bus Network	
	Traffic Management	
	Safety Programme	
	Other	
Heavy Rail	Capital Project (non-technology)	
	Technology	
Light Rail	Capital Project (non-technology)	
	Technology	
Bus Programme	Bus Fleet	
	Bus Roadside Facilities (Shelters and Stops)	
	Other	
Accessibility	Heavy Rail	
	Bus	
	Other	

#### 4. Project Description and Full Description of Works Proposed

A full and detailed description of the proposed project/ scheme is required. The description should include, but not be limited to, location, purpose, justification for and impact of scheme/ project. Please note that this section should specifically refer to the issue proposed to be solved, the objectives of the scheme, and the type of options to be considered.

Are additional lands required, by means of CPO or other?

All other relevant information available at the time of application for funding should be provided with this application.

**Where relevant, all applications must be accompanied with an appropriately scaled map clearly identifying the location and scale of the project.**

The information provided in response to this section should be clearly labelled ‘*Question 4*’ and attached to the application being submitted.

#### 5. Description of Project Benefits

An indicative list of project benefits should be provided including, but not limited to, local and strategic benefits.

All relevant information available at the time of application for funding should be provided with this application, including supporting documentation for any/all of the benefits listed and any supporting maps. A Preliminary Appraisal, if available, can be appended to this submission.

The information provided in response to this section should be clearly labelled ‘*Question 5*’ and attached to the application being submitted.

#### 6. Consistency with Plans

Reference to a Development Plan, Local Area Plan, relevant Transport / Traffic Plan(s), Regional Transport Strategy, and/ or Cycle Network Plan of which the Project forms a part (if any) should be identified, where relevant.

If the project does not form part of any of the above plans, this should be clearly noted.

Details of how the proposed project is consistent with relevant statutory plans should be provided (if relevant).

The information provided in response to this section should be clearly labelled ‘*Question 6*’ and attached to the application being submitted.

## 7. Proposed Programme for Design, Tender, Construction, Monitoring Stages

Please follow the corresponding phasing structure below based on either a Proposed Capital Investment Programme or ICT Programme.

A start and end date for the overall programme and proposed overall duration should be indicated.

### **Capital Investment Programme**

Phase	Start date	End date	€ Costs* incl. irrecoverable VAT and LA costs	% of other sources of co funding
1. Scope & Purpose				
2. Concept, Development and Option Selection				
3. Preliminary Design				
4. Statutory Processes				
5. Detailed design & Procurement				
6. Construction & Implementation				
7. Close Out & Review				

**\*please include total costs of the project also noting the percentage of any other sources of co-funding**

**OR**

### **ICT Programme**

Phase	Start date	End date	€ Costs* incl. irrecoverable VAT and LA costs	% of other sources of co funding
0. Concept				
1. Initiation				
2. Planning				
3. Procurement				
4. Analysis & Design				
5. Build & Test				
6. Deploy/Rollout				
7. Handover & BAU				
8. Benefits Review				

**\*please include total costs of the project also noting the percentage of any other sources of co-funding**

The information provided in response to this section should be clearly labelled 'Question 7' and attached to the application being submitted.

## 8. Costs

The application should clearly identify key indicative cost information, as listed below:

- a) Indicative Overall Total Cost of Project (all phases) € \_\_\_\_\_  
*Please note that a range is acceptable*
- b) Funding Sought from NTA (all phases) € \_\_\_\_\_
- c) Funding Amount Sought for Current Year € \_\_\_\_\_
- d) Cost of project to Date (if applicable) € \_\_\_\_\_
- e) NTA contribution to Date (if applicable) € \_\_\_\_\_
- f) Source of co-funding (if any)
- g) If the project is multi-annual, the Estimated Overall Total Cost of Project is broken down in the following table (if available):

Year	Actual or Estimated	NTA Funding €	Other Funding € (Indicate source)
Year 1 (e.g. 2020 – <i>please ensure to insert years</i> )	If multi-annual project - actual amount spent in previous years of project (NTA can supply data)		
Year 2			
Year 3			
Year 4			
Year 5			
> Year 5			
Total Estimated			

Note – for future years where costs cannot be determined insert TBD – To be determined.

All cost figures above should include irrecoverable VAT.

## 9. Statutory Approvals Status

The applicant must clearly state which Statutory Approvals, if any, are required for the progress of the project. If no Statutory Approvals are required this must be stated.

If any of the Statutory Approvals have been granted prior to this application being submitted, e.g. Part VIII approval, this must be indicated in the application and evidence of the approval(s) must be supplied along with the application.

## 10. Contact Persons

	Project Implementation	Project Administration
Name		
Position / Role		
Sponsoring Agency		
Phone		
Email		

## 11. Approvals

<b>AGENCY APPROVAL:</b>	
Signed:	Date:
Sponsoring Agency – Director or Equivalent	

### FOR NTA USE ONLY:

**Decision: (select one and comment if required). Decision selection should be completed by the first approver to be endorsed by subsequent approvers through sign off.**

☐ Approved in Full
 ☐ Approved in Part
 ☐ Rejected

Signed:	Date:
<b>NTA Senior Programme Manager</b> <i>(for projects where the total cost of the project is &lt;= €100,000)</i> Add comments if required	
Signed:	Date:
<b>NTA Section Head</b> <i>(approver for projects where the total cost of the project is expected to exceed €100,000 and final NTA approver where the total cost of the project is between €100,000 - €500,000)</i>	
Signed:	Date:
<b>NTA Director of Transport Planning and Investment</b> <i>(final approver for projects where the total cost of the project is greater than €500,000)</i>	

***NTA Budgetary Approval***

**Signed:**

**Date:**

**Capital Programme Office Representative**

Capital Financial Analyst where the total cost of the project is < €500,000

Senior Capital Finance Manager where the total cost of the project is > €500,000

*(The Capital Programme Office Representative approval is solely in respect of confirming funding availability, for extracting information for current year and multi-year spend forecasts and for confirming that the required information for PRS set-up is included and accurate)*



## C. Project Approval Letter



Dún Scéine, Lána Fhearchair  
Baile Átha Cliath 2, D02 WT20

Dún Scéine, Harcourt Lane  
Dublin 2, D02 WT20

t 01 879 8300

info@nationaltransport.ie  
www.nationaltransport.ie

Jane Doe, Position  
Dublin City Council  
Address

2 June 20XX

**Re: PRS Project Code – Project Title**

Dear Ms. Doe,

I refer to the application received for grant funding from the NTA for the above project. The NTA hereby confirms approval for the project to proceed in line with relevant terms and conditions set out in this letter.

I can confirm that an amount of €X,000 is being allocated in respect of this project in the current year.

I would be grateful if you could arrange for the monthly profile for the expected drawdown in 20XX of the Exchequer allocation to be forwarded to us as soon as possible. This profile should be monitored throughout the year to permit any potential under or over-spend to be identified as soon as possible.

The following sections set out a number of conditions applicable to these funding allocations.

### 1. Project Approval Guidelines

As the funding and Approving Authority in relation to these projects, the NTA requires that these projects are delivered in accordance with the *NTA Project Approval Guidelines* dated December 20XX. These procedures are intended to assist both the delivery agency and the NTA to secure effective delivery of quality projects to an agreed scope, timeline and budget. It is particularly important in the current economic environment that we ensure, and can demonstrate, that projects are well managed and deliver value for money.

Accordingly, release of funding for a project will be contingent upon that project adhering to the requirements set out in the above guidelines. It is important, therefore, that the relevant personnel in your organisation are aware of the need to apply those guidelines fully in order to ensure reimbursement of relevant costs.

## **2. Approvals related to Planning Process and Construction**

The deliverables required under the Project Management Guidelines must be submitted to the NTA in advance of approval being sought for any Approval Point as set out in those Guidelines. Those Approval Points include the requirement to obtain NTA agreement prior to initiating any planning consent process in relation to any NTA funded project, and the requirement for prior agreement of the NTA to the commencement of the tendering process and the final construction contract award. In the event of failure to obtain these prior approvals, the NTA may review its agreement to fund the project, up to and including immediate withdrawal of NTA funding support.

## **3. Exchequer Funding Requirement**

Circular 13/2014 “*Management and Accountability for Grants from Exchequer Funds*” from the Department of Public Expenditure and Reform, imposes certain obligations on grantees of Exchequer funding. It is a condition of NTA funding that the requirements of Circular No. 13/2014 are fully complied with (The circular is located at <http://circulards.gov.ie/pdf/circular/per/2014/13.pdf>).

## **4. Eligibility Guidelines**

Funding of these projects is also subject to the NTA’s Eligibility Guidelines. A copy of the Guidelines is available on the NTA’s website at <https://www.nationaltransport.ie/projects-schemes/transport-projects/>. Please be aware that prior written agreement is required from the NTA for the cost of certain staff to be charged against projects funded by the NTA.

## **5. Project Reporting and Expenditure Management**

As set out in the Project Management Guidelines, the NTA requires a monthly report to be submitted by your organisation in respect of the funded projects, covering progress, expenditure, timelines, and significant issues. This monthly report is required at least two days in advance of the scheduled monthly meeting (see below).

## **6. Regular Meeting**

A regular meeting will be held with your staff to discuss the monthly report, review progress and to address any issues that have arisen on the NTA funded schemes; dates for these meetings will be agreed with your staff. The meeting will also deal specifically with contractual variations issued, and expenditure claimed in the previous month.

## **7. Publicity and Dissemination**

All publicity, public consultation, press releases and other public dissemination related to these projects need to refer directly to the NTA's funding. The specific prior requirements for signage, logos, etc. should be discussed with the NTA at the monthly meetings, before engaging in publicity. No press releases should be issued or publicity/commemorative events held in relation to NTA funded schemes without the detail of such press release or publicity/commemorative event being agreed in advance with the NTA.

## 8. Contacts

The principal contacts in relation to this programme within the NTA are your NTA Programme Manager, Joe Bloggs who can be contacted at [joe.bloggs@nationaltransport.ie](mailto:joe.bloggs@nationaltransport.ie) and the NTA's Capital Programme Office at [capitalprogrammeoffice@nationaltransport.ie](mailto:capitalprogrammeoffice@nationaltransport.ie) Please contact them in relation to any assistance required or any issues arising.

## 9. Next Steps

Please note, payment of grant claims in relation to individual projects is subject to completion of NTA Project Grant Application Forms (in the case of new projects) or NTA Project Funding Continuance Forms (in the case of existing projects) before any payments can be made along with adherence to any conditions attached therein. Any outstanding forms should be provided as soon as possible.

**You are also required to complete and return the attached "Grant Allocation Confirmation Form". No system set-up of the grant allocation will be completed and no payment can be made in respect of any project without the return of the completed form.**

Yours sincerely,

---

Joe Bloggs,

Director of Transport Investment/ NTA Section Head/ NTA Senior Programme Manager

(sign off will be from the most senior NTA approver for the project(s) based on the approval thresholds outlined in this procedure)

.

## Project Approval Confirmation Form

National Transport Authority,  
Dún Scéine,  
Iveagh Court,  
Harcourt Lane,  
Dublin 2.

*Attention of: Joe Bloggs, Position (Confirmation Form to be addressed to signatory from Project Approval Letter)*

### **Re: PRS Project Code(s) – Project Title(s)**

Dear Sirs,

We acknowledge receipt of the Project Approval Letter dated 28 September 2021, setting out approval for the project to proceed in line with relevant terms and conditions and the grant allocation amount relating to this/ these project(s), to be funded by the National Transport Authority during the current year.

We confirm we are aware of the conditions attaching to these grant allocations and of the obligation to comply with those conditions in order to draw down the proposed grant.

Signed: \_\_\_\_\_

Print Name: \_\_\_\_\_

Position: \_\_\_\_\_

Name of Organisation: \_\_\_\_\_

Date: \_\_\_\_\_

## D. Project Funding Continuance Form



### Project Funding Continuance Form

*To be used for seeking continuance of funding allocation in respect of an ongoing previously approved project*

1. Sponsoring Agency: \_\_\_\_\_
2. Project Name and PRS Project Code: \_\_\_\_\_
3. a) Cumulative grant funding paid to date: € \_\_\_\_\_  
*NTA can supply if required*
- b) Funding requested for current year € \_\_\_\_\_
- c) Self-funded amount (information only) € \_\_\_\_\_

#### 4. Current status of project

Provide description of milestones reached to date and description of work planned for the current year as well as identifying the current stage of the project by ticking the relevant field below for either a Capital Investment Programme or an ICT Programme.

##### Capital Investment Programme

1. Scope & Purpose
2. Concept, Development and Option Selection
3. Preliminary Design
4. Statutory Processes
5. Detailed design & Procurement
6. Construction & Implementation
7. Close Out & Review


Or

ICT Programme

0. Concept
1. Initiation
2. Planning
3. Procurement
4. Analysis & Design
5. Build & Test
6. Deploy/Rollout
7. Handover & BAU
8. Benefits Review


**5. Description of works to be undertaken with requested funding**

**6. Approvals**

**AGENCY APPROVAL:**

**Signed:**  
Sponsoring Agency – Director or Equivalent

**Date:**

**FOR NTA USE ONLY:**

**Decision: (select one and comment if required). Decision selection should be completed by the first approver to be endorsed by subsequent approvers through sign off.**

☐ Approved in Full    ☐ Approved in Part    ☐ Rejected

Amount Approved: € \_\_\_\_

<b>Signed:</b>	<b>Date:</b>
<b>NTA Senior Programme Manager</b> <i>(where the funding requested for current year is &gt;= €100,000)</i>	
 <b>Signed:</b>	 <b>Date:</b>
<b>NTA Section Head</b> <i>(final approver where the funding requested for current year exceeds €100,000)</i>	

***NTA Budgetary Approval***

<b>Signed:</b>	<b>Date:</b>
<u>Capital Financial Analyst where the total cost of the project is &lt; €500,000</u>	
<u>Senior Capital Finance Manager where the total cost of the is &gt; €500,000</u>	
<i>(The Capital Programme Office Representative approval is solely in respect of confirming funding availability, for extracting information for budgeting and forecasting purposes and for confirming that the required information for PRS set-up is included and accurate)</i>	

## E. Annual Allocation Letter

Ms Jane Doe  
Director, Capital Programme  
Organisation X  
Address



10<sup>th</sup> January 20XX

**Re: 20XX Capital Funding Programme**

Dear Jane,

Further to discussions held between the Authority and Organisation X, I attach details of the various funding allocations to Organisation X for 20XX under the Authority's capital programme in the attached table.

The total allocation to Organisation X under this capital programme is €1 million.

Details of the individual projects to be funded and the related allocation amounts are attached.

The following sections set out a number of conditions applicable to these funding allocations.

### **1. Project Approval Guidelines**

As the funding and Approving Authority in relation to these projects, the NTA requires that these projects are delivered in accordance with the NTA Project Approval Guidelines dated December 20XX. These procedures are intended to assist both the delivery agency and the NTA to secure effective delivery of quality projects to an agreed scope, timeline and budget. It is particularly important in the current economic environment that we ensure, and can demonstrate, that projects are well managed and deliver value for money.

Accordingly, release of funding for a project will be contingent upon that project adhering to the requirements set out in the above guidelines. It is important, therefore, that the relevant personnel in your organisation are aware of the need to apply those guidelines fully in order to ensure reimbursement of relevant costs.

### **2. Approvals related to Planning Process and Construction**



The deliverables required under the Project Management Guidelines must be submitted to the NTA in advance of approval being sought for any Approval Point as set out in those Guidelines. Those Approval Points include the requirement to obtain NTA agreement prior to initiating any planning consent process in relation to any NTA funded project, and the requirement for prior agreement of the NTA to the commencement of the tendering process and the final construction contract award. In the event of failure to obtain these prior approvals, the NTA may review its agreement to fund the project, up to and including immediate withdrawal of NTA funding support.

### **3. Exchequer Funding Requirement**

Circular 13/2014 “Management and Accountability for Grants from Exchequer Funds” from the Department of Public Expenditure and Reform, imposes certain obligations on grantees of Exchequer funding. It is a condition of NTA funding that the requirements of Circular No. 13/2014 are fully complied with (The circular is located at <http://circulars.gov.ie/pdf/circular/per/2014/13.pdf>).

### **4. Eligibility Guidelines**

Funding of these projects is also subject to the NTA’s Eligibility Guidelines. A copy of the Guidelines is available on the NTA’s website at <https://www.nationaltransport.ie/projects-schemes/transport-projects/>. Please be aware that prior written agreement is required from the NTA for the cost of certain staff to be charged against projects funded by the NTA.

### **5. Project Reporting and Expenditure Management**

As set out in the Project Management Guidelines, the NTA requires a monthly report to be submitted by your organisation in respect of the funded projects, covering progress, expenditure, timelines, and significant issues. This monthly report is required at least two days in advance of the scheduled regular meeting (see below).

### **6. Regular Meeting**

A regular meeting will be held with your staff to discuss the monthly report, review progress and to address any issues that have arisen on the NTA funded schemes; dates for these meetings will be agreed with your staff. The meeting will also deal specifically with contractual variations issued, and expenditure claimed in the previous month.

### **7. Publicity and Dissemination**

All publicity, public consultation, press releases and other public dissemination related to these projects need to refer directly to the NTA’s funding. The specific prior requirements for signage, logos, etc. should be discussed with the NTA at the monthly meetings, before engaging in publicity. No press releases should be issued or publicity/commemorative events held in relation to NTA funded schemes without the detail of such press release or publicity/commemorative event being agreed in advance with the NTA.

### **8. Contacts**

The principal contacts in relation to this programme within the NTA are X, Y and Z. Please contact

them in relation to any assistance required or any issues arising.

## **9. Next Steps**

Please note, payment of grant claims in relation to individual projects is subject to completion of NTA Project Grant Application Forms (in the case of new projects) or NTA Project Funding Continuance Forms (in the case of existing projects) before any payments can be made along with adherence to any conditions attached therein. Any outstanding forms should be provided as soon as possible.

**You are also requested to complete and return the attached “Grant Allocation Confirmation Form”. This confirmation requirement arose from an Audit recommendation and no payment can be made in respect of any project without the return of that completed form.**

Yours sincerely,

---

Hugh Creegan,

Director of Transport Planning and Investment.

## Annual Capital Grant Allocation Confirmation Form

National Transport Authority,  
Dún Scéine,  
Iveagh Court,  
Harcourt Lane,  
Dublin 2.

*Attention of: Hugh Creegan, Director of Transport Planning and Investment.*

### **Re: 2020 National Transport Authority Capital Grant Allocations**

Dear Sirs,

We acknowledge receipt of the allocation letter dated 10<sup>th</sup> January 2020 setting out the proposed grant allocation amounts and projects intended to be funded by the National Transport Authority during 20XX.

We confirm we are aware of the conditions attaching to these grant allocations and of the obligation to comply with those conditions in order to draw down the proposed grant.

Signed: \_\_\_\_\_ Print Name: \_\_\_\_\_

Position: \_\_\_\_\_

Name of Organisation: \_\_\_\_\_

Date: \_\_\_\_\_

Project name	2020 Allocation
Project A	€500,000
Project B	€500,000
<b>Total allocation</b>	<b>€1,000,000</b>

## F. Allocation Adjustment Form



## Allocation Adjustment Form

*To be used for a change in a current year funding allocation in respect of an ongoing previously approved project. Form to be completed by NTA Programme Manager/ Senior Programme Manager*

Add rows as required

Sponsoring Agency	Project Name	PRS Project Code	Existing Allocation	Adjustment Value	New Allocation	Reason

**FOR NTA USE ONLY:**

**Decision (select one and comment if required). Decision selection should be completed by the NTA Section Head and endorsed by subsequent approvers through sign off.**

☐ Approved in Full    ☐ Approved in Part  
(provide details)    ☐ Rejected

**Signed:**

Date:

**NTA Section Head** (*approver for all allocation adjustment requests*)

**Signed:**

Date:

**NTA Director of Transport Planning and Investment** (*final approver where the allocation adjustment requested exceeds €500,000 for any one project*)

### ***NTA Budgetary Approval***

**Signed:**

Date:

Capital Financial Analyst where the total cost of the project is < €500,000

Senior Capital Finance Manager where the total cost of the project is > €500,000

*(The Capital Programme Office Representative approval is solely in respect of confirming funding availability, for extracting information for current year and multi-year spend forecasts and for confirming that the required information for PRS set-up is included and accurate)*

## G. New User Request Form



### New User Request Form

*To be used to set up a new individual user on the Project Reporting System (PRS)*

1. Sponsoring Agency: \_\_\_\_\_
2. Project Name: \_\_\_\_\_
3. New User Name: \_\_\_\_\_
4. Position: \_\_\_\_\_
5. Email: \_\_\_\_\_
6. Telephone: \_\_\_\_\_
7. Role (select one): Preparer/Uploader **OR** Verifier/Approver
8. Approvals

**AGENCY APPROVAL (2 of 3 required):**

**Signed:**  
Chief Executive

**Date:**

**Signed:**  
Chief Financial Officer

**Date:**

**Signed:**  
Director of Operations

**Date:**

## H. FREQUENTLY ASKED QUESTIONS

### Initial Project Proposal

- 1. My project will only extend over a few months but it will fall across 2 calendar years. Can I request the total funding requirement in current year in the Project Grant Application Form so that I can guarantee that the full funding requirement is approved?**

No. It is very important that only the amount expected to be claimed in the current year is requested as the current year's allocation. The NTA use submitted & approved forms as a key source of information for forecasting & financial planning and will engage with you frequently in relation to obtaining regular financial reporting on projects. Commentary will be sought where forecasted spend for the year varies from the year's approved allocation. In addition, the NTA do not provide funding confirmation for the project beyond the current year. Approval for unspent monies in current year does not roll forward into next year. The amount to be spent next year for projects must be approved as part of the annual budgeting exercise which the NTA will engage you on in late Q3/ early Q4 of each year for next year's projects. If your project was not captured in the budgeting process, please refer to [Question 4](#) for guidance on how to proceed.

- 2. The Project Grant Application Form requests a multi-annual estimated overall total cost of project profile. Should I provide a profile based on when the expenditure is expected to be incurred or a profile based on my anticipated claims from the NTA in a given year?**

Please profile the cost of the project based on when you expect to claim funds from the NTA. This request is due to the requirement for all claims to be on a matured liabilities basis (i.e. expenditure must only be claimed in arrears, the expenditure must be incurred and payment is due). The NTA's Capital Grant Annual Allocation from DOT covers claims submitted from January – December and not necessarily expenditure incurred. For example, expenditure incurred in December may not be "matured" or invoiced until January and that amount will be drawn from next year's allocation. In some instances the timing difference may be significant and so there may be a material difference between the forecasted spend for a given year and the forecasted claims; it is the latter that should be profiled. It is understood that in some projects this may be difficult to determine and so estimation is acceptable.

### Application, Approval and Allocation

- 3. I understand that in general a Project Grant Application Form/ Project Funding Continuance form must be submitted and approved by the NTA in advance of the NTA issuing its Annual Allocation Letter to my organisation to enable me to access the funds for my project. Based on an extenuating circumstance, I am unable to submit the form at this time but do require an indicative allocation for other reasons. How should I proceed?**

In rare cases, it may not be possible for an External Agency to submit the required form (whether Project Grant Application Form or Project Funding Continuance Form) in advance of the NTA's issuance of the annual allocation letter. In this scenario it may be possible for the NTA to issue (as part of the annual allocation letter) an indicative allocation for such projects pending the receipt and approval of the required documentation. The External Agency should

proactively discuss such rare instances with the NTA Programme Manager and a decision will be made as to whether this is permissible based on the justification for the late submission of the required form.

- 4. I submitted a Project Grant Application Form this year and received an allocation of funding for the current year. Based on a project/ programme slippage or other delay, I do not anticipate that the funds/ a portion of the funds will be required however I will require these funds next year. How should I proceed?**

The NTA do not provide funding confirmation for the project beyond the current year. Approval for unspent monies in current year does not roll forward into next year. The amount to be spent next year for projects must be approved as part of the annual budgeting exercise which the NTA will engage you on in late Q3/ early Q4 of each year for next year's projects. In the event that it is likely that funds/ a portion of the funds confirmed as part of the current year's funding allocation will not be spent/ claimed in the current year, the amount which is required for next year as a result of the project slippage/ delay should be incorporated into your Budget submission for next year. In the event that the slippage/ delay was not foreseen at the time of Budget preparation/ submission, please see FAQ Question 5.

- 5. I submitted a Project Grant Application Form late last year and did not utilise any of last year's allocation. It was not included in my budget submission for this year as I expected that the amount required would be spent last year. How should I proceed?**

Where there is no change to the allocation requested save for the fact that the required allocation has moved from one year to the next, please submit a Project Funding Continuation Form (per standard process) highlighting to the NTA Programme Manager that the funding amount required was not captured in the annual budget submission made by your organisation and approved by the NTA for the current year.

- 6. What is the timeframe in which I can expect a response to my submitted form?**

Response times may vary due to multiple reasons including, but not limited to, the scale/ complexity of the project under consideration, requests for additional information/ clarifications, and the availability of key NTA stakeholders involved in the approval process. On average (provided no queries on submitted forms arise), response times may be between 5 – 10 days.

- 7. I submitted a Project Grant Application Form last year and it was approved by the NTA. Does this guarantee the funding to cover the total estimated cost of the project as specified in the Project Grant Application Form over the life of the project?**

No. NTA funding is allocated on an annual basis and while (via an approved Project Grant Application Form) the total estimated cost of the project may be approved in principle by the NTA, agencies must apply for funding in each year. Funding over the life of the project, where multi-annual, is not guaranteed and new year funding in respect of a previously approved project can only be drawn down following the approval of a Project Funding Continuation Form. No carry-over of un-spent allocation from the previous year is permitted.

## Claims Submissions

- 8. I have not used PRS before and I do not have an account/ log-in details. Can I instead request a purchase order to be raised via the NTA's financial accounting system and submit invoices to the NTA's Accounts Team through the standard Accounts Payable process?**

No. In all cases and without exception, Capital Grant recipients external to the NTA are required to submit claims to the NTA via its "Project Reporting System" (PRS). PRS is the system through which the dissemination of Capital grants is executed, managed and controlled. Further detail on how to be set up on PRS is available in the "Claims Submissions – New User Request Form" section in the main body of this document.

- 9. There are individuals in my organisation assigned to the PRS roles of "Claim Proposer" and "Finance Officer" however I would like to designate an additional person to each role as a contingency for when leave periods or other circumstances arise. Is this permissible?**

In general, it is requested that there be continuity where possible in persons submitting and approving claims for control and governance purposes. However, as a contingency it is recommended to have a few assigned persons to each PRS role in the event that the main designated person is unavailable. Further detail on how to be set up on PRS is available in the "Claims Submissions – New User Request Form" section in the main body of this document.

- 10. Can I both submit and approve the claims to be processed in PRS?**

No. This cannot be allowed under any circumstances. For control and governance purposes and to satisfy audit requirements, the "Claim Proposer" and "Finance Officer" in an agency/ body external to the NTA cannot be one and the same person.

## Allocation Changes

- 11. My project requires an uplift to its overall multi-annual funding requirement total. I do not, however, require any change to its allocation for the current year. Is there any action that I need to take?**

Yes. As your organisation is a Capital Grant recipient, an NTA Programme Manager/ individual has been assigned as the key NTA point of contact in relation to your project. Should such requirement arise or should it become known that the overall cost of the project is likely to be materially more or less than specified in the Project Grant Application Form, it is crucial that the NTA Programme Manager is consulted; changes to the total estimated cost of your project will be considered in accordance with the NTA's Project Approval Guidelines. The process for approval of changes to the overall estimated cost of the project does not fall within the remit of this procedure.