



Capital Project and Grant Application & Approval Procedures

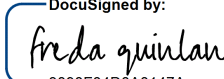
*(For agencies/bodies external to the
National Transport Authority)*

March 2024

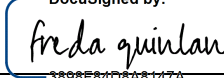
Document History

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
2.0	6/03/2024	Procedure updated following the implementation of the PRS Upgrade Phase 2 - Digitisation of NTA's capital grant management forms and following the update to the NTA's Project Approval Guidelines.

Approvals

Position	Name	Signature	Date
Head of Capital Programme Office	Freda Quinlan	DocuSigned by:  <small>3898F84D8A8147A...</small>	12/03/2024

Owner

Position	Name	Signature	Date
Head of Capital Programme Office	Freda Quinlan	DocuSigned by:  <small>3898F84D8A8147A...</small>	12/03/2024

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1. Summary of Procedural Changes

Section	Previous Procedure	Updated Procedure
Approval Thresholds	<p><u>Grant Application Form's (GAF's)</u> NTA SPM <i>final approver</i> for projects where total cost of project \leq €100,000. NTA Section Head <i>final approver</i> for projects where total cost of the project is between €100,000 and €500,000. NTA Director of TPI (<i>final approver</i> for projects where the total cost of the project is greater than €500,000).</p> <p><u>Project Continuance Form's (PCF's)</u> NTA SPM <i>final approver</i> (where the funding requested for current year is \leq €100,000). NTA Section Head <i>final approver</i> where the funding requested for current year exceeds €100,000.</p> <p><u>Allocation Adjustment Form's (AAF's)</u> NTA Section Head (<i>approver</i> for all allocation adjustment requests). NTA Director of TPI (<i>final approver</i> where the allocation adjustment requested exceeds €500,000 for any one project).</p>	<p><u>Grant Application Form's (GAF's)</u> NTA SPM <i>final approver</i> for projects where total cost of project \leq €4,999,999. NTA Section Head <i>final approver</i> for projects where total cost of the project is between €5,000,000 and €19,999,999. NTA Director of TPI <i>final approver</i> for projects where the total cost of the project is greater than €20,000,000.</p> <p><u>Project Continuance Form's (PCF's)</u> NTA PM <i>final approver</i> for projects where total cost of project \leq €4,999,999. NTA SPM <i>final approver</i> for projects where total cost of the project is between €5,000,000 and €19,999,999. NTA Section Head <i>final approver</i> for projects where the total cost of the project is greater than €20,000,000.</p> <p><u>Allocation Adjustment Form's (AAF's)</u> NTA PM <i>final approver</i> for projects where total cost of project \leq €4,999,999. NTA SPM <i>final approver</i> for projects where the total cost of the project is between €5,000,000 and €19,999,999. NTA Section Head <i>final approver</i> for projects where the total cost of the project is greater than €20,000,000.</p>
Allocation Adjustment Form	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 will be initiated by the External Agency/ body and will seek the required NTA approvals via PRS.

Application, Approval & Allocation	A Grant Application Form/ Project Continuance form must be submitted and approved by the NTA in advance of the NTA issuing its Annual Allocation Letter.	A Grant Application Form/ Project Continuance Form can only be submitted and approved by the NTA after the NTA issues its Annual Allocation Letter.
Grant Allocation Confirmation Form	Previously known as the Project Approval Confirmation Form that is required to be completed only in instances where the project was not captured in the Annual Allocation Letter. 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.	A Grant Allocation Confirmation Form is required to be completed and signed after the Capital Programme Office issues the Annual Allocation Letter for Transport Planning & Investment. Once the countersigned Confirmation Form has been received forms can be submitted by the External Agency via PRS.

2. 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 (TPI) Department 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.

3. 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.

4. Abbreviations & Definitions

Definitions	
CPO	Capital Programme Office
DOT	Department of Transport
DPENDR	Department of Public Expenditure, NDP Delivery and Reform
NTA	National Transport Authority
TPI	Transport Planning & Investment
AAL	An Annual Allocation Letter is a letter issued by the NTA to an External Agency/ body to confirm the current year capital funding allocation by project and programme for public transport projects being delivered by the External Agency/ body and associated terms and conditions for the provision of this funding.
Grant Allocation Confirmation Form	A Grant Allocation Confirmation Form 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.
AAF	An Allocation Adjustment Form captures any required increases to a project or programme's current year allocation. This form will be initiated by the External Agency/ body and 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.
GAF	A Grant Application Form is used to seek project approval and indicative approval in principle for the funding required for the full project lifecycle and a current year funding allocation.
PAL	A Project Approval Letter is issued by the NTA to an External Agency/ body to confirm NTA support and funding of a project or programme in principle to proceed in line with relevant terms and conditions.
PCF	A Project Continuance Form is used to seek approval for a funding allocation for an ongoing, previously approved project in a new financial year.
PRS	Project Reporting System is the NTA's Capital Grant Management System. (The allocation and dissemination of NTA capital grant funding to External Agencies is managed through PRS).

5. Key Personnel

Key stakeholders to 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, NDP Delivery and Reform's Infrastructure Guidelines.

Key Personnel	Role	Responsibilities	Approvals
NTA Capital Programme Office	<ul style="list-style-type: none"> Management and control of the dissemination of capital grant expenditure, including administration, oversight, and reporting. 	<ul style="list-style-type: none"> Administering the distribution of the NTA's DOT Capital Grant. Oversight and control of capital grant expenditure and responsibility for related governance arrangements. Issue NTA Annual Allocation Letters, Project Approval Letters and other relevant correspondence. Administrators of the PRS grant management system. 	<ul style="list-style-type: none"> Finance approval for all project grant documentation. 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 is included and accurate.
Director of Transport Planning & Investment	<ul style="list-style-type: none"> Approver for NTA <i>(see approval threshold in Approvals field)</i> 	<ul style="list-style-type: none"> Ultimately accountable for the allocation and expenditure of the NTA's DOT Capital Grant. Ultimate oversight and control of the NTA's overall Capital Programme. Ultimate NTA Approver of annual funding allocations and grant documentation for projects and allocations which exceed a certain threshold. 	<ul style="list-style-type: none"> Ultimate NTA Approver of Annual funding allocations for various projects to External Agencies via the Annual Allocation Letter; Please refer to the approval threshold in the table below.
NTA Section Heads	<ul style="list-style-type: none"> Approver for NTA <i>(see approval threshold in Approvals field)</i> 	<ul style="list-style-type: none"> Responsible for the oversight and control of their respective component(s) of the NTA's Capital Programme. NTA Approver of grant documentation for projects and allocations within certain thresholds. 	<ul style="list-style-type: none"> Please refer to the approval threshold in the table below.

Key Personnel	Role	Responsibilities	Approvals
NTA Senior Programme Manager	<ul style="list-style-type: none"> • Approver for NTA (see approval threshold in Approvals field) • Liaison with External Agency Project Managers • Various project reporting functions 	<ul style="list-style-type: none"> • Responsible for the management of the application and approval process for Grant Applications Forms, Project Continuance Forms and Allocation Adjustment Forms. • NTA Approver of grant documentation for projects and allocations within certain thresholds. 	<ul style="list-style-type: none"> • Please refer to the approval threshold in the table below.
NTA Programme Manager	<ul style="list-style-type: none"> • Initial Reviewer for NTA • Liaison with External Agency Project Managers • Various project reporting functions 	<ul style="list-style-type: none"> • Responsible for the management of the application and approval process for Grant Application Forms, Project Continuance Forms and Allocation Adjustment Forms. • NTA Approver of grant documentation for projects and allocations within certain thresholds. 	<ul style="list-style-type: none"> • Initial NTA Reviewer and Approver of all grant documentation (GAF, PCF & AAF) • Please refer to the approval threshold in the table below.
Sponsoring Agency Administrator	<ul style="list-style-type: none"> • Administering all PRS activities (Online Forms, Projects, Claims and Reporting). 	<ul style="list-style-type: none"> • Reassignment of Project or Programme manager for form approvals. • Visibility of all projects within the Sponsoring Agency. • Preparation and submissions of grant application forms • Management of all grant application forms. • Preparation and submission of grant claims for projects or programmes to External Agency Finance Officer / External Agency Directors or Equivalent for review and approval. • Ensuring all grant claims are in compliance with the terms and conditions set out in the Project Approval Letter. 	<ul style="list-style-type: none"> • External Agency proposer and initial approver of all project claims in PRS.

Key Personnel	Role	Responsibilities	Approvals
External Agency Claim Proposer	<ul style="list-style-type: none"> Claim preparer and submitter 	<ul style="list-style-type: none"> Responsible for the preparation and submission of grant claims for projects to External Agency Finance Officer for review and approval. Responsible for ensuring all grant claims are in compliance with the terms and conditions set out in the Project Approval Letter. 	<ul style="list-style-type: none"> External Agency proposer and initial approver of all project claims in PRS.
External Agency Project or Programme Manager <i>with the responsibility for organising, planning, overseeing and executing projects within the Sponsoring Agency.</i>	<ul style="list-style-type: none"> Preparer of project/ grant documentation within External Agency. Claim preparer and submitter. Liaison with NTA Programme Managers. 	Preparation and submission of: <ul style="list-style-type: none"> Grant Application Forms Project Continuation Forms Allocation Adjustment Forms New User Request Forms Preparation and submission of grant claims for projects to External Agency Finance Officer / External Agency Directors or Equivalent for review and approval. Ensuring all grant claims are in compliance with the terms and conditions set out in the Project Approval Letter. 	<ul style="list-style-type: none"> External Agency proposer and initial approver of all project claims in PRS.
External Agency Finance Officers	<ul style="list-style-type: none"> Approver of claims within External Agency for submission to NTA The Finance Officer should be a senior official within a Sponsoring Agency. 	<ul style="list-style-type: none"> Accountable for the External Agency's approval and verification of grant claims. Ultimately accountable for ensuring that all grant claims are in compliance with the terms and conditions set out in the Project Approval Letter. 	<ul style="list-style-type: none"> Senior External Agency approver of project claims in PRS.

	<ul style="list-style-type: none"> 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. 		
<p>External Agency Directors or Equivalent (<i>a suitably senior representative with delegated responsibility for the approval of forms such as the Head of Public Transport Infrastructure</i>)</p>	<ul style="list-style-type: none"> Approver of project/ grant documentation within External Agency. Approver of claims within External Agency for submission to NTA. Liaison with NTA where required. 	<ul style="list-style-type: none"> Ultimately accountable for ensuring projects and claims proceed in line with the terms and conditions set out in the Annual Allocation Letter and/or Project Approval Letter. Accountable for the External Agency's approval and verification of grant claims. 	<p>Provide approval for:</p> <ul style="list-style-type: none"> Grant Application Forms Project Continuance Forms Allocation Adjustment Forms Senior External Agency approver of project claims in PRS Provides approval for External Agency New User Request Forms

6. NTA Approval Thresholds

1. Grant Application Form

Band	Range	Sign off Thresholds	Final Approver
Band 1	0 - €4,999,999	NTA Programme Manager and NTA Senior Programme Manager	NTA Senior Programme Manager
Band 2	€5,000,000 - €19,999,999	NTA Programme Manager, NTA Senior Programme Manager and NTA Section Head	NTA Section Head
Band 3	>€20,000,000	NTA Programme Manager, NTA Senior Programme Manager, NTA Section Head and Director of Transport Planning & Investment	Director of Transport Planning & Investment

2. Project Continuance Forms

Band	Range	Sign off Thresholds	Final Approver
Band 1	0 - €4,999,999	NTA Programme Manager	NTA Programme Manager
Band 2	€5,000,000 - €19,999,999	NTA Programme Manager and NTA Senior Programme Manager	NTA Senior Programme Manager
Band 3	>€20,000,000	NTA Programme Manager, NTA Senior Programme Manager and NTA Section Head	NTA Section Head

3. Allocation Adjustment Forms

Band	Range	Sign off Thresholds	Final Approver
Band 1	0 - €4,999,999	NTA Programme Manager	NTA Programme Manager
Band 2	€5,000,000 - €19,999,999	NTA Programme Manager and NTA Senior Programme Manager	NTA Senior Programme Manager
Band 3	>€20,000,000	NTA Programme Manager, NTA Senior Programme Manager and NTA Section Head	NTA Section Head

7. 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.

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

Initial Project Proposal

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

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

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

- **For proposed projects or programmes 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 or programme. Following an agreement between the NTA Programme Manager and External Agency, the External Agency will complete and submit a Grant Application Form (for new projects) or Project Continuance Form (for existing projects) to the NTA Programme Manager.

The forms required at the “Initial Project Proposal” stage are described below:

Grant Application Form

- Note: this form only applies for **new projects which have not previously been funded or supported by the NTA.**
- A *Grant Application Form* is used to seek:
 - Project approval (whether annual or multi annual) to proceed with the project or programme in line with the NTA’s Project Approval Guidelines;
 - Indicative support in principle for the provision of funding required for the full project or programme lifecycle; and
 - Approval of a current year funding allocation in respect of a project or programme which has not been previously funded or supported by the NTA. In most cases, this will be for new projects or programmes.
- The Grant Application Form will need to be completed by the External Agency/body for each project or programme and submitted to the NTA Programme Manager for consideration via PRS;
- On submission of the Grant Application Form, the project is created with the assigned PRS code on the PRS system in a “Draft” status;
- If the NTA Programme Manager considers the project and associated detail suitable, they will seek the necessary internal NTA approvals via the PRS system;
- Once the necessary internal NTA approvals have been obtained via PRS, the project is placed “On Hold” (pending an Annual Allocation Letter at the start of the year) or “Open” (for projects submitted during the year and post Annual Allocation Letter);
- The Capital Programme Office (CPO) will issue the Capital Grant Annual Allocation Letter before year end /at the start of the calendar year (whichever applicable). Once the countersigned Grant Allocation 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 the NTA Programme Manager when the projects are live on PRS;
- A Project Approval Letter (described in the Project Approval Section below) will be issued to the External Agency via PRS. The Project Approval Letter is issued after the Grant Application Form (GAF) has been approved on PRS by the CPO.

Project Continuance Form

- Note: this step only applies for **ongoing projects** in a new financial year where a new funding allocation is required. It should be noted that NTA funding is allocated on an annual basis and while the total estimated cost of the project or programme may be approved in principle by the NTA (via an approved Grant Application Form), agencies must apply for

funding in each year. Funding over the life of the project or programme, 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 Continuance Form. No carry-over of unspent allocation from the previous year is permitted;

- A *Project Continuance Form* is used to seek approval for a funding allocation for an ongoing previously approved project. The Project Continuance Form will need to be completed by the External Agency via the online form on PRS for each existing ongoing project at the beginning of a new financial year and submitted to the NTA Programme Manager for consideration. The NTA Annual Allocation Letter (described in the Project Approval section below) is issued prior to the submission of the Project Continuance Form via PRS for all projects or programmes continuing into the new financial year;
- 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;

Project Approval

The approval of public transport projects or programmes 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, National Development Plan (NDP) Delivery and Reform's Infrastructure Guidelines which sets out the requirements for evaluating, planning and managing public capital investment projects;
- The NTA's Project Approval Guidelines which provide a framework for, and a phased approach to, the development, management and delivery of transport projects or programmes of all types, for all capital values, funded by the NTA or where the NTA acts as an Approving Authority;
- The Department of Public Expenditure, NDP Delivery 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 Grant Eligibility Guidelines which provide guidance to Sponsoring Agencies on the eligibility of expenditure items for capital grant funding by the NTA;
- The NTA's Cost Management Guidelines which cover the cost management of all projects and programmes where 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:

NTA Annual Allocation Letter

- Prior to year-end or at the start of the new calendar year (whichever applicable) 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 and programmes 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 an Annual Allocation Letters to each External Agency;
 - A countersigned *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 CPO by each External Agency/body. Allocations to various projects will not go live on PRS until such time as this acknowledgement is received;
 - The provision of funding per the Annual Allocation Letter is issued prior to the submission and approval of the required forms (Grant Application Form or Project Continuance Form). Such forms can only be submitted and approved via the online forms on PRS **after** the NTA Allocation Letter being issued to External Agencies. These forms are described in the “Initial Project Proposal” section above.

Project Approval Letter

- Where a new project arises, following the approval and sign off of a Grant Application Form, a Project Approval Letter will be issued via PRS which outlines the necessary approvals and confirms the conditions upon which the project is approved and funding allocated.
- A Project Approval Letter template is included as Appendix B in Section 11 of this document.

Claim Submissions

In order to obtain visibility of projects and programmes on PRS and submit or approve claims, a Claim Proposer/ Sponsoring Agency Administrator/ External Agency Project or Programme Manager and Finance Officer/ External Agency Director or Equivalent 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/ Sponsoring Agency Administrator / External Agency Project or Programme Manager is the individual who prepares the claim for submission and duly authorises it in that role; and
 - The External Agency Finance Officer / External Agency Director or Equivalent will approve the claims as part of the submission process. The Finance Officer should be a senior official within a Sponsoring Agency.
- In order for a new user to be set up on PRS, a *New User Request Form* should be signed and submitted to the NTA’s PRS helpdesk (PRShelpdesk2@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 C of this document.

External agencies can only begin making claims once the annual allocation has been activated on PRS.

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/ Sponsoring Agency Administrator / External Agency Project or Programme Manager 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 / External Agency Directors or Equivalent via PRS and is then automatically submitted to the NTA.

Review & Approval

- Once approved by the External Agency Finance Officers / External Agency Directors or Equivalent, claims automatically go to the NTA Programme Manager and sits in their PRS Claims 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.

Erroneous Claims

- In the event that a claim has been submitted/approved and identified to be erroneous for any reason including, but not limited to, instances of an incorrect or inaccurate claim, misuse, misappropriation and fraud, the External Agency Finance Officer / External Agency Directors or Equivalent must make an immediate escalation and disclosure to the assigned NTA Senior Programme Manager or NTA Programme Manager for prompt resolution.

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 the current year; or
- A change in the scope of the project which increases the required funding allocation in the 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 about 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, the External Agency will need to complete an Allocation Adjustment Form via the online form on PRS which captures any increases to a project's current year allocation;
 - 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;
 - Once the necessary internal NTA approvals have been obtained via PRS, the adjusted allocation will be live on PRS;
 - 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 discussions with the NTA Programme Manager is required.

8. 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 - [Project Approval Guidelines - National Transport](#)
- The NTA's Cost Management Guidelines - [NTA Cost Management Guidelines \(Updated 2023\) - National Transport](#)
- The NTA's Eligibility Guidelines, and any further updates - [NTA' Eligibility Guidelines](#)
- The Department of Public Expenditure, NDP Delivery and Reform's Infrastructure Guidelines - [gov.ie - Infrastructure Guidelines \(www.gov.ie\)](#)
- Circular 13/2014 "Management and Accountability for Grants from Exchequer Funds" from the Department of Public Expenditure, NDP Delivery and Reform - [gov.ie - Circular 13/2014 - Management of and Accountability for Grants from Exchequer Funds \(www.gov.ie\)](#)

9. Contact

- NTA Capital Programme Office (for any queries relating to allocations on PRS, GAFs, PCFs).
 - capitalprogrammeoffice@nationaltransport.ie
- NTA PRS Helpdesk (for any queries relating to new user requests, accessing PRS, password resets).
 - PRSHelpdesk2@nationaltransport.ie

10. Appendices

A. Project Approval Letter



<Agency Director Name, Job Title>

<Sponsoring Agency Name>

Date: xx/xx/xx

Re: PRS Project Code – Project Title

Dear <Sponsoring Agency Director or Equivalent Name>

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 **<Funding sought from NTA (current year only)>** 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 **<Year of Approval>** 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 March 2024 and any subsequent updates. In addition, the NTA requires Sponsoring Agencies to follow clear processes in relation to cost estimation, forecasting, reporting and cost management as set out in our Cost Management Guidelines (September 2021). 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 important 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 / Implementation

The deliverables required under the Project Approval 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 or changes arising from consultation, 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, NDP Delivery 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.

4. Eligibility Guidelines

Funding of these projects is also subject to the [NTA’ Eligibility Guidelines](#), and any future updates. 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. Accessibility

Sponsoring Agencies are reminded of their requirements under the Disability Act 2005 and the United Nations Convention of Rights of Persons with Disabilities, in undertaking consultation processes associated with all NTA funded projects. As previously advised, the National Disability Authority “[Participation Matters: Guidelines on implementing the obligation to meaningfully engage with disabled people in public decision making](#)”, should be used as guidance.

6. Project Reporting and Expenditure Management

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

Updated cash flow profiles for the allocated project should be provided on the following indicative dates which advises the NTA of any material changes of planned expenditure:

- Forecast Submission Date 1: 4th April 2024
- Forecast Submission Date 2: 11th July 2024
- Forecast Submission Date 3: 3rd October 2024

7. Drawdown of Allocation

Sponsoring Agencies are required to drawdown their allocation throughout the year promptly once the liability has matured and the invoice has been issued for payment following the 2024 bi-weekly Grant Procedures (External) payrun schedule which will be communicated in due course.

In addition to the bi-weekly payrun schedule and to ensure appropriate management of the cash flow profile, NTA has introduced specified drawdown evaluation dates for 2024 where each agency will be expected to have achieved its planned drawdown, based on the forecast cash flow profiles. These drawdown evaluation dates are as follows:

- Drawdown Date 1: 20th March 2024
- Drawdown Date 2: 26th June 2024
- Drawdown Date 3: 18th September 2024

The estimated drawdown amounts for each of these periods will be based on the cash flow projections requested under Point 6. Failure to achieve the forecast drawdowns in line with projections may result in project allocations being reduced during the year.

8. Regular Meeting

A regular meeting will be held with your staff to discuss the regular 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.

9. Publicity and Dissemination

All publicity, public consultation, press release 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 regular 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.

10. Audit Requirements

The accuracy of all figures submitted by Sponsoring Agencies e.g., grant claims, output data, details of own resources expenditure etc., is of the utmost importance. These figures are used in providing progress reports for the Department of Transport, and others, and are also subject to audit at a later date.

You are reminded that the NTA can at any time carry out either a full onsite spot-check or a desk-check on expenditure claimed.

11. Contacts

The principal contacts in relation to this programme within the NTA are your NTA Programme Manager, <Designated NTA Programme Manager Name> who can be contacted at <Designated NTA Programme Manager Email> and the NTA's Capital Programme Office at

capitalprogrammeoffice@nationaltransport.ie Please contact them in relation to any assistance required or any issues arising

Please see **Appendix 1** for additional terms and conditions that are applicable to Projects/Programmes funded under NTA's Active Travel Investment Programme (unless otherwise advised).

Yours sincerely,

Capital Programme Office, National Transport Authority

Appendix 1

In addition to the terms and conditions in the body of the letter, the following terms and conditions are applicable to Projects/Programmes funded under NTA's Active Travel Investment Programme (unless otherwise advised).

12. Project Reporting and Expenditure Management:

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

The NTA requires a monthly report to be submitted by each Sponsoring Agency, on 1st Wednesday of every month, in respect of the funded projects and is to include:

- The **Monthly Project Progress Mastersheet** providing updates on each funded project; and
- Completed **Programme Dashboard** for the authorities active travel programme which we request is signed by the Senior Engineer and Director of Service.

Please note that the Monthly Report is the primary communication reference between your agency and the NTA in relation to schemes within the programme. The information within the monthly report will be used to respond to Departmental or public queries at a programme or project level by the NTA, accuracy of reporting is therefore essential. In circumstances where the monthly report is deficient, the Authority will raise the issue for immediate rectification with senior management in your agency.

Updated cash flow profiles for all allocated projects should be provided on the following indicative dates which advises the NTA of any material changes of planned expenditure:

- Forecast Submission Date 1: 4th April 2024
- Forecast Submission Date 2: 11th July 2024
- Forecast Submission Date 3: 3rd October 2024

An Annual Report is required to be provided to the NTA by the end of the year outlining projects completed during the year and progress made on projects that continue to be in implementation stage.

13. Cost Reporting

In 2023, the NTA updated, and simplified, the cost report templates, which are available to download on the [NTA website](#). The NTA require all Local Authorities to provide a **Cost Report** on a monthly basis (generally in line with monthly payment certificates to the main contractor) for all **Band 2 and 3** schemes that are at Construction (Phase 6).

14. Programme Meeting

A quarterly programme meeting will be held to discuss 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 quarter.

The minutes of meetings are to be prepared by the Local Authority and provided to the NTA within 1 week of the meeting.

15. Audits and Certification

Sponsoring Agencies are reminded that in line with Department of Transport [NGS Circular 1,2 and 3](#) of June 2022, agencies are required to undertake both Roads Safety and Quality audits at a number of points during the design development and will also be required to complete a Certification of Compliance for all relevant active travel schemes. Documents that do not form part of a PAG Gateway submission should be retained on file for inspection by the NTA at a later date.

16. Accessibility

Sponsoring Agencies are also advised that all infrastructure funded through the Active Travel Grant must be fully accessible for all and in line with the NTA Advice Note “[Access Control of Active Travel Facilities](#)”.

17. Staff Costs

As in 2023 a specific allocation number is being provided for staff costs. Please note that only staff (excluding site staff) working exclusively (100%) on NTA funded projects will be eligible for funding.

18. Cycle Design Manual

The Cycle Design Manual was published in September 2023 and shall be used for the design of all new cycle infrastructure projects being funded by the NTA Active Travel Investment programme.

19. Rapid Build/ Reallocation of Existing Road Space

The [Climate Action Plan 2023](#) reaffirms Climate Action Plan 2021 action requiring the construction of an additional 1,000km of cycling and walking infrastructure by 2025 to help achieve legally binding emissions reduction targets. This was supported by a corresponding budget of €1.8bn in the Programme for Government 2020-2025, equating to an annual budget of €365m (including funding of Greenway projects). However due to rising costs in the construction sector, traditional build schemes involving building line to building line construction e.g., new footpaths, new linear drainage, lighting, and road resurfacing are now ranging from €4-7m per km, compared to rapid build construction which cost in the range of €0.25-€1.0m per km. The cost, combined with the length of time it typically takes to deliver traditional build schemes (3-5 years), signify a need to change the delivery approach to achieve our Climate Action Plan targets.

In addition the Department of Transport has published the [National Investment Framework for](#)

[Transport in Ireland \(NIFTI\)](#) which brought in the concept of Intervention Hierarchy; Maintain, Optimise, Improve and New. These four categories of investment will be used to inform intervention decisions, both at the budgetary level and the project level.

In order to aid the NTA to make funding decisions on each project, taking into account this national policy, an additional **Rapid Build Options Report** will be required at the start of Phase 2 (Concept Development & Options Selection Gateway).

20. Footpath Schemes

In regard to construction of new footways, or renewal of existing footways, Sponsoring Agencies are advised of the following specific conditions:

- Footpaths must be useful for active travel purposes i.e. for travel to work/school/shops/ services etc. Footpaths that are predominately for leisure/recreational purposes (e.g. walking loops/leisure tracks/Slí na Sláinte) are generally not suitable for funding under the Active Travel Programme.
- For retrofit schemes, increasing footpath widths should be a priority and where appropriate, accommodated by narrowing vehicular lane widths.
- Public lighting shall be provided unless otherwise agreed with NTA.
- Footpath widths and cross/long falls shall be strictly in accordance with Design Manual for Urban Roads and Streets (DMURS) and relevant Accessibility Guidance.
- Where footpaths cross priority junctions, the crossing point shall be designed in accordance with the [DMURS Advice Note 6 Priority Junction Tightening Measures \(2023\)](#).
- Mid-block crossings shall be provided at regular intervals and strategic locations/key desire lines as per DMURS requirements.
- Sponsoring Agencies must consider whether cycle facilities are likely to be required at each location proposed (i.e. is the route identified in a Cycle Network Plan ([CycleConnects](#))). If cycle facilities are likely to be required in future, Local Authorities must seek clarification from NTA as to whether footpath works can proceed in advance of future cycle scheme.

21. MapRoad AMS – Active Travel Projects

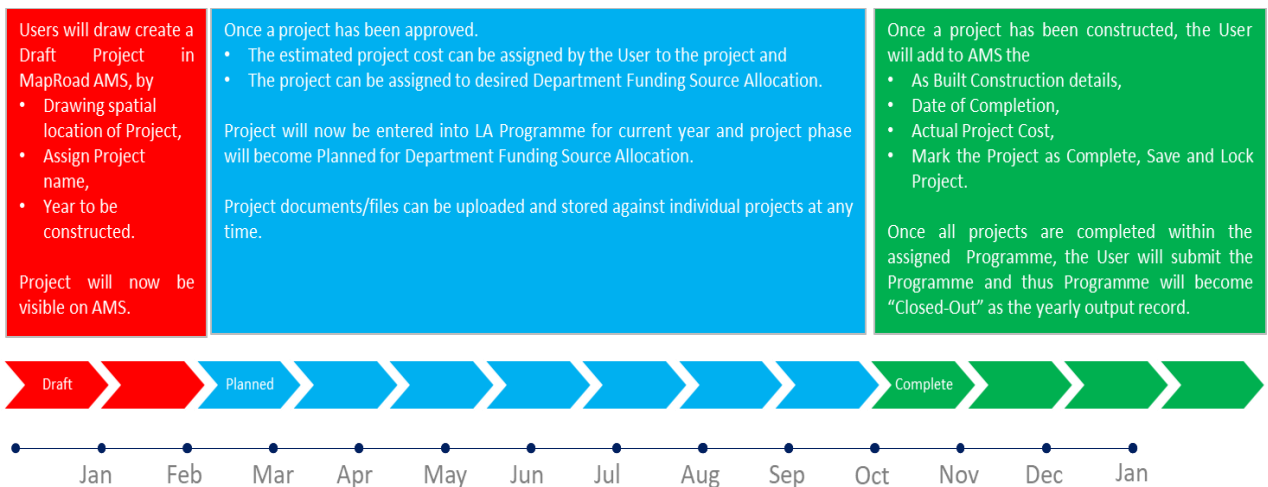
All Local Authorities must upload and maintain full records of all active travel projects implemented during 2024. LA's must also capture as build records of outstanding projects for 2021 and 2022 and 2023. Any active travel interventions across other grant categories (for any Government Department or Agency) or using own resources must also be uploaded to MapRoad AMS. The payment of grants is linked to this requirement.

The MapRoad Asset Management System (AMS) is managed by the Road Management Office (RMO) under the shared service model. The RMO will provide any necessary assistance and support in setting up users and training on MapRoad AMS software as well as providing assistance in creating and uploading projects and programmes on MapRoad AMS. The RMO can be contacted at contact@rmo.ie.

The process for assisting Local Authorities in using MapRoad AMS is as follows:



- 1) Following issue of this allocations letter / circular notification letter, RMO will draft a notification(s) to support the NTA allocations letter / circular setting out the following details:
 - Seeking contact details for any new LA (ATI staff) who co-ordinate or manage the NTA programmes (Name, email address, phone number),
 - Set up users on MapRoad AMS and provide them with guidance documents and training on how to capture ATI inventory, projects & programmes on the system.
- 2) Users must commence capturing 2024 projects in Draft format in Q1 2024 as set out below. The RMO will provide monthly reports to each LA and to the NTA providing a status of projects and programmes throughout 2024.
- 3) For 2024, the flow-chart below must be followed:



B. 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. **Agency Name:** _____
2. **New User Name:** _____
3. **Position:** _____
4. **Email:** _____
5. **Telephone:** _____
6. **Role (select one):**

Role	Role Description	Tick One
Claim Proposer (uploader)	This user role is responsible for: Creating claims on specific projects and submitting them for Finance Officer/Director or Equivalent review	
Finance Officer (approver)	This user role is responsible for: - Approving Claims to be processed by NTA - Rejecting Claims back to Claim Proposer/Project or Programme Manager for revision The Finance Officer should be a senior official within a Sponsoring Agency	
Project or Programme Manager	Role with the responsibility for organising, planning, overseeing and executing projects within the Sponsoring Agency. Project or Programme Manager will only see projects assigned to them. The role also has the ability to: Create claims on specific projects and submit them for Finance Officer/Director or Equivalent review	
Director or Equivalent	Role with authority or delegated authority for final sign off documents on the Sponsoring Agency's behalf. Director or Equivalent role will have visibility of the projects which they have been assigned. This role also has the ability to: - Approve Claims to be processed by NTA - Reject Claims back to Claim Proposer/Project or Programme Manager for revision	
Sponsoring Agency	Role with expanded system administrative capabilities within the Sponsoring Agency; including for example: the reassignment of Project or	

Administrator	Programme manager for form approvals. Sponsoring Agency Administrator will have access to all functionalities (with exception of forms approval and providing signatures and claim approval) in the PRS External Module and visibility of all projects. SA Administrator should have same permission level to Claims and Payruns as Claim Proposer.	
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7. Approvals

AGENCY APPROVAL - SENIOR MANAGEMENT

(signature required from a senior official within the Sponsoring Agency for example; Chief Executive, Chief Financial Officer, or Director of Operations):

Name:

Title:

Signed:

Date:

C. 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 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 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 Grant Application Form/ Project Continuation Form can only be submitted and approved by the NTA after the NTA issues its Annual Allocation Letter to my organisation to enable me to access the funds for my project. Based on an extenuating circumstance, I have not received the Annual Allocation letter or a specific project has not been allocated on the Allocation letter therefore I am unable to submit the form at this time. How should I proceed?**

If the External Agency has not received the Annual Allocation Letter or not received any correspondence around the issuing of this letter the External Agency should discuss such instances with the NTA Programme Manager.

In the event that a specific project is not budgeted for on the Annual Allocation letter please email CPO for further details.

- 4. I submitted a 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 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 Continuance 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.

- 7. I submitted a 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 Grant Application Form over the life of the project?**

No. NTA funding is allocated on an annual basis and while (via an approved 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 Continuance 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?**

In this case, please contact the Capital Programme Office for guidance. This will be assessed on a case by case basis. As a general rule, where an external agency is acting as the Sponsoring Agency, 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. Where an external agency is supporting the NTA where the NTA is acting as the Sponsoring Agency it may be requested that the external recipient submits invoices through 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?

In general, it is requested that there be continuity where possible in persons submitting (Claim Proposer) and approving claims (Finance Officer) 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. Additionally external users with the “Project or Programme Manager” role, are given the ability to create and submit claims and external users with the “Director or Equivalent” role, are given the ability to approve/reject claims. 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 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.

12. My project requires an uplift to its current year allocation, is there any action I need to take?

Yes, in the first instance the External Agency Project or Programme Manager should discuss the required uplift with the NTA Programme Manager / individual has been assigned as the key NTA point of contact in relation to your project detailing the reason and amount of the uplift. The External Agency can submit a project Allocation Adjustment Form to the NTA for review and approval. When the adjustment has been fully approved the allocation will be updated on the PRS system. Alongside this the NTA complete regular forecasting reviews and this uplift should also be identified in the forecasting process.