**Strategic Assessment and Preliminary Business Case**

[ Project Title ]

[ Project Code ]

[ Investment Stream *Please choose one from Heavy Rail Safety and Development, Light Rail, Bus Programme, Ticketing & Technology / Integration and Support, Accessibility, Park & Ride, Active Travel* ]

Prepared for [ Sponsoring Agency ]

Prepared by [ Preparer/Consultant ]

Date:

Quality Assurance

Deliverable prepared using NTA PBC Template v2.1

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| Prepared by | Checked by | Verified by | Approved by |
| *[Insert Name]* | *[Insert Name]* | *[Insert Name]* | *[Insert Name]* |

Revision History

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References

Infrastructure Guidelines (available at <https://www.gov.ie/en/collection/e8040-infrastructure-guidelines/>)

Transport Appraisal Framework Module 4 – Preliminary Business Case (available at <https://www.gov.ie/en/publication/c9038-transport-appraisal-framework-taf/>)

NTA Project Approval Guidelines 2024 (available at <https://www.nationaltransport.ie/publications/project-approval-guidelines/>)

NTA Cost Management Guidelines (available at <https://www.nationaltransport.ie/publications/nta-cost-management-guidelines-updated-2024/>)

[The Most Common Mistakes in IGs Deliverables (available at The Most Common Mistakes in IGs Deliverables (nationaltransport.ie))](https://www.nationaltransport.ie/planning-and-investment/capital-programme/infrastructure-guidelines/submission-instructions-for-psc-business-cases/)

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***Please add content for Figures and Tables here.***

# Project or Programme Context

TAF Reference Module 4 – 4.2

Please replace the below with the information about your own project

* *What is the background to the scheme?*
* *What are the past and current issues and opportunities of relevance, including in the areas of population, transport, and economy?*
* *What is the geographical area in which the proposal would likely be located and impact upon, which is known as the ‘study area’ for the scheme?*
* *What are the current or forecasted conditions in the study area? For example,*
	+ *The existing transport network, including descriptions and maps of existing infrastructure, and travel information such as traffic numbers and usage, user characteristics, anticipated demand for the scheme, and availability of different modes,*
	+ *Demographic and population trends, including identification of population centres currently on a route or being serviced, and*
	+ *General socio-economic conditions in the locality of the proposed project or programme, noting employment and income levels where possible as well as the dominant industries in an area and considering any areas with particularly high levels of deprivation.*
* *Are there any backgrounds to identify this project such as the development of previous iterations of the proposal and references in previous local, regional or national strategies and plans?*

# Rationale for Intervention

TAF Reference Module 4 – 4.3

Please replace the below with the information about your own project

* *What are problems in the current transport network and/or issues with current transport services?*
* *What are the opportunities to realise potential benefits?*
	+ *To enable planned future land use or otherwise deliver on policy priorities can be considered.*
	+ *For example, a planned or new housing development could justify the development of a dedicated cycle path to a nearby school or urban centre, and investment schemes can support climate action in the transport sector.*
* *If programmatic approach is intended, why is this required and how will be deployed?*
* *Why is the expenditure proposal necessary given the context provided in 1. Project or Programme Context?*
	+ *Common transport issues include, but are not limited to, existing or future poor safety conditions, adverse environmental impacts, excessive or unreliable journey times, infrequent transport services, existing or future high transport demand and associated infrastructure capacity constraints, and reduced accessibility to services for cohorts of the population.*
* *Why does the public sector need to be involved in this project?*
	+ *Explain why the project needs to be provided by the public sector instead of the private sector.*
	+ *Closely linked to market failure which is a situation in which the distribution of goods and services is not efficient in the free market (e.g. public goods, externalities, redistribution, merit good, market power)*
	+ *A practical example is the need for subsidised bus services on socially desirable yet uneconomic routes.*
* *Are issues or opportunities framed appropriately in project and programme documentation to inform both the objectives and options later?*

# Project/Programme Objectives

TAF Reference Module 4 – 4.4

Please replace the below with the information about your own project

* *Do objectives demonstrate a clear link between the desired outcomes of an intervention and the rationale for the intervention identified?*
* *Are objectives based on desired outcomes rather than desired outputs? For example, the objective should state the desire to reduce road deaths rather than build a new section of road with a safer alignment.*
* *Are objectives framed in a manner that may lead to some options being precluded or in a manner that promotes bias in the option selection process? If they are, the objectives should be reconsidered not to be framed.*
* *Are objectives SMART – specific, measurable, attributable, realistic and time-bound? Please refer to Box 4.3 and Table 1 in TAF Module 4 for SMART objective setting.*
	+ *(Example) To reduce annual collision rates in the study area by 10% from the current level within 5 years of scheme completion taking account of capital funding available from Government.*
* *If a programmatic approach is intended do the objectives support such an approach?*
* *Are objectives set upon the appraisal criteria suggested in Section 7.2 of TAF Module 7 – 1) Transport User Benefits and Other Economic Impacts, 2) Accessibility Impacts, 3) Social Impacts, 4) Land Use Impacts, 5) Safety Impacts, 6) Climate Change Impacts and 7) Local Environment Impacts?*
	+ *It is not necessary to have objectives under all seven criteria listed above. Some targeted investments can be expected to have a narrow set of objectives.*
* *What are primary objectives and secondary objectives? Primary objectives are those that are essential to addressing the issues or opportunities. Secondary objectives are opportunities for the project to deliver further positive impacts in a manner that may offer value for money.*

# Project/Programme Alignment with National and Local Policies and Confirmation of the Strategic Relevance

TAF Reference Module 4 – 4.5

Please replace the below with the information about your own project

* *Does the way to address the issues or opportunities identified and the proposed objectives fit within the context of existing local, national and other policies (including relevant European policy)?*
	+ *National policies include:*
		- *National Development Plan (*[*NDP*](https://www.gov.ie/en/publication/774e2-national-development-plan-2021-2030/)*),*
		- *National Investment Framework for Transport in Ireland (*[*NIFTI*](https://www.gov.ie/en/publication/cfae6-national-investment-framework-for-transport-in-ireland-nifti/)*),*
		- *National planning and spatial development policy outlined in the* [*National Planning Framework*](https://www.gov.ie/en/publication/774346-project-ireland-2040-national-planning-framework/)*,*
		- *National climate action policy including the current national* [*Climate Action Plan*](https://www.gov.ie/en/publication/79659-climate-action-plan-2024/)*, and*
		- *National and local climate adaptation documents including the* [*National Adaptation Framework (NAF)*](https://www.gov.ie/en/publication/fbe331-national-adaptation-framework/)*, the* [*Sectoral Adaptation Plan for Transport Infrastructure*](https://www.gov.ie/en/publication/a2444e-sectoral-adaptation-plan-for-transport-infrastructure/)*, and Local Authority Climate Action Plans.*
	+ *Other policies include:*
		- *Local Area Development Plans,*
		- *Metropolitan Area Strategic Plans (MASPs),*
		- *County Development Plans,*
		- *Regional Spatial and Economics Strategies (RSES) such as* [*Regional Spatial and Economic Strategy for the Northern and Western Region*](https://www.nwra.ie/rses/)*,* [*Regional Spatial and Economic Strategy for the Eastern and Midland Region*](https://emra.ie/final-rses/) *and* [*Regional Spatial & Economic Strategy for the Southern Region*](https://www.southernassembly.ie/uploads/general-files/Regional_Spatial__Economic_Strategy_for_the_Southern_Region_LOW_RES.pdf)*,*
		- *National Transport Authority’s Metropolitan Area Transport Strategies such as GDA Transport Strategy, Cork Metropolitan Area Transport Strategy and Limerick Shannon Metropolitan Area Transport Strategy, and*
		- *Transport Infrastructure Ireland’s National Roads 2040.*

# Lessons Learned from Similar Previous or Ongoing Schemes

TAF Reference Module 4 – 4.6

Please replace the below with the information about your own project

* *Are a number of different areas examined to assess if there are any lessons that can be applied to the proposed scheme? The areas include but are not limited to:*
	+ *Previous schemes carried out by that organisation,*
	+ *Project Completion Reports and Post Project Reviews of comparable projects, and*
	+ *Consultation with other organisations who have experience with similar schemes (e.g., agencies or local authorities).*

# Demand Analysis

TAF Reference Module 4 – 4.7

Please replace the below with the information about your own project

* *Does the detailed demand analysis set out current and past demand?*
* *What is the potential demand which is most likely to develop into the future by the intervention?*
* *In analysis of potential demand, are following elements considered or used?*
	+ *Existing projections around population, users and economic growth from recognised sources (e.g., Department of Finance projections for economic growth, Central Statistics Office (CSO) population projections, etc.), and*
	+ *Potential impact of any other transport connections that exist or are planned in the vicinity of the project or programme.*
* *Does the potential demand analysis provide insight on what the approximate scale of an intervention should be in order to address identified issues in the most effective and efficient manner?*
* *What are sources of data for demand analysis? Is data from primary sources such as CSO population data, traffic counts, user surveys, etc.?*
* *What models and forecasting methodologies are used? Are they appropriate for this demand scenario?*
* *What is the demand among each of the potential user groups? What are the demands for the current existing demand among user groups and projected induced demand among new users?*
* *Is demand analysis undertaken for each category of solution (option) being proposed? Options demand analysis should be assessed proportionally, given that in certain instances, a particular type or category of solution may be clearly unfeasible as a way to address the scheme objectives effectively and efficiently.*
* *Does demand analysis focus on incremental demand as well as the likely additionality of any options in terms of demand?*
* *Does demand analysis include consideration of technological change, changing population distributions and demographics, changing employment patterns and development of other transport schemes?*
* *Do data gathering exercises for detailed demand analysis such as traffic counts and surveys take place in neutral periods?*
* *What are the assumptions (e.g., analysis period, economic & population growth, Electoral Division areas (Eds)) underpinning the demand analysis?*

# The Longlist of Options

TAF Reference Module 4 – 4.8

Please replace the below with the information about your own project

* *Are options capable of meeting the primary objectives of a scheme to be considered viable?*
* *Can all options address the identified issues?*
* *Is options development carried out in line with NIFTI considering the Modal and Intervention Hierarchies? (Please refer to Box 4.4 in Section 4.8 of TAF Module 4)*
* *Do options consider a combination of modes or interventions and span more than one tier of the Hierarchies? For example, a new road bypass including segregated cycle lanes as part of the construction could align with Tiers 1 and 3 of the Modal Hierarchy and Tier 4 of the Intervention Hierarchy. The Hierarchies are intended to encourage project sponsors to think more widely about the proposals they put forward.*
* *Which tier of each Hierarchy does the Sponsoring Agency consider the option in question to primarily belong to, on the basis of evidence or a clearly specified criterion such as the amount of road space allocated? This is to give decision makers a sense of the scale of impacts that each option is likely to have.*
* *Does the Sponsoring Agency consider how best to optimise both the movement of people and the movement of goods and services in consideration of options under the Modal Hierarchy?*
* *In case the Sponsoring Agency considers combinations of modes or interventions, how do they integrate different modes or interventions in a solution that maximises overall transport efficiency? For example, improving access to public transport while also facilitating active travel.*
* *When some modes and some types of intervention may not be appropriate to address certain transport challenges, what is the evidence-based explanation of why a mode or intervention type should not be considered despite being favoured by the relevant NIFTI Hierarchy?*
* *Where a programmatic approach is planned, have a range of programme level options been considered which examine different prioritisations and combinations of constituent projects?*
* *Does the longlist set out the types of options which will be assessed including considerations under the headings below?*
	+ *The NIFTI Investment Hierarchies,*
	+ *Geographic scope of options to be assessed,*
	+ *Incremental phasing of options, and*
	+ *Level of service options.*
* *Is the development of the longlist informed by wider transport strategies (refer to 4. Project/Programme Alignment with National and Local Policies) which may, with the agreement of the Approving Authority?*
* *Has consultation with stakeholders and experts been considered to develop the longlist of options? If so, has this process been well documented in the longlist of options?*
* *Are all feasible options included in an objective manner in the longlisting process?*

# Longlist Appraisal – Shortlisting Options

TAF Reference Module 4 – 4.9

Please replace the below with the information about your own project

* *What is the approach for the shortlisting process? It is recommended that a Multi-Criteria Analysis (MCA) approach be used for this process. However, the requirement for MCA at this stage differs from the potential use of MCA at the detailed appraisal stage later.*
* *Are the SMART scheme objectives used as the criteria for the MCA?*
* *When scoring or categorising possible intervention options, is a short explanation for each score or categorisation provided?*
* *Are relevant areas of analysis such as demand analysis reflected in assessment of potential solutions?*
* *Are considerations applied to the analysis of one option be applied to the analysis of similar options for objective assessment? For example, discussion of the risk of flooding must not be isolate to one option and should be discusses across all the options identified.*
* *Is the tier of the NIFTI Modal and Intervention Hierarchies the Sponsoring Agency consider each given option in the shortlist to most closely align with specified based on evidence or a clearly specified criterion such as the amount of road space allocated? Is narrative text to elaborate on this also provided where useful?*
* *In any instance where a mode or intervention type will not be taken forward to the shortlist of options despite being favoured by the relevant NIFTI Hierarchy, what is the clear and evidence-based explanation for this?*
* *When options for analysis comprises of a package of measures derived from the longlist, does the package include measures that addresses different aspects of project or programme’s objectives, or which are complementary to those objectives? For example, packages can include a combination of solutions such as additional infrastructure, new transport services, behavioural nudges, and demand management interventions.*
* *Have affordability, scope and deliverability been considered in the shortlisting process?*
* *Does the shortlisting process result in a list of the most promising feasible solutions?*
* *Does the shortlisting process result in the minimum number of options being brought forward for detailed appraisal? At least one Do-Nothing/Do-Minimum option and three Do-Something options should be suggested.*
* *Are the followings considered to establish a Do-Nothing or Do-Minimum option?*
	+ *Does the Do-Nothing or Do-Minimum option establish a baseline against which the various Do-Something options can be assessed and inform policymakers about the likely outcomes of not pursuing a given scheme?*
	+ *Does the baseline option represent a realistic outcome of not proceeding with the scheme? For example, if not proceeding would lead to unacceptable safety issues, it is realistic to assume a Do-Minimum option (instead of a Do-Nothing option) whereby safety standards are maintained.*
	+ *Are existing services or protection and renewal of infrastructure assumed to remain constant going forward once adjusted for inflation?*
	+ *Does the Do-Minimum option include other schemes that are planned but not fully committed? Do-Minimum options typically only include investments that have already been pre-committed and does not include other schemes which are planned but not fully committed.*
	+ *Do the Do-Something options include all those solutions involving interventions which may lead to the set SMART objectives being met?*
	+ *Variations of one solution may count as separate Do-Something options, e.g., a road-based solution may have three separate routes which count as three separate options.*
* *If the minimum number of options is not brought forward for detailed appraisal, what are the reasons for this? The Sponsoring Agency must clearly outline in the longlist appraisal why this is the case.*
* *Is a Do-Nothing option acceptable from a public policy perspective? In case the Do-Nothing option would lead to adverse outcomes that are unacceptable such as allowing unsafe conditions to prevail, the more realistic counterfactual to consider is that of the Do-Minimum option.*

# Detailed Appraisal of Shortlisted Options

TAF Reference Module 4 – 4.10

Please replace the below with the information about your own project

*< Appraisal thresholds >*

* *Does the suggested detailed appraisal process meet requirement in terms of the estimated cost of the shortlisted options identified for the project or programme?*
	+ *If one or more of the shortlisted options is valued at* ***€30m or greater****, all shortlisted options must undergo* [***a Transport and Accessibility Appraisal (TAA)***](https://assets.gov.ie/260312/211d704f-7e1c-49a7-bf2b-2d0d6c6b4f5f.xlsx) *with* ***a Cost Effectiveness Analysis (CEA)*** *and* ***Cost Benefit Analysis (CBA)****. Please include the completed TAA form and any other completed analysis as an appendix to this PBC.*
	+ *Where* ***none of the shortlisted options has an estimated cost equal to or greater than €30m****,* ***a detailed Multi-Criteria Analysis (MCA)*** *based on the criteria of Module 7.*
	+ *However, on projects where a robust monetisation of project benefits is not feasible or where required intervention is known, a detailed Cost Effectiveness Analysis (CEA) may be the most appropriate form of detailed economic analysis. The potential use of a CEA for this purpose should be raised in the Appraisal Plan section of the POD.*
* *Requirements for Economic and Financial Appraisals by Project Band in NTA Project Approval Guidelines*
	+ *It is expected that all projects must prepare economic and financial appraisals for the Preliminary Business Case. Considering the principle of proportionality, projects in Band 1 may display simple appraisals while projects in greater Bands are expected to have greater details of information.*
	+ *Band 3 is split into two categories in the table at €30 million to align with the economic appraisal threshold in the TAF.*

|  |  |  |
| --- | --- | --- |
|  | Economic Appraisal Requirements(TAF Module 2 - 2.4.3 and 2.4.4) | Financial Appraisal Requirements(TAF Module 7 – 7.7) |
| Band 1(€0 - €5M) | A detailed Multi-Criteria Analysis (MCA) as primary tool | A Simplified Cash Flow analysis following guidance in the Public Spending Code |
| Band 2(€5M - €20M) | A Simplified Cash Flow analysis following guidance in the Public Spending Code (Cost below €1m) |
| A Discounted Cash Flow (DCF) analysis related to the Sponsoring Agency and an Exchequer Cash Flow (ECF) analysis related to the central Exchequer (if applicable) |
| Band 3(€20M - €30M) | A Discounted Cash Flow (DCF) analysis related to the Sponsoring Agency and an Exchequer Cash Flow (ECF) analysis related to the central Exchequer (if applicable) |
| Band 3( > €30M) | Transport and Accessibility Appraisal (TAA), High-level of Cost Effectiveness Analysis (CEA) and Cost Benefit Analysis (CBA)  | A Discounted Cash Flow (DCF) analysis related to the Sponsoring Agency and an Exchequer Cash Flow (ECF) analysis related to the central Exchequer (if applicable) |

*< Details which need to be elaborated prior to conducting the detailed appraisal >*

* *Are details on the several critical inputs, such as a high-level design of each shortlisted option, revised cost estimates for each option, and a review of potential demand for and use of each option, provided?*
* *Are the following aspects of option design or specification considered prior to the detailed appraisal stage?*
	+ *The proposed route of an option,*
	+ *The number of structures required, e.g., overpasses,*
	+ *Potential land requirements,*
	+ *Any substantial engineering works required, e.g., stabilisation of embankment,*
	+ *Remedial works to offset negative impacts such as noise pollution, and*
	+ *The level of operational assets required, e.g., number of buses.*

*< Risk analysis >*

* *Is the risk analysis performed on the basis of the guidance provided in TAF Module 7?*
* *Does the risk analysis consider both the known and unknown risks that may arise during the construction of any infrastructure, e.g., discovering an archaeological site, as well as risks associated if the option was to be implemented, i.e., operational risks such as susceptibility to flooding?*
* *Are potential issues identified from the risk analysis incorporated into the high-level cost contingencies?*
* *Is a summary of the results of risk analysis for each of the shortlisted options included?*

*< Cost estimates >*

* *Are cost estimates for the shortlisted options prepared in accordance with the guidance set out in TAF Module 7 and methods such as those highlighted in Box 4.2 of TAF Module 4?*
* *Are all assumptions relating to how an option has been costed outlined in the business case?*
* *Are the cost estimates reasonably robust in order to carry out a detailed economic appraisal, particularly a detailed economic appraisal in the form of a CBA is required?*

*< Demand analysis >*

* *Is the demand analysis prepared prior to the shortlisting process still robust? If required, the demand analysis should be revisited and revised to ensure it is robust. This is particularly important where a CBA is used to appraise the different options.*

*< Detailed appraisal >*

* *Are the detailed appraisal approaches applied as set out in the appraisal threshold, i.e., MCA for schemes where no option is estimated to cost >€30m, and TAA (including CEA) plus CBA for any scheme where costs are estimated to equal or exceed €30m?*
* *Are all assumptions, economic parameters, and evidence used in the appraisal sufficiently documented?*
* *Is the time-horizon used appropriate?*
* *Where a programmatic approach has been taken has the appraisal been conducted so as to avoid double counting benefits where constituent projects of a programme are interdependent?*

*< Sensitivity and scenario analysis>*

* *Are sensitivity, scenario and/or switching analysis conducted for the options under examination?*
* *Are all assumptions and results arising from sensitivity, scenario and/or switching analysis outlined alongside the results for the main appraisal (also referred to as the central scenario)?*
* *Are potential impacts arising from the implementation of an option, such as disruption for a period, considered?*
* *What are the impact of scheme implementation on surrounding areas, commuters, nearby residents, and other relevant stakeholders?*

*< Presentation of results >*

* *Is a summary of the main detailed appraisal and sensitivity analysis results clearly outlined in the business case?*
* *Are appraisal results from TAA presented as set out in the TAA section of TAF Module 7?*
* *In particular, is a consolidated table presented as set out in TAF Module 7 to inform decision-makers?*
* *In the case of an economic appraisal using CBA, are key metrics such as Net Present Values (NPVs) and Benefit Cost Ratios (BCRs) presented for each option examined?*
* *In case a combination of shortlisted options may represent the best path forward in terms of addressing issues or opportunities identified, does the detailed appraisal follow the same steps for a combined option as for the other options? Are any assumptions and rationale for exploring this option outlined clearly? Is a sensitivity analysis also conducted for this option?*

# Climate and Environmental Performance

Infrastructure Guidelines: A Guide to the Strategic Assessment and Preliminary Business Case – 1.8

Please replace the below with the information about your own project.

* *Is the project/programme assessed from a climate perspective?*
* *Has the impact on greenhouse gas emissions and the resilience of the project/programme to impacts of climate change as well as other relevant information been included?*
* *Have climate related risks been discussed within the chapter?*
* *How is climate and environmental performance information presented? Information can be presented qualitatively where it is not feasible to quantify the impact.*
* *If a programmatic approach is taken, has the information on environmental mitigation and climate impacts been presented for constituent projects as well as the programme as a whole.*

# Financial Appraisal and Affordability Assessment

TAF Reference Module 4 – 4.11

Please replace the below with the information about your own project

* *Is a financial appraisal conducted for all shortlisted options irrespective of estimated cost as required by the IGs and TAF?*
* *Is the financial appraisal conducted based on detailed guidance provided in TAF Module 7?*
* *Are cost estimates used in the financial appraisal accurate?*
* *Are key results of the financial appraisal (e.g., Financial Net Present Value) clearly outlined alongside a general assessment of the affordability of the scheme in the context of available resources? In the case of Exchequer funded schemes, the affordability should be assessed in light of the available Medium Term Capital Envelopes and existing commitments.*
* *Are all taken assumptions clearly outlined in the business case when performing the financial appraisal?*

# Risk and Uncertainty

TAF Reference Module 4 – 4.12

Please replace the below with the information about your own project

* *What are the risks of adverse conditions and the potential uncertainty associated with each option?*
* *What are the risk minimisation strategies?*
* *What steps will be taken to manage risk and uncertainty as part of both the economic and financial appraisal process?*
* *Are following key steps taken to identify risks and uncertainties?*
	+ *Ensuring the data and assumptions underlying the estimation of costs and benefits are reliable and realistic;*
	+ *Developing the identification of risks, e.g., examining each variable to assess the likelihood of the risk materialising;*
	+ *Using risk assessment techniques to assess the level of risk and the impact of risk on project performance;*
	+ *Devising a risk management strategy; and*
	+ *Communicating the risk management strategy to relevant stakeholders*
* *Where a programmatic approach is taken has risk been assessed for constituent projects individually?*
* *Is an ‘outside view’ of proposals sought to anticipate risks and uncertainties which may arise? This will be most useful if informed by experience with a selection of similar projects already completed.*

# NIFTI Assessment of the Preferred Option

TAF Reference Module 4 – 4.13

Please replace the below with the information about your own project

* *Can the Sponsoring Agency demonstrate a proposal’s alignment with one or more of the priorities?*
* *What are potential positive or negative impacts in relation to all NIFTI Investment Priorities? For example, scheme which has the objective of decreasing journey times between two urban centres may lead to an adverse impact on the Decarbonisation priority by providing upgrades to the national road network which may increase patterns of car dependency.*
* *Are mitigation measures set out to reduce the negative impacts? For example, if the reallocation of road space to a public transport or active travel intervention could have a negative impact on rural and regional connectivity for private car users, this could be offset through the provision of an increase in local public transport services.*
* *Where mitigation has been supplied, can the negative impact score initially assigned to an option in relation to an Investment Policy be reduced?*
* *Is* [*the NIFTI Assessment table*](https://assets.gov.ie/260311/e90ac229-e2e6-4252-991e-88529e88d9d7.xlsx) *(set out in Appendix A of the TAF) completed? Please include it as an appendix to this PBC. Are narrative text and indicative scoring performed on the preferred option?*

# Plan for Procurement, Implementation and Operation

TAF Reference Module 4 – 4.15

Please replace the below with the information about your own project

* *Are the following aspects considered briefly and outlined in the business case?*
	+ *Procurement options available – is this drawn upon existing data, knowledge of procurement practices for schemes of the type in question, and relevant analysis that has already been carried out during the project lifecycle, e.g., lessons learned from similar previous schemes?*
	+ *Implementation timescales – has this been already considered as part of the time horizons put together for the detailed economic and financial appraisals?*
	+ *Delivery capacity – does the Sponsoring Agency or industry have sufficient capacity to deliver an option in terms of resources and expertise? Is this built upon the analysis conducted earlier in the project lifecycle?*
	+ *Project governance – How is the potential delivery and operation of an option likely to be managed going forward? What are the various roles and responsibilities of the various key stakeholders in the proposal?*
	+ *Contract management – what are the arrangements for the management of potential contracts?*
* *What are high-level options for implementation (including governance structures) and operation for shortlisted options?*
* *This is an important consideration as options with good results from the detailed appraisal may also prove to be more difficult to implement or operate than options with slightly less preferable appraisal metrics.*

# Key Performance Indicators and Plan for Monitoring and Evaluation

TAF Reference Module 4 – 4.15-4.16

Please replace the below with the information about your own project

* *What are the key performance indicators (KPIs) by which the impact of the proposal will be measured against the stated objectives? It is strongly recommended that a Logic Path Model (LPM) be used to help determine the possible KPIs of an intervention. Please refer to Box 1.1 of the IGs for more detailed guidance.*
* *Do KPIs reflect quantitative targets which are set out in the SMART objectives?*
* *In relation to the scheme objectives (3. Project/Programme Objectives) and KPIs (13. Key Performance Indicators), how will a proposal’s performance be monitored and evaluated?*
* *What are the lessons from the results of the Logic Path Model and/or examining the evaluation techniques used for similar schemes that have been completed?*
* *How will the necessary data for assessment be collected or sourced?*
* *Where applicable how will the plan consider programme level monitoring as well as the monitoring of constituent projects?*

# Preferred Option and Recommendation to the Approving Authority

TAF Reference Module 4 – 4.17

Please replace the below with the information about your own project

* *What is the preferred option to recommend to the Approving Authority? In some cases, where there is no option that clearly provides positive impacts, the Do-Nothing option must be considered regardless of any costs of sunk to date in the project.*
* *Is the preferred option selected considering the following aspects?*
	+ *The project objectives*
	+ *Quantitative and qualitative appraisal results of the MCA, CBA and/or TAA*
	+ *Risks and sensitivity analysis*
	+ *The financial analysis*
	+ *Procurement and implementation*
* *What are the reasons for choosing the preferred option and how can this be supported by the analysis undertaken in the business case?*
* *If the preferred option is not the proposal with the highest economic appraisal indicator such as NPV and BCR, what are the specific reasons for disagreeing with the quantitative analysis?*
* *How the preferred option will address issues or opportunities identified in the project or programme rationale and efficiently and effectively achieve the primary objectives?*
* *What are the key risks and challenges in delivering the option?*

# Appendices

Completed NIFTI, TAA forms and any other relevant documents from Phase 3 of the NTA Project Approval Guidelines to be attached here.