
Public Spending Code

Quality
Assurance
Report for 2018


Dún Laoghaire-
Rathdown
County Council

Certification

This Annual Quality Assurance Report reflects Dún Laoghaire-Rathdown County Council's assessment of compliance with the Public Spending Code. It is based on the best financial, organisational and performance related information available across the various areas of responsibility.

Signature of Accounting Officer:

Date:



31/05/2019.

Philomena Poole

Chief Executive

Dún Laoghaire-Rathdown County Council

Contents

Introduction	3
Step 1 - Project Inventory	4
Step 2 - Procurements in excess of €10million	5
Step 3 - PSC Checklists	6
Step 4 - In-Depth Check	7
Conclusion	9
Appendix A - Project Inventory	10
Appendix B – Checklists	13
Appendix C – In-Depth Review Report	25

Introduction

Dún Laoghaire-Rathdown County Council (dlr) has completed this Quality Assurance (QA) Report as part of its on-going compliance with the Public Spending Code (PSC).

The Quality Assurance procedure aims to gauge the extent to which dlr meets the obligations set out in the PSC and contains five steps;

Step 1

Draw up Project Inventory of all projects/programmes at the different stages of the Project Life Cycle. The 3 stages of the Life Cycle are expenditure being considered, expenditure being incurred and expenditure that has recently ended. The Project Inventory includes all projects/programmes above €0.5m.

Step 2

Publish summary information on website of all procurements in excess of €10m, whether new, in progress or completed.

Step 3

Complete the 7 checklists contained in the PSC.

Step 4

Carry out a more in-depth check on a small number of selected projects/programmes. The value of projects/programmes subject to the in-depth check should be a minimum of 5% of total value of all Capital Projects on the Project Inventory and for Revenue Projects a minimum of 1% of the total value of all Revenue Projects on the Project Inventory.

Step 5

Complete Summary Report for the National Oversight and Audit Commission (NOAC) of the above 4 steps and include a note of how any inadequacies identified in the QA process will be addressed.

This report fulfils the fifth requirement of the QA Process for dlr in respect of 2018.

Step 1 - Project Inventory

This section details the Project Inventory drawn up by dlr in accordance with the guidance on the Quality Assurance process.

This inventory is divided between current and capital projects/programmes and between three stages:

- Expenditure being considered
- Expenditure being incurred
- Expenditure that has recently ended

Capital projects with total project cost of greater than €0.5m are included and are categorised depending on the stage of the project – if expenditure was incurred on the project in 2018 it is included under expenditure being incurred.

Increases of greater than €0.5m in budgeted revenue expenditure programmes are shown in expenditure being considered while programmes with revenue expenditure of greater than €0.5m in 2018 are listed under expenditure being incurred. It should be noted that revenue expenditure in many instances includes wages and salaries.

The Inventory lists a total of 140 projects across the 3 stages and cost categories with a total value of €776.69 million.

Summary Table of 2018 Inventory – Included in Appendix A.

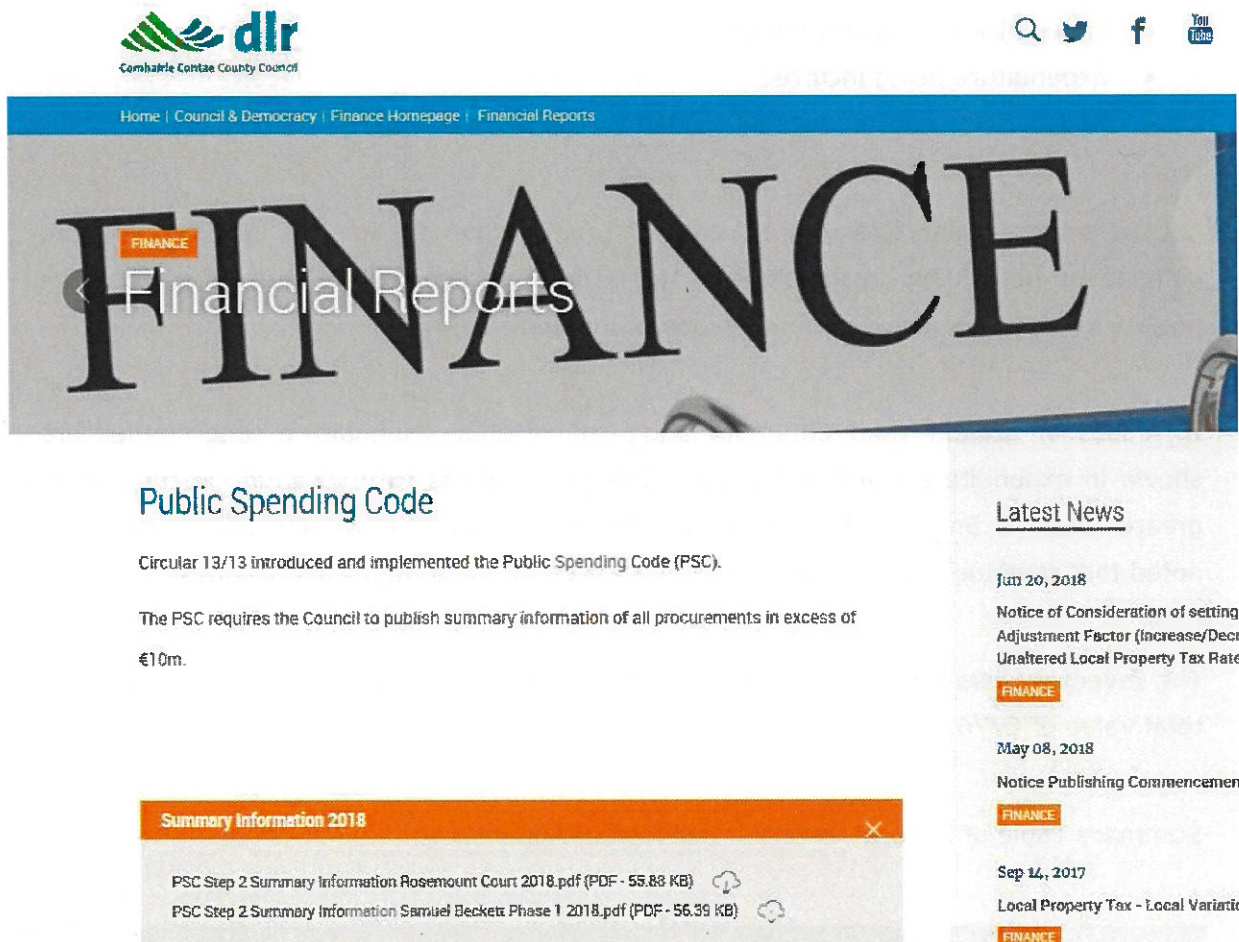
	Revenue Projects		Capital Projects		Total Value of Inventory
Project Expenditure	Number	Value	Number	Value	Value
Being Considered	8	€9.71m	52	€418.57m	€428.28m
Being Incurred	46	€179.80m	23	€105.20m	€285.00m
Recently Ended	0	€0.00m	18	€63.41m	€63.41m
Totals		€189.51m		€587.18m	€776.69m

Step 2 - Procurements in excess of € 10million

As part of the Quality Assurance process dlr has published summary information on its website of the 2 procurements that were greater than €10m.

Listed below is the link to this page and an illustration of its location.

<http://www.dlrcoco.ie/en/council-democracy/finance/financial-reports>



The screenshot shows the website header for dlr (Dublin Local Retailers) with the logo and navigation links. The main content area features a large 'FINANCE' banner with 'Financial Reports' overlaid. Below this, the 'Public Spending Code' section is visible, containing text about Circular 13/13 and the requirements for publishing summary information for procurements over €10m. A 'Summary Information 2018' section lists two PDF documents: 'PSC Step 2 Summary Information Rosemount Court 2018.pdf (PDF - 55.88 KB)' and 'PSC Step 2 Summary Information Samuel Beckett Phase 1 2018.pdf (PDF - 56.39 KB)'. On the right, a 'Latest News' sidebar lists three news items with dates: 'Jun 20, 2018' (Notice of Consideration of setting Adjustment Factor), 'May 08, 2018' (Notice Publishing Commencemen), and 'Sep 14, 2017' (Local Property Tax - Local Variatic).

Step 3 - PSC Checklists

The third step in the QA process involves completing a set of checklists covering all expenditure. The high level checks in Step 3 of the QA process are based on self-assessment by the Council and its agencies/bodies, in respect of guidelines set out in the PSC.

There are seven checklists in total;

- Checklist 1: General Obligations Not Specific to Individual Projects/Programmes
- Checklist 2: Capital Projects or Capital Grant Schemes Being Considered
- Checklist 3: Current Expenditure Being Considered
- Checklist 4: Capital Expenditure Being Incurred
- Checklist 5: Current Expenditure Being Incurred
- Checklist 6: Capital Expenditure Completed
- Checklist 7: Current Expenditure Completed

A full set of checklists 1-7 was completed by dlr and can be found in Appendix B.

Step 4 - In-Depth Check

dlr's Internal Audit Unit carried out an in-depth check of three projects from the Project Inventory with a combined project budget of €20.92 million.

From the projects recently ended, two housing projects were selected, Rosemount Court and Georges Place.

From the projects current expenditure, Street Cleaning (E06) on the Revenue project inventory was selected.

The following presents a summary of the findings of these In-Depth Checks.

Rosemount Court

Internal Audit examined the controls in place for Rosemount Court Housing Scheme and can give reasonable assurance that there is compliance with the PSC.

A post project review is planned but has yet to be completed owing to the recent completion of this project.

Internal Audit recommend that dlr consider the following recommendations:

- Formalised appraisals and progress reports should fully comply with the PSC.
- That the electronic filing system currently in place in Housing Construction be used to its full potential i.e. ensure that copies of all key documentation be filed correctly.

Having reviewed the documentation in relation to the expenditure incurred under this programme in 2018, Internal Audit is of the opinion that this programme complies with the standards set out in the PSC.

Given the outcome of this review, it is the opinion of Internal Audit that there is overall substantial assurance there is compliance with the PSC within dlr.

George's Place

An examination of the controls in place for the George's Place project, give reasonable assurance that there is compliance with the PSC.

Regular monitoring and appraisal of the project is evident through the minutes of the monthly Construction meetings attended by the Housing Construction section and the Architects Department. A post project appraisal has yet to be completed, owing to the recent completion of the project.

Not all the key documentation relating to the project is held by the Housing Department and consideration should be given to the documentation for all aspects of the project being held in a central location by the Housing Department. The electronic filing system in operation there is effective and could be utilised to achieve this.

Having reviewed the documentation in relation to the expenditure incurred under this programme in 2018, Internal Audit is of the opinion that this programme complies with the standards set out in the PSC.

Given the outcome of this review, it is the opinion of Internal Audit that there is overall substantial assurance that there is compliance with the PSC within dlr.

Street Cleaning (E06) Revenue project inventory

It is the responsibility of each Local Authority 'to ensure that each public road in its functional area is, so far as practicable, kept free from litter' in accordance with the Litter Pollution Act, 1997 Section 111 (7). dlr's Corporate Plan 2015-2019 refers to the provision and maintenance of a high quality public realm and the use of digital data from their solar compactor bins - Corporate Goals 15.3 and 15.4.

Street Cleaning (E06) is managed and monitored to a high standard, ensuring the successful implementation of Corporate Goals 15.3 and 15.4. The programme is on-going, processes are under constant review and improvements are considered and implemented.

Internal Audit recommends that any staff involved in procurement processes receive the necessary training to ensure that procurement standards and processes are fully adhered to.

Having reviewed the documentation in relation to the expenditure incurred under this programme in 2018, Internal Audit is of the opinion that this programme complies with the standards set out in the PSC.

Given the outcome of this review, it is the opinion of Internal Audit that there is overall reasonable assurance that there is compliance with the PSC within dlr.

Conclusion

The inventory outlined in this report clearly lists the current and capital expenditure that is being considered, being incurred, and that has recently ended.

dlr has published details of all procurements in excess of €10 million on its website.

The checklists completed by dlr shows an adequate level of compliance with the PSC.

The in-depth checks carried out by Internal Audit revealed no major issues which would cast doubt on this Council's compliance with the Code and showed an overall level of compliance with the PSC. All recommendations arising from the in-depth check were accepted and will be implemented.

The compilation of both the inventory and checklists for the QA process was a significant co-ordination task in terms of liaising with various sections, Departments and Directors.

This process of engagement has meant progress has been made in incorporating the PSC and its requirements, and ensuring a consistent level of compliance, into all relevant activities throughout dlr and among the relevant staff.

The Capital Dashboard System continues to be used to centralise and streamline all areas of monitoring and reporting in respect of its capital projects onto a single system. This system contains a suite of PSC requirements, forms and checklists.

A Corporate Project Governance Board was established during 2018 to provide a governance framework for capital projects in dlr. It has done considerable work at approval, monitoring and funding stages of projects and post project reviews are now an important focus of this board.

While dlr has complied with the requirements of the PSC in respect of 2018, any areas of improvement identified in this report will be incorporated to enhance its reporting and ensure high levels of compliance with the PSC in the future.

Appendix A

Dún Laoghaire-Rathdown County Council	Expenditure being considered			Expenditure being incurred		Expenditure recently ended	
	Current	Capital Grant Schemes	Capital Projects	Current Expenditure	Capital Grant Schemes	Capital Projects	Capital Projects
	> €0.5m	> €0.5m	€0.5 - €5m / €5 - €20m / €20m plus	> €0.5m	> €0.5m	> €0.5m	> €0.5m
Housing & Building							
Part V - Financial Contributions							€668,727
Ballyogan Court							€3,160,000
Rochestown House - Phase 3			€21,000,000				
Site at Shangnagh Castle, Shangnagh Road			€132,000,000				€1,242,989
Acquisitions of Properties for Social Housing							€870,000
Pottery Road							€2,150,000
The Brambles Park Close, Glenageary							€3,514,082
Georges Place							€11,922,499
Rosemount Court							
Broadford Rise, Ballinteer						€5,680,000	
Rockville Drive, Glenamuck Road		€3,260,000					
Fitzgerald Park			€21,000,000				
Housing Development at St. Laurence Park							
Acquisition at Duneedin Terrace, Monkstown						€10,000,000	
Park House, Georges Street, Dun Laoghaire		€1,230,000					€5,680,934
Temple Road							
CAS Acquisition - acquisition of 6 Apartment in Sandycroft							
CAS Acquisition - acquisition in Dun Laoghaire							
Part V - Bird Avenue							
A01. Maintenance & Improvement of LA Housing Units	€646,700						
A02 Housing Assessment, Allocation and Transfer							
A03 Housing Rent and Tenant Purchase Administration							
A04 Housing Community Development Support							
A05 Administration of Homeless Service	€921,800						
A06 Support to Housing Capital Prog.	€606,200						
A07 RAS and Leasing Programme							
A08 Housing Loans							
A09 Housing Grants							
Road Transportation and Safety							
Traffic Improvement Scheme - N11 Cycle Quality of Service Improvements						€1,592,300	€8,250,000
Leopardstown Link Road							
M50 Junction 14 Link Road						€7,800,000	
N11 Johnstown Road Junction Improvements						€3,000,000	
Traffic Improvement Scheme - Wyattville Road Improvements						€3,252,666	
Road and Footpath Improvement						€1,998,000	
Shanganagh Road Improvement Scheme						€531,000	
Stillorgan Village Framework Management Plan						€3,500,000	€750,000
Foxrock Village Car Park							
Monkstown Village Public Realm & TIS						€2,380,000	
Accident Investigation Prevention - Cross Avenue Dun Laoghaire and Environs						€506,700	
Glenamuck Distributor Road / Kilterman by pass			€70,000,000				
Blackglenn Road Improvement Scheme			€22,734,000				
Kilterman / Glenamuck LAP associated works (exclusive of S49 scheme)		€5,000,000					
Bracken Link Road			€6,100,000				
Traffic management / sustainable travel (Sandycroft UFP)		€3,600,000					
DMURS Minor Junctions etc.		€750,000					€1,050,000
Deepwell, Blackrock Pedestrian / Cycle Link		€3,000,000					
Greenways future projects		€4,700,000					
LHAF - Clay Farm		€4,160,000					
LHAF - Woodbrook / Shanganagh		€11,686,700					
LHAF - Cherrywood							
Traffic Road Safety Improvement Schemes (Dev Levis)		€5,000,000					
B01 NP Road - Maintenance and Improvement						€921,561	

Appendix A

Dún Laoghaire-Rathdown County Council	Expenditure being considered				Expenditure being incurred		Expenditure recently ended	
	Current	Capital Grant Schemes	Capital Projects		Current Expenditure	Capital Grant Schemes	Current Expenditure	Capital Grant Schemes
	> €0.5m	> €0.5m	€0.5 - €5m	€5 - €20m	€20m plus	> €0.5m	> €0.5m	> €0.5m
B03 Regional Road - Maintenance and Improvement								
B04 Local Road - Maintenance and Improvement	€851,000							
B05 Public Lighting								
B06 Traffic Management Improvement								
B08 Road Safety Promotion & Education								
B09 Car Parking								
B10 Support to Roads Capital Prog								
Water Services								
Cabinteely Park Flood Storage			€570,000					
Flood Alleviation - Surface Water Upgrade - Sandyford Park Flood Storage			€940,000					
Flood Alleviation - Surface Water Upgrade - Priorsland Flood Risk Study			€650,000					
Flood Alleviation - Glenavon Park Flood Storage			€1,140,000					
Flood Alleviation - Kilbogget Park Online Attenuation			€890,000					
Flood Alleviation Dundrum Slang - Hydraulic Modelling Project			€528,000					
C01 Water Supply								
C02 Waste Water Treatment								
C08 Local Authority Water and Sanitary Services								
Development Management								
Cherrywood - N11 Junction & Druids Glen Road O-P3					€37,241,500			€3,500,000
Cherrywood - Kiltiernan Link Road			€800,000					
Shankill to Cherrywood Greenway								
Cherrywood SDZ Infrastructure *			€500,000					
Park House (near Peoples Park)								
D01 Forward Planning								
D02 Development Management	€887,700							
D03 Enforcement								
D06 Community and Enterprise Function								
D08 Building Control								
D09 Economic Development and Promotion								
D10 Property Management								
Environmental Services								
Deansgrange Cemetery Projects			€500,000					
Shangnagh Crematorium					€5,750,000			
E01 Landfill Operation and Aftercare								
E02 Recovery & Recycling Facilities Operations								
E03 Waste to Energy Facilities Operations								
E04 Provision of Waste Collection Services								
E05 Litter Management								
E06 Street Cleaning								
E07 Waste Regulations, Monitoring and Enforcement								
E08 Waste Management Planning								
E09 Maintenance of Burial Grounds								
E10 Safety of Structures and Places								
E11 Operation of Fire Service	€607,000							
Recreation and Amenity								
Stonebridge road: Car park, paths and changing rooms								€750,000
Marlay Park Courtyard Phase II								€2,497,000
Fernhill Masterplan (Parkland and Sports) Phase 1								€2,008,000
Pavement Improvement Programme								€1,000,000
Hudson Road Park								€714,000
Marlay Park Masterplan								
County wide grass & all weather pitches			€2,500,000					€5,000,000

Appendix A

Dún Laoghaire-Rathdown County Council	Expenditure being considered			Expenditure being incurred			Expenditure recently ended		
	Current > €0.5m	Capital Grant Schemes > €0.5m	Capital Projects	Current Expenditure	Capital Grant Schemes > €0.5m	Capital Projects	Current Expenditure	Capital Grant Schemes > €0.5m	Capital Projects
	€0.5 - €5m	€5 - €20m	€20m plus						
Springhill Park Tennis Pavilion						€650,000			€550,000
Sallynoggin Senior Centre									€15,370,000
Samuel Beckett Civic Campus Phase 1									
Samuel Beckett Civic Campus Phase 2									
Dun Laoghaire Baths Refurb			€7,000,000						
Sandyford urban open space									
Shanganagh Castle Preliminary Works									
Blackrock Park Upgrade - Phase 2		€1,750,000							€37,100,000
Cabinteely Park Masterplan		€2,000,000							€10,200,000
Dalkey Island (Upgrade Tower and Gun Battery)		€500,000							€500,000
DLR Carnegie Library		€1,565,000							
Dundrum Carnegie Library		€500,000							
Fernhill Masterplan Phase 2		€5,000,000							
Glenabryn Pool		€10,000,000							
Jamestown Park Masterplan		€1,000,000							
Kilbogget Park Sports Building		€500,000							
Marlay Golf Redevelopment		€500,000							
Marlay Park Running Track		€1,160,000							
People's Park Boundary and Depot		€500,000							
Shanganagh Park Master Plan		€2,000,000							
Sports Strategy Projects		€2,000,000	€6,000,000						
Stillorgan Library									
Shanganagh Castle (Community)		€500,000							
F02 Operation of Library and Archival Service				€9,534,830					
F03 Outdoor Leisure Areas Operations	€1,047,200			€12,815,292					
F04 Community Sport and Recreational Development				€3,200,741					
F05 Operation of Arts Programme				€4,831,888					
F06 Agency & Recoupable Services				€1,404,691					
Agriculture, Education, Health and Welfare									
Bray Landfill Coastal Defence				€2,076,000					
Corbawn Coastal Protection Works				€928,000					
G02 Operation and Maintenance of Piers and Harbours	€4,148,000								
Miscellaneous Services									
Customer Service Centre and New Council Chamber									€4,143,000
Public Realm - Architects Metals Phase 2				€1,000,000					€600,000
Public Realm - Central Dun Laoghaire				€760,000					
Public Realm - Stillorgan Village				€2,500,000					
Public Realm - Village Improvement				€1,600,000					
Public Realm - Blackrock/Main Street and Blackrock Baths							€5,199,268		
H03 Administration of Rates							€2,337,188		
H09 Local Representation & Civic Leadership							€4,079,273		
H11 Agency & Recoupable Services									
Summary Totals	€9,715,600	€0	€68,057,000	€46,536,700	€303,975,500	€105,201,666	€0	€0	€63,413,057

* It is intended that the delivery of the Cherrywood SDZ Infrastructure will be primarily carried out by the developers / landowners.

Appendix B

Checklist 1 – To be completed in respect of general obligations not specific to individual projects/programmes

General Obligations not specific to individual projects/programmes	Self-Assessed Compliance Rating: 1 - 3	Discussion/Action Required
1.1 Does the local authority ensure, on an on-going basis, that appropriate people within the authority and its agencies are aware of the requirements of the PSC (incl. through training)?	3	The requirements of the PSC were brought to the attention of the relevant staff in 2018.
1.2 Has training on the PSC been provided to relevant staff within the authority?	2	Some internal training has been carried out and further training is planned
1.3 Has the PSC been adapted for the type of project/programme that your local authority is responsible for? I.e., have adapted sectoral guidelines been developed?	3	A specific Guidance Note was developed for the Local Government Sector in relation to the QA process. New structures being put in place to help adapt guidelines for dlr.
1.4 Has the local authority in its role as Sanctioning Authority satisfied itself that agencies that it funds comply with the PSC?	N/A	As dlr not a Sanctioning Authority
1.5 Have recommendations from previous QA reports (incl. spot checks) been disseminated, where appropriate, within the local authority and to agencies?	2	Relevant departments take cognisance of recommendations in these reports
1.6 Have recommendations from previous QA reports been acted upon?	2	Relevant departments take cognisance of recommendations in these reports
1.7 Has an annual PSC QA report been certified by the local authority's Chief Executive, submitted to NOAC and published on the authority's website?	3	Yes
1.8 Was the required sample of projects/programmes subjected to in-depth checking as per step 4 of the QAP?	3	Yes – in depth review carried out

Appendix B

Checklist 1

General Obligations not specific to individual projects/programmes	Self-Assessed Compliance Rating: 1 - 3	Discussion/Action Required
<p>1.9 Is there a process in place to plan for ex post evaluations/Post Project Reviews?</p> <p>Ex-post evaluation is conducted after a certain period has passed since the completion of a target project with emphasis on the effectiveness and sustainability of the project.</p>	2	<p>Informal processes have always been in place. Staff departures and retirements have impacted on dlr's capacity and ability to carry out formal reviews. New staff have been recruited so it is anticipated it will be possible to put a system of formal reviews in place during 2019</p>
<p>1.10 How many formal Post Project Review evaluations have been completed in the year under review? Have they been issued promptly to the relevant stakeholders / published in a timely manner?</p>	2	<p>Informal processes have always been in place. Staff departures and retirements have impacted on dlr's capacity and ability to carry out formal reviews. New staff have been recruited so it is anticipated it will be possible to put a system of formal reviews in place during 2019.</p>
<p>1.11 Is there a process to follow up on the recommendations of previous evaluations/Post project reviews?</p>	1	<p>A Corporate Project Governance Board has been established to provide a governance framework for capital projects in dlr. It has done considerable work at approval, monitoring and funding stages of projects and post project reviews are now an important focus of this board.</p>
<p>1.12 How have the recommendations of previous evaluations / post project reviews informed resource allocation decisions?</p>	2	<p>Relevant departments take cognisance of recommendations in these reports.</p>

The scoring mechanism for the above tables is set out below:

- I. Scope for significant improvements = a score of 1
- II. Compliant but with some improvement necessary = a score of 2
- III. Broadly compliant = a score of 3

Appendix B

Checklist 2 – To be completed in respect of capital projects/programmes & capital grant schemes that were under consideration in the past year

Capital Expenditure being Considered – Appraisal and Approval	Self-Assessed Compliance Rating: 1 - 3	Comment/Action Required
2.1 Was a preliminary appraisal undertaken for all projects > €5m?	3	Needs Assessments and Business Cases used when making Preliminary Appraisal of projects.
2.2 Was an appropriate appraisal method used in respect of capital projects or capital programmes/grant schemes?	2	Yes
2.3 Was a CBA/CEA completed for all projects exceeding €20m?	2	
2.4 Was the appraisal process commenced at an early stage to facilitate decision making? (i.e. prior to the decision)	2	
2.5 Was an Approval in Principle granted by the Sanctioning Authority for all projects before they entered the planning and design phase (e.g. procurement)?	3	Yes as required
2.6 If a CBA/CEA was required was it submitted to the relevant Department for their views?	2	Yes as required
2.7 Were the NDFA consulted for projects costing more than €20m?	2	
2.8 Were all projects that went forward for tender in line with the Approval in Principle and, if not, was the detailed appraisal revisited and a fresh Approval in Principle granted?	3	
2.9 Was approval granted to proceed to tender?	3	
2.10 Were procurement rules complied with?	3	
2.11 Were State Aid rules checked for all supports?	2	

Appendix B

Checklist 2

Capital Expenditure being Considered - Appraisal and Approval	Self-Assessed Compliance Rating: 1 - 3	Comment/Action Required
2.12 Were the tenders received in line with the Approval in Principle in terms of cost and what is expected to be delivered?	3	
2.13 Were performance indicators specified for each project/programme that will allow for a robust evaluation at a later date?	2	
2.14 Have steps been put in place to gather performance indicator data?	2	

The scoring mechanism for the above tables is set out below:

- I. Scope for significant improvements = a score of 1
- II. Compliant but with some improvement necessary = a score of 2
- III. Broadly compliant = a score of 3

Appendix B

Checklist 3 – To be completed in respect of new current expenditure under consideration in the past year

Current Expenditure being Considered – Appraisal and Approval	Self-Assessed Compliance Rating: 1 - 3	Comment/Action Required
3.1 Were objectives clearly set out?	3	Expenditure considered as part of 2019 Budget process.
3.2 Are objectives measurable in quantitative terms?	3	Yes
3.3 Was a business case, incorporating financial and economic appraisal, prepared for new current expenditure?	2	Yes, a robust process is in place to consider any additional expenditure before it is approved.
3.4 Was an appropriate appraisal method used?	2	Yes, a robust process is in place to consider any additional expenditure before it is approved.
3.5 Was an economic appraisal completed for all projects exceeding €20m or an annual spend of €5m over 4 years?	N/A	
3.6 Did the business case include a section on piloting?	N/A	
3.7 Were pilots undertaken for new current spending proposals involving total expenditure of at least €20m over the proposed duration of the programme and a minimum annual expenditure of €5m?	N/A	
3.8 Have the methodology and data collection requirements for the pilot been agreed at the outset of the scheme?	N/A	
3.9 Was the pilot formally evaluated and submitted for approval to the relevant Department?	N/A	
3.10 Has an assessment of likely demand for the new scheme/scheme extension been estimated based on empirical evidence?	2	Yes

Appendix B

Checklist 3

Current Expenditure being Considered – Appraisal and Approval	Self-Assessed Compliance Rating: 1 - 3	Comment/Action Required
3.11 Was the required approval granted?	3	Yes. Approved by Council in accordance with the relevant statutory requirements.
3.12 Has a sunset clause (as defined in section B06, 4.2 of the PSC) been set?	N/A	
3.13 If outsourcing was involved were procurement rules complied with?	N/A	
3.14 Were performance indicators specified for each new current expenditure proposal or expansion of existing current expenditure programme which will allow for a robust evaluation at a later date?	2	Yes
3.15 Have steps been put in place to gather performance indicator data?	2	Systems are in place for gathering of data to assess effectiveness of schemes where appropriate.

The scoring mechanism for the above tables is set out below:

- I. Scope for significant improvements = a score of 1
- II. Compliant but with some improvement necessary = a score of 2
- III. Broadly compliant = a score of 3

Appendix B

Checklist 4 – To be completed in respect of capital projects/programmes & capital grants schemes incurring expenditure in the year under review

Incurring Capital Expenditure	Self-Assessed Compliance	Comment/Action Required
4.1 Was a contract signed and was it in line with the Approval in Principle?	3	Yes.
4.2 Did management boards/steering committees meet regularly as agreed?	3	Management Team held monthly meetings, Public Realm Forum and the Corporate Project Governance Board both held regular meetings.
4.3 Were programme co-ordinators appointed to co-ordinate implementation?	3	Yes.
4.4 Were project managers, responsible for delivery, appointed and were the project managers at a suitably senior level for the scale of the project?	3	Yes.
4.5 Were monitoring reports prepared regularly, showing implementation against plan, budget, timescales and quality?	3	
4.6 Did projects/programmes/grant schemes keep within their financial budget and time schedule?	2	
4.7 Did budgets have to be adjusted?	2	At times.
4.8 Were decisions on changes to budgets / time schedules made promptly?	3	In the main.
4.9 Did circumstances ever warrant questioning the viability of the project/programme/grant scheme and the business case incl. CBA/CEA? (exceeding budget, lack of progress, changes in the environment, new evidence, etc.)	N/A	Did not arise.
4.10 If circumstances did warrant questioning the viability of a project/programme/grant scheme, was the project subjected to adequate examination?	N/A	Did not arise.
4.11 If costs increased was approval received from the Sanctioning Authority?	3	Yes.

Appendix B

Checklist 4

Incurring Capital Expenditure	Self-Assessed Compliance Rating: 1 - 3	Comment/Action Required
4.12 Were any projects/programmes/grant schemes terminated because of deviations from the plan, the budget or because circumstances in the environment changed the need for the investment?	3	Did not arise.

The scoring mechanism for the above tables is set out below:

- I. Scope for significant improvements = a score of 1
- II. Compliant but with some improvement necessary = a score of 2
- III. Broadly compliant = a score of 3

Appendix B

Checklist 5 – To be completed in respect of current expenditure programmes incurring expenditure in the year under review

Incurring Current Expenditure	Self-Assessed Compliance Rating: 1 - 3	Comment/Action Required
5.1 Are there clear objectives for all areas of current expenditure?	3	Outlined in Annual Budget, Department Business plans; Annual works programmes, Service Delivery Plan, Annual Service Plan and Performance Indicators.
5.2 Are outputs well defined?	3	Agresso Financial Management System, Budget Review, Correspondence with users (CRM), Corporate Plan – Action Plan 2015 – 2019, PMDS, Annual Report, Performance Indicators Report (annual) & Annual Service Plan.
5.3 Are outputs quantified on a regular basis?	3	Targets, Goals & Objectives are established at start of each year and are monitored on an on-going and continuous basis throughout year through regular scheduled meetings and through continuous contact with relevant staff within departments.
5.4 Is there a method for monitoring efficiency on an ongoing basis?	3	Agresso Financial Management System, Stakeholder Meetings, Correspondence with users (CRM), Corporate Plan – Action Plan 2015 – 2019, PMDS, Annual Report, Performance Indicators Report (annual) & Annual Service Plan.
5.5 Are outcomes well defined?	3	Agresso Financial Management System, Budget Review, Correspondence with users (CRM), Corporate Plan – Action Plan 2015 – 2019, PMDS, Annual Report, Performance Indicators Report (annual) & Annual Service Plan.

Appendix B

Checklist 5

Incurring Current Expenditure	Self-Assessed Compliance Rating: 1 - 3	Comment/Action Required
5.6 Are outcomes quantified on a regular basis?	3	Through regular reviews of performance.
5.7 Are unit costings compiled for performance monitoring?	3	
5.8 Are other data compiled to monitor performance?	2	
5.9 Is there a method for monitoring effectiveness on an ongoing basis?	3	Structured departmental meetings are held to assess and review performance against targets/goals/objectives. Through the National Performance Indicators dlr's performance is measured against other authorities. The Council's Service Delivery Plan also specifies objectives for the Department. Reports through Customer Relationship Management System (CRM)
5.10 Has the organisation engaged in any other 'evaluation proofing' ¹ of programmes/projects?	2	dlr has an Internal Audit Unit in place

The scoring mechanism for the above tables is set out below:

- I. Scope for significant improvements = a score of 1
- II. Compliant but with some improvement necessary = a score of 2
- III. Broadly compliant = a score of 3

¹ Evaluation proofing involves checking to see if the required data is being collected so that when the time comes a programme/project can be subjected to a robust evaluation. If the data is not being collected, then a plan should be put in place to collect the appropriate indicators to allow for the completion of a robust evaluation down the line.

Appendix B

Checklist 6 – To be completed in respect of capital projects/programmes & capital grant schemes discontinued and/or evaluated during the year under review

Capital Expenditure Recently Completed	Self-Assessed Compliance Rating: 1 - 3	Comment/Action Required
6.1 How many post project reviews were completed in the year under review?	2	Informal post project reviews carried out on projects
6.2 Was a post project review completed for all projects/programmes exceeding €20m?	N/A	No projects over €20m to review
6.3 Was a post project review completed for all capital grant schemes where the scheme both (1) had an annual value in excess of €30m and (2) where scheme duration was five years or more?	N/A	No projects in this category
6.4 Aside from projects over €20m and grant schemes over €30m, was the requirement to review 5% (Value) of all other projects adhered to?	3	Yes.
6.5 If sufficient time has not elapsed to allow for a proper assessment, has a post project review been scheduled for a future date?	2	Informal post project reviews are being carried out at the end of construction projects
6.6 Were lessons learned from post-project reviews disseminated within the Sponsoring Agency and to the Sanctioning Authority? (Or other relevant bodies)	2	
6.7 Were changes made to practices in light of lessons learned from post-project reviews?	2	
6.8 Were project reviews carried out by staffing resources independent of project implementation?	2	

Appendix B

Checklist 7 – To be completed in respect of current expenditure programmes that reached the end of their planned timeframe during the year or were discontinued

Current Expenditure that (i) reached the end of its planned timeframe or (ii) was discontinued	Self-Assessed Compliance Rating: 1 - 3	Comment/Action Required
7.1 Were reviews carried out of current expenditure programmes that matured during the year or were discontinued?		No services ceased in 2018
7.2 Did those reviews reach conclusions on whether the programmes were efficient?		No services ceased in 2018
7.3 Did those reviews reach conclusions on whether the programmes were effective?		No services ceased in 2018
7.4 Have the conclusions reached been taken into account in related areas of expenditure?		No services ceased in 2018
7.5 Were any programmes discontinued following a review of a current expenditure programme?		No services ceased in 2018
7.6 Were reviews carried out by staffing resources independent of project implementation?		No services ceased in 2018
7.7 Were changes made to the organisation's practices in light of lessons learned from reviews?		No services ceased in 2018

The scoring mechanism for the above tables is set out below:

- I. Scope for significant improvements = a score of 1
- II. Compliant but with some improvement necessary = a score of 2
- III. Broadly compliant = a score of 3

Quality Assurance – In Depth Check

Section A: Introduction

This introductory section details the headline information on the programme or project in question.

Programme or Project Information	
Name	Rosemount Court Housing Scheme, Mount Carmel Avenue, Dundrum
Detail	<p>The scheme comprises of 44 units, with a large central green amenity space & two shared surface home-zone areas.</p> <p>12 no. 1 Bed, 2 person, Apartment (3 storey, unit size 55 sqm)</p> <p>4 no. 2 Bed, 4 person (2 Storey, unit size 80 sqm)</p> <p>16 no. 3 Bed, 5 person (3 Storey, unit size 102 sqm)</p> <p>12 no. 3 Bed, 6 person (3 Storey, units size 110 sqm)</p>
Responsible Body	Dún Laoghaire-Rathdown County Council
Current Status	Construction works completed – Project not officially closed
Start Date	The construction of a new development at Rosemount Court was proposed in dlr's County Development Plan 2010-2016. Project start date of 2014
End Date	Construction works Completed
Overall Cost	€11,922,493

Project Description

The need that is being addressed is weighted towards 3 bed family type units, with 1 bed apartment type units and a small number of two bed disabled units which have wheelchair access and level access showers.

The site is located close [c 0.5 km] to Dundrum Village and the new Town Centre and is served by Luas and local Dublin Bus lines. Within the immediate context there are zoned open spaces south of Mount Carmel Road and playing pitches south of the Central Mental Hospital.

It is a serviced site and the original 84 units were demolished in 2011. The site is 1ha in size. The proposed scheme comprises of 44 units, with shared surface home-zone environments, integrated surface parking and a centrally located large area of green open space. Having regard for the sites three active boundaries of existing dwelling units, the fourth boundary has been completed with a row of terraced and semi-detached type units. Two rectangular blocks of terraced and semi-detached have been centrally located within the site. This arrangement provides active frontage throughout the development and maximises passive surveillance.

The scheme comprises of 44 units, with a large central green amenity space & two shared surface home-zone areas. Of the 44 units 74% are houses and 26% are apartments yielding a net density of 50 units per hectare. Parking is provided for 104 spaces, 74 of which are new additional spaces.

The scheme consists of the following mix of units;

12 no. 1 Bed, 2 person, Apartment (3 storey, unit size 55 sqm)

4 no. 2 Bed, 4 person (2 Storey, unit size 80 sqm)

16 no. 3 Bed, 5 person (3 Storey, unit size 102 sqm)

12 no. 3 Bed, 6 person (3 Storey, units size 110 sqm)

Section B - Step 1: Logic Model Mapping

As part of this In-Depth Check, Internal audit have completed a Programme Logic Model (PLM) for the Rosemount Court Housing Scheme

Objectives	Inputs	Activities	Outputs	Outcomes
<p>The provision of 44 mixed use housing units, with a large central green amenity space & two shared surface home-zone areas. Of the 44 units 74% are houses and 26% are apartments yielding a net density of 50 units per hectare.</p> <p>The provision of 44 social housing support dwellings, contributes to the Council's aim in the provision of social housing. Parking to be provided for 104 spaces</p>	<p>Total cost €11,922,493 funded by the DHPLG</p>	<p>Part 8, Article 81 of the Planning and Development Regulations, 2001 (as amended) prepared and approved.</p>	<p>Provision of the following housing units;</p> <p>12 no. 1 Bed, 2 person, Apartment (3 storey, unit size 55 sqm)</p> <p>4 no. 2 Bed, 4 person (2 Storey, unit size 80 sqm)</p> <p>16 no. 3 Bed, 5 person (3 Storey, unit size 102 sqm)</p> <p>12 no. 3 Bed, 6 person (3 Storey, units size 110 sqm)</p>	<p>The envisaged outcome of the project was to provide social housing accordance with specific objectives as set out in the County Development Plan 2016-2022.</p> <p>No post project review had been carried out at the time of the in depth check.</p>

Description of Programme Logic Model

Objectives:

The objective of the Rosemount Court Project was to address the need for social housing units in the Dundrum area and that need being weighted towards 3 bed family type units, with 1 bed apartment type units and a small number of two bed disabled units which have wheelchair access and level access showers. This is in accordance with specific local objective, no. 92 as outlined the County Development Plan 2016-2022.

Inputs:

The project was funded by the Department of Housing, Planning and Local Government through the Capital Works Management framework.

Activities:

The key activities carried out through the project included conducting the Part 8 process for the scheme. The demolition of eighty four dwelling units over three, five storey apartment blocks. The apartment blocks were in poor condition and were demolished in 2011.

Outputs:

Having carried out the identified activities using the inputs, the outputs of the project were the provision of forty four residential units at a density of forty nine units per hectare with a mix of dwelling types, including three storey houses, two-storey houses, and apartment for applicants on the Council social housing support list.

Outcomes:

The subject site is located on lands zoned Objective 'A', 'To protect and/or improve residential amenity'. There is also an objective for a County Council Housing Programme Site at this location. The provision of housing on the site helps to achieve this. A post project review has not yet been completed.

Section B - Step 2: Summary Timeline of Project/Programme

The following section tracks the Rosemount Court Housing Scheme from inception to conclusion in terms of major project/programme milestones



Section B - Step 3: Analysis of Key Documents

The following section reviews the key documentation relating to appraisal, analysis and evaluation for the Rosemount Court Housing Scheme

Project/Programme Key Documents	
Title	Details
Project Brief	Submission to the Department of Housing, Planning & Local Government.
County Development Plan 2016 -2022	The document which is contained within the County Development Plan 2016-2022 has a specific local objective, no. 92, regarding Rosemount Court.
Report to Council submitted in accordance with Part 8, Article 81 of the Planning and Development Regulations, 2001, (as amended) and Section 138 of the Local Government Act, 2001 (as amended)	Part 8 report regarding the proposal and its implications for the proper planning and sustainable development of the area.
Minutes of monthly construction meetings.	Minutes of monthly meetings held between Housing Construction and the Architects Department
Capital Grant claim forms	HCA4 forms. Claims for expenditure incurred.

Key Document 1: Project Brief

The project brief formed part of a submission to the Department of Housing, Planning and Local Government. The plan is broken down into sections with the following headed items: an analysis of housing need, design brief, general pointers for the scheme layout, design of the individual dwelling units, requirements relevant to the site that may affect the design of the scheme, initial design costs, time-frame for the delivery of the scheme, site selection and project management arrangements. This plan was developed in the initial project management stages and gives a good overview of the considerations given in utilising the site, the decision to provide social housing there and the expected use of resources.

Key Document 2: County Development Plan 2016-2022

The document which is contained within the County Development Plan 2016-2022 has a specific local objective, no. 92, regarding Rosemount Court. The plan was for the redevelopment of the former flats site at Rosemount Court as part of the Council's Housing Programme. This plan and the relevant objective afforded the Council scope with regard to their intentions for the site and enabled them to address the provision of social housing.

Key Document 3: Report to Council submitted in accordance with Part 8 of the Planning and Development Regulations, 2001, (as amended).

The report to Council outlines the proposed developed whilst giving due consideration to the master plan of the entire site. It details the zoning and other objectives of the site and a detailed description of the proposed works, and the implications of the proposed development for the proper planning and sustainable development of the area. It also discusses the urgent need for residential units and how the proposed plan is in accordance with the proper planning and sustainable development for the area.

Key Document 4: Minutes of monthly construction meetings.

The minutes of the monthly construction meetings provide a briefing on the current status of the project throughout its development.

Key Document 5: Capital grant claim forms.

Claim forms for claiming expenditure relating to the project. Details amounts claimed to date and the current instalment being applied for. Back up documentation for the claims includes excerpts from Agresso which lists all payments made to date.

Section B - Step 4: Data Audit

The following section details the data audit that was carried out for the Rosemount Court Housing Scheme. It evaluates whether appropriate data is available for the future evaluation of the project/programme.

Data Required	Use	Availability
Project justification, statement of need and estimated costings	To determine the need and feasibility of the project	In funding application to DHPLG and in Executive orders.
Report submitted in accordance with Part 8, Article 81 of the Planning and Development Regulations, 2001	Details adherence of the project with the proper planning and sustainable development of the area and the need for the provision of social housing	On Project File
Correspondence between dlr and DHPLG	Verification of funding to date	On Project File
CEO's detailing appointment of Contractors	Details adherence with national and local procurement regulations	On Project File
Final Account Report	To show agreed final costings for the project	On Project File

Data Availability and Proposed Next Steps

The data audit presented above details the type of information that is available if this project is selected to undergo further review. It is the opinion of Internal Audit that dlr are collecting all relevant data that will enable future evaluation of the Rosemount Court Housing Scheme.

Section B - Step 5: Key Evaluation Questions

The following section looks at the key evaluation questions for the Rosemount Court Housing Scheme based on the findings from the previous sections of this report.

Does the delivery of the project/programme comply with the standards set out in the Public Spending Code? (Appraisal Stage, Implementation Stage and Post-Implementation Stage)

The appraisal of the project complied with the Department of Finance Guidelines for the Appraisal and Management of Capital Expenditure Proposals in the Public Sector, which the project had to adhere to at the time of appraisal. The appointments of consultants and the subcontractor were carried out in compliance with proper procurement procedures. The project complied with the standards set out under the PSC for the implementation stage. A post-project review is planned but has yet to take place.

Is the necessary data and information available such that the project/programme can be subjected to a full evaluation at a later date?

The necessary data is available for a full evaluation of the project which is completed.

What improvements are recommended such that future processes and management are enhanced?

Although there was sufficient evidence and documentation on the appraisal and progress of the project, the documents were not collated into one formal document. Appraisals should be completed in one whole document. Documents for projects should have one central location for all stages of the life-cycle of programmes and projects.

Furthermore it should be noted that an effective electronic filing system template was observed while reviewing this project, however it was evident that this was not being used to its full potential i.e. numerous electronic folders missing key documentation, which were found at different locations.

Section: In-Depth Check Summary

The following section presents a summary of the findings of this In-Depth Check on the Rosemount Court Housing Scheme.

Summary of In-Depth Check

Internal Audit have examined the controls in place for Rosemount Court Housing Scheme and can give reasonable assurance that there is compliance with the PSC.

A post project review is planned but has yet to be completed owing to the recent completion of this project.

Internal Audit recommend that dlr consider the following recommendations:

- Formalised appraisals and progress reports should fully comply with the PSC.
- That the electronic filing system currently in place in Housing Construction be used to its full potential i.e. ensure that copies of all key documentation be filed correctly.

Findings:

Having reviewed the documentation in relation to the expenditure incurred under this programme in 2018, Internal Audit is of the opinion that this programme complies with the standards set out in the PSC.

Audit Opinion:

Given the outcome of this review, it is the opinion of Internal Audit that there is overall substantial assurance that there is compliance with the PSC within dlr.

Quality Assurance – In Depth Check

Section A: Introduction

This introductory section details the headline information on the programme or project in question.

Programme or Project Information	
Name	George's Place, Housing Scheme, Dun Laoghaire, County Dublin
Detail	The scheme provides 12 high quality, energy efficient A1 rated, 2 bedroom dwellings with front and rear garden space making them suitable for families.
Responsible Body	Dún Laoghaire Rathdown County Council
Current Status	Construction works completed. Project not officially closed.
Start Date	First proposed in Dún Laoghaire Urban Structure Plan, County Development Plan 2004-2010. Project start date 2017
End Date	Construction works completed
Overall Cost	€ 3,514,082

Project Description

George's Place is built on a brownfield former Council Depot Site in Dún Laoghaire Town Centre. The site is zoned objective MTC, *'To protect, provide for and/or improve major town centre facilities'* in the dlr Development Plan, 2016-2022. Residential use is permitted in principle in this zone. There is a Specific Local Objective (SLO No. 68) which seeks *'the renewal of the obsolete area at George's Place and the Fire Station in accordance with the objectives of the Dún Laoghaire Urban Framework Plan and Environs Local Area Plan'*. The County Development Plan aims to strengthen the links between the main street and the sea front to create greater footfall in an effort to regenerate the area, the development of the site should contribute to this objective.

This development of 12 high quality; energy efficient A1 rated dwellings, contributes to the Council's aim of progressing the provision of social housing. The development was built using a design build public works contract in keeping with the rapid delivery programme. As it is a brownfield site services were existing and proximate.

The site has good connections to public transport; both bus and DART services are available at Dún Laoghaire Dart Station, and it is located close to the amenities and services of Georges Street. Vehicular access to the site is provided via Georges Place and a pedestrian link is provided to the Waterfront through Stable Lane. The site area excluding works on the public road at Kelly's Avenue is 0.1803 hectares. The proposed density is 66.5 units per hectare.

The 12 two bedroom, two-storey dwellings are in a terrace format comprising 10 narrow fronted dwellings and 2 wide fronted dwellings. Front and rear garden space is provided. The narrow fronted units are 86m² and the wide fronted units are 85m². The use of 'home zones' provides informal play and amenity space. On street parking has been created with new indented parking bays and in court parking, providing 1 parking space per unit.

The project also included the demolition of an existing shed, site landscaping and the consolidation of boundary walls.

Section B - Step 1: Logic Model Mapping

As part of this In-Depth Check, Internal Audit have completed a Programme Logic Model (PLM) for the George's Place project.

Objectives	Inputs	Activities	Outputs	Outcomes
<p>The renewal of the obsolete area at George's Place and the Fire Station in accordance with the objectives of the Dún Laoghaire Urban Framework Plan. The provision of 12 social housing support dwellings, contributes to the Council's aim of progressing the provision of social housing through the rapid delivery programme.</p>	<p>Total cost €3,514,082 funded by the DHPLG</p> <p>€3,477,692.31 expenditure</p> <p>€36,390.12 Council administrative costs</p>	<p>Part 8, Article 81 of the Planning and Development Regulations, 2001 (as amended) prepared and approved.</p>	<p>Provision of 12, two bedroom, two storey dwellings.</p>	<p>The envisaged outcome of the project was to provide social housing and renew the obsolete area at George's Place and the Fire Station in accordance with the objectives of the Dún Laoghaire Urban Framework Plan. No post project review had been carried out at the time of the in depth check.</p>

Description of Programme Logic Model

Objectives:

The objective of the George's Place Project was to renew the obsolete area at George's Place and the Fire Station in accordance with the objectives of the Dún Laoghaire Urban Framework Plan and provide 12 social housing support dwellings which contribute to the Council's aim to provide social housing through the rapid delivery programme. The core objective of the rapid delivery programme is to respond urgently and efficiently to the need for suitable and high quality accommodation for families across the Dublin region.

Inputs:

The project was funded by the Department of Housing, Planning and Local Government through the Capital Works Management framework.

Activities:

The key activities carried out through the project included conducting the Part 8 process for the scheme. The demolition of a shed on site; and the demolition and reconfiguration of the boundary walls.

Outputs:

Having carried out the identified activities using the inputs, the outputs of the project were the provision of 12 social housing support units of accommodation for applicants on dlr's social housing support list.

Outcomes:

The envisaged outcome of the project was to renew the obsolete area at George's Place by strengthening the links between the main street and the sea front and creating greater footfall in an effort to regenerate the area in accordance with dlr County Development Plan 2016-2022. The provision of housing on the site helps to achieve this. A post project review has not yet been completed.

Section B - Step 2: Summary Timeline of Project/Programme

The following section tracks the George's Place project from inception to conclusion in terms of major project/programme milestones



Section B - Step 3: Analysis of Key Documents

The following section reviews the key documentation relating to appraisal, analysis and evaluation for the George's Place project.

Project/Programme Key Documents	
Title	Details
Dún Laoghaire Urban Framework Plan	Appendix 12 of the County Development Plan 2016-2022. A guide to the ongoing development that contributes to the physical regeneration of Dún Laoghaire Town centre
Project Brief for Proposed Rapid Build Housing Development at Georges Place, Dún Laoghaire, County Dublin	Part of submission to Department of Housing, Planning and Local Government
Report to Council submitted in accordance with Part 8, Article 81 of the Planning and Development Regulations, 2001, (as amended) and Section 138 of the Local Government Act, 2001 (as amended)	Part 8 report regarding proposal and its implications for the proper planning and sustainable development of the area.
Minutes of monthly Construction meetings	Minutes of monthly meetings held between Housing Construction and the Architects Department
Capital Grant claim forms	HCA4 forms. Claims for expenditure incurred.

Key Document 1: Dún Laoghaire Urban Framework plan

The document which is contained within the County Development Plan 2016-2020 has a specific local objective, no. 68, regarding George's Place. This objective seeks the renewal of the obsolete area at George's Place and the Fire Station. This plan and the relevant objective afforded the Council scope with regard to their intentions for the site and enabled them to address the provision of social housing.

Key Document 2: Project brief for proposed rapid build housing development at George's Place.

The project brief formed part of a submission to the Department of Housing, Planning and Local Government. The plan is broken down into sections with the following headed items: an analysis of housing need, design brief, general pointers for the scheme layout, design of the individual dwelling units, requirements relevant to the site that may affect the design of the scheme, initial design costs, timeframe for the delivery of the scheme, site selection and project management arrangements. This plan was developed in the initial project management stages and gives a good overview of the considerations given in utilising the site, the decision to provide social housing there and the expected use of resources.

Key Document 3: Report to Council submitted in accordance with Part 8 of the Planning and Development Regulations, 2001, (as amended).

The report to Council outlines the proposed development whilst giving due consideration to the master plan of the entire site. It details the zoning and other objectives of the site and a detailed description of the proposed works, and the implications of the proposed development for the proper planning and sustainable development of the area. It also discusses the urgent need for rapid build residential units and how the proposed plan is in accordance with the proper planning and sustainable development for the area.

Key Document 4: Minutes of monthly construction meetings.

The minutes of the monthly construction meetings provide a briefing on the current status of the project throughout its development.

Key Document 5: Capital grant claim forms.

Claim forms for claiming expenditure relating to the project. Details amounts claimed to date and the current instalment being applied for. Back up documentation for the claims includes excerpts from Agresso which lists all payments made to date.

Section B – Step 4: Data Audit

The following section details the data audit that was carried out for the George’s Place project. It evaluates whether appropriate data is available for the future evaluation of the project/programme.

Data Required	Use	Availability
Project justification, statement of need and estimated costings	To assess the need and feasibility of the project	On project file- funding application to DHPLG
Report submitted in accordance with Part 8, Article 81 of the Planning and Development Regulations, 2001	Details adherence of the project with the proper planning and sustainable development of the area and the need for the provision of social housing	On project file
CEO’s detailing appointment of Contractors	Details adherence with national and local procurement regulations	On project file
Correspondence between dlr and DHPLG	Confirmation of on-going funding	On project file
Details of claims and payments made	To reconcile accounts	On project file

Data Availability and Proposed Next Steps

Data on all stages of the project – planning, development, construction, budgetary and claims made are held by the Housing and Architects Departments.

All relevant data is held that will enable a future evaluation of the George’s Place Housing Scheme.

Section B - Step 5: Key Evaluation Questions

The following section looks at the key evaluation questions for George's Place project based on the findings from the previous sections of this report.

Does the delivery of the project/programme comply with the standards set out in the Public Spending Code? (Appraisal Stage, Implementation Stage and Post-Implementation Stage)

The appraisal of the project confirms that it complies with the Department of Finance guidelines for the Management of Capital Expenditure Proposals in the public sector.

The review of the planning process element of the project has confirmed that the project complied with proper planning guidelines and legislative requirements.

The review of the expenditure incurred has confirmed that the appointment of Consultants, Contractors and sub-contractors was carried out in compliance with the proper procurement procedures by way of Chief Executive Orders.

The in-depth check has confirmed that all management guidelines were adhered to. The project complied with the standards set out under the public spending code in respect to the implementation stage. Construction has been completed, the project has not been closed off, this is expected to take place in May 2019; therefore a post project review is yet to be completed.

Is the necessary data and information available such that the project/programme can be subjected to a full evaluation at a later date?

Sufficient information is on file to facilitate a full evaluation at a later date.

What improvements are recommended such that future processes and management are enhanced?

Although there was sufficient evidence and documentation on the appraisal and progress of the project, the documents were not collated into one formal document. Appraisals should be contained in one whole document. All documentation relating to the project should have one central location.

Section: In-Depth Check Summary

The following section presents a summary of the findings of this In-Depth Check on the George's Place Project.

Summary of In-Depth Check

An examination of the controls in place for the George's Place project, give reasonable assurance that there is compliance with the PSC.

Regular monitoring and appraisal of the project is evident through the minutes of the monthly Construction meetings attended by the Housing Construction section and the Architects Department. A post project appraisal has yet to be completed, owing to the recent completion of the project.

Not all the key documentation relating to the project is held by the Housing Department and consideration should be given to the documentation for all aspects of the project being held in a central location by the Housing Department. The electronic filing system in operation there is effective and could be utilised to achieve this.

Findings:

Having reviewed the documentation in relation to the expenditure incurred under this programme in 2018, Internal Audit is of the opinion that this programme complies with the standards set out in the PSC.

Audit Opinion:

Given the outcome of this review, it is the opinion of Internal Audit that there is overall substantial assurance that there is compliance with the PSC within dlr.

Quality Assurance – In Depth Check

Section A: Introduction

This introductory section details the headline information on the programme or project in question.

Programme or Project Information	
Name	Street Cleaning (E06) – Revenue Operations
Detail	The cleansing programme includes: street sweeping, emptying and upkeep of litter bins, removal of organic matter from the roads and footpaths and weed management on the roads and street.
Responsible Body	Dún Laoghaire-Rathdown County Council
Current Status	Current Expenditure – Revenue Programme
Start Date	January 2018
End Date	December 2018
Overall Cost	The Council made provision in the 2018 Revenue Budget for expenditure of €5,494,848 and income of €271,678 on this programme.

Project Description

dlr's Cleansing programme includes: street cleaning, emptying and the upkeep of street bins, removal of organic matter from roads and footpaths and weed management on the roads and streets. A working rota for beach and street cleaning and litter-bin emptying of the major town areas is in operation. There are cleansing staff on duty from 7.00am to 6.30pm on a seven-day week basis. There are 53 staff members in the section and a total of 30 machines are used to discharge the programme.

Street Bins

A core component of the programme is the provision of street bins. They are located in all the major towns and streets of the County. The Smart Big Belly Bin system was introduced following the purchase of 400 Big Belly Bins in December 2014. The cost of providing and maintaining each street bin is approximately €1,350 per year, given this there is a necessity to ensure that street bins are optimally situated through the County. The cost of provision of each bin is subsidised by their utilisation as advertising hubs.

A bi-annual street bin review is carried out, the focus of which is on addressing outstanding issues such as bin weights and collection frequencies with particular consideration given to the relocation of under used bins.

Street Cleaning

There is a daily sweeping programme of the main villages, in areas where large numbers of people congregate, arterial traffic routes, cycle lanes and residential areas ranked according to need within the Council's administrative area. The majority of housing estates are swept monthly in adherence with an annual street cleaning programme which is available on the Council's website. Problem areas brought to the Council's attention are also swept as soon as practicable.

An after-hours emergency response service is provided by Pageboy, who on receipt of a phone call, contact the relevant Council official. dlr provides emergency sweeping i.e. in the event of a car crash.

Weed Management

An integrated weed control programme development project commenced in April 2018. This involved a full-scale re-assessment of the approach to weed control on hard surfaces around the county, with a view to developing a range of environmentally friendly solutions to their control. The project was introduced to comply with directive 2009/128 EU, which aims to achieve a sustainable use of pesticides in the EU by reducing the risks and impacts of pesticide use on human health and the environment and promoting the use of Integrated Pest Management (IPM) and of alternative approaches or techniques, such as non-chemical alternatives to pesticides, while also implementing the best proactive approach to weed control.

Gully Cleaning

A gully cleaning service is in operation for the whole of dlr's administrative area. There are approx. 30,000 gullies in dlr's area. Gully cleaning is operated on a 5 day basis with a callout service. A number of areas require traffic management to be in place for gully cleaning. The works are often carried out on weekends. Gully cleaning requests are logged through CRM and all requests are managed on a priority basis. The recording of requests on CRM ensures that the tasks are monitored.

Section B - Step 1: Logic Model Mapping

As part of this In-Depth Check, Internal Audit have completed a Programme Logic Model (PLM) for Street Cleaning.

Objectives	Inputs	Activities	Outputs	Outcomes
<p>The provision of an effective cleansing programme; in accordance with Corporate Goals 15.3 and 15.4 of dlr's Corporate Policy 2015-2019.</p>	<p>2018 Revenue Budget Expenditure €5,494,848 Income €271,678.</p>	<p>Provision of a cleansing programme.</p>	<p>The provision of an efficient and effective cleansing programme which includes the following services: street sweeping, emptying and upkeep of litter bins, removal of organic matter from the roads and footpaths and weed management on the roads and streets.</p>	<p>The supply of an effective cleansing programme in compliance with dlr's Corporate Goals 15.3 - To ensure the provision and maintenance of a high quality public realm and 15.4- to maximise the use of digital data from the solar compactor bins.</p>

Description of Programme Logic Model

Objectives:

The provision of an effective cleansing programme in accordance with Corporate Goals 15.3: to ensure the provision and maintenance of a high quality public realm and 15.4: to maximise the use of digital data from the solar compactor bins, of dlr's Corporate Policy 2015-2019.

Inputs:

dlr Council's meeting of 7th November 2017 adopted the annual budget for 2018 which included the provision of a budget of € 5,766,526, this equates to a budget of €5,494,848 expenditure and €271,678 income, for Street Cleaning. This covers the cleansing programme whose services include street sweeping, emptying and upkeep of street bins, removal of organic matter from the roads and footpaths and weed management on the roads and streets. The inputs also include the associated administration costs for staff within the Cleansing Section.

Activities:

The provision of the cleansing programme.

Outputs:

Having carried out the identified activities using the inputs, the outputs of the programme are the service delivery of a cleansing programme that provides services which include street sweeping, emptying and upkeep of street bins, removal of organic matter from the roads and footpaths and weed management on the roads and streets within the administrative area of dlr.

Outcomes:

The envisaged outcomes of the programme are the provision of an effective cleansing programme in the most cost effective and eco-friendly manner possible.

Section B - Step 2: Summary Timeline of Project/Programme

The following section tracks the Street Cleaning (E06) – Revenue Operations from inception to conclusion in terms of major project/programme milestones.

Street Bins

A smart bin review was carried out and presented to Dundrum Area Committee Meeting (Municipal Services Business) on 28th May 2018. This allowed for improved efficiency in the delivery of the service.

Approximately 420 large capacity smart bins were provided within the administrative area of dlr in 2018.

The bins are managed through an online application which is managed daily. Information available from the app includes the position of a bin, the level of litter in a bin at any time, the frequency of collections and which bin is ready for collection. Alerts are sent electronically to the system and daily work lists are established from the data received.

The bins compact the litter to maximise the amount it can hold. Once a bin reaches a pre-selected level, an alert is sent to the app and the crew can collect the bin. Maintenance issues such as low batteries at the station or issues with the compactor or sensors are also reported through the app.

Road Sweeping

A road sweeping schedule was put in place with the aim of sweeping the town centres and villages daily, and all other roads in the county on a monthly basis. The Cleansing section also provide a leaf fall clean up from November to January, this service is mainly prioritised in response to customer requests.

Weed Management

Weed Management is operated by the Cleansing section from May – September.

Trained contractors are hired within these months to operate a weed management service and work off the road sweeping lists. Weed management requests are also logged and assigned through the CRM system to the Environmental Enforcement Officer. Each request goes on to a daily list which is then assigned to the Cleansing System Foreman on a daily work list sheet, this is then distributed to outdoor staff on a Priority basis. Individual requests completed are updated on CRM.

Gully Cleaning

The Cleansing section provides a gully cleaning service for the whole of dlr.

There are approx. 30,000 gullies in the dlr area. Gully cleaning is operated on a 5 day basis with a callout service. A number of areas require traffic management to be in place for gully cleaning. The works are often carried out on weekends. Gully cleaning requests are logged through CRM and all requests are managed on a priority basis. Each request goes on to a daily list which is assigned to the Cleansing System Foreman on a daily work list sheet, this is then distributed to outdoor staff on a priority basis. All individual requests are updated on CRM. Flooding Hotspots have been identified which are divided into areas covered over a 6 week period and are cleaned every Monday.

Section B - Step 3: Analysis of Key Documents

The following section reviews the key documentation relating to appraisal, analysis and evaluation for the Street Cleaning – Cleansing Programme.

Project/Programme Key Documents	
Title	Details
Annual Budget	2018 Budget approved by the Council on 7 th November 2017.
Chief Executive Orders	CE Orders authorising the expenditure on the cleansing programme.
Financial Reports	Expenditure reports generated from Agresso.
Action Plans and Department / Section Process Documents	Plans and targets for the year are established and the processes tracked.

Key Document 1: Annual Budget

The County Council meeting of 7th November 2017 adopted the Annual Budget for 2018. The Council made provision in the 2018 Revenue Budget for street cleaning expenditure of €5,494,848 and income of €271,678. In the Annual Budget provisions Street Cleaning expenditure accounted for 3.09% of the total revenue expenditure budget of €177.6 million.

Key Document 2: Chief Executive Orders

Signed Chief Executive (CE) Orders authorising the expenditure on the cleansing programme costs are in place. While procurement procedures were undertaken, the Chief Executive Order for the award of contract for the provision of labour and traffic management for weed control in 2018 was signed after payments had been made to the successful contractor and the programme of work was near completion.

Key Document 3: Financial Reports

The generation of expenditure reports from Agresso and financial reviews to ensure expenditure is monitored continuously are carried out on a monthly and quarterly basis. The quarterly report details the 2018 budget amount, the total gross for 2018 with actual and outstanding commitment amounts, balance of the total budget and the percentage spent of the 2018 budget.

Key Document 4: Action Plans and Department/Section Process Documents

Department/Section process documents are completed for all service areas under the programme, detailing the service description and the associated processes undertaken. These documents provide a clear description of the processes for each element of the service provided and those necessary for successful service delivery.

In addition, the Smart Bin Review was presented to the Dundrum Area Committee (Municipal Services Business) meeting on 6th June, 2018, having previously been presented at the Dún Laoghaire Area Committee (Municipal Services Business) meeting on 28th May, 2018. The review provides information on the collection frequencies of bins, outlines on-going issues with the bins, shows actions taken subsequent to the previous

report, lists the requests for new bins made in the previous six months and explains the decisions made following the review of these requests.

The Weed Control on Hard Surfaces Development, an Integrated Weed Control Plan, May, 2018 was presented to the Dún Laoghaire Area Committee (Municipal Services Business) meeting on 28th May, 2018. The plan details the pilot programme undertaken in 2018 which involved a full scale re-assessment of dlr's approach to weed control on hard surfaces around its administrative area with a view to developing a range of environmentally friendly, location specific solutions for weed control in keeping with best practice and in accordance with EU Directive 2009/128. This directive aims to achieve a sustainable use of pesticides in the EU by reducing the risks and impacts of pesticide use on human health and the environment and promoting the use of Integrated Pest Management (IPM) and of alternative approaches or techniques, such as non-chemical alternatives to pesticides.

Section B - Step 4: Data Audit

The following section details the data audit that was carried out for Street Cleaning - 2018. It evaluates whether appropriate data is available for the future evaluation of the project/programme.

Data Required	Use	Availability
Action Plans	To monitor cleansing programme costs and proposed savings	On file
Department / Section Process Documents	To monitor process	On file
Expenditure reports	To monitor expenditure	On file

Section B - Step 5: Key Evaluation Questions

The following section looks at the key evaluation questions for Street Cleaning (E06) - Revenue Operations based on the findings from the previous sections of this report.

Does the delivery of the project comply with the standards set out in the PSC? (Appraisal Stage, Implementation Stage and Post-Implementation Stage)

Having reviewed the documentation received in relation to the expenditure incurred during 2018, it is considered that there is general compliance with the standards set out in the PSC.

The following documents were generally in place for Street Cleaning (E06) - Revenue Operations:

- Budget approved by the Council
- Action Plans
- Expenditure Reports
- Chief Executive Orders

Improvements and recommendations in relation to such documentation are noted below.

Is the necessary data and information available such that the project can be subjected to a full evaluation at a later stage?

Data was available for inspection. Expenditure on the programme is on-going.

What improvements are recommended such that future processes and management are enhanced?

It is recommended that public procurement standards and procedures are adhered to. It was noted that the Chief Executive Order for the award of contract for the provision of labour and traffic management for weed control in 2018 was signed on 23rd October 2018; payments resulting from the award of the contract were made prior to the Chief Executives Order being signed.

Section: In-Depth Check Summary

The following section presents a summary of the findings of this In-Depth Check on Street Cleaning (E06) – Revenue Operations.

Summary of In-Depth Check

It is the responsibility of each Local Authority 'to ensure that each public road in its functional area is, so far as practicable, kept free from litter' in accordance with the Litter Pollution Act, 1997 Section 111 (7). dlr's Corporate Plan 2015-2019 refers to the provision and maintenance of a high quality public realm and the use of digital data from their solar compactor bins - Corporate Goals 15.3 and 15.4.

The Cleansing Programme (Street Cleaning (E06)) is managed and monitored to a high standard, ensuring the successful implementation of Corporate Goals 15.3 and 15.4. The programme is on-going, processes are under constant review and improvements are considered and implemented.

Internal Audit recommends that any staff involved in procurement processes receive the necessary training to ensure that procurement standards and processes are fully adhered to.

Findings:

Having reviewed the documentation in relation to the expenditure incurred under this programme in 2018, Internal Audit is of the opinion that this programme complies with the standards set out in the PSC.

Audit Opinion:

Given the outcome of this review, it is the opinion of Internal Audit that there is overall reasonable assurance that there is compliance with the PSC within dlr.