
Public Spending Code

Quality
Assurance
Report for 2017

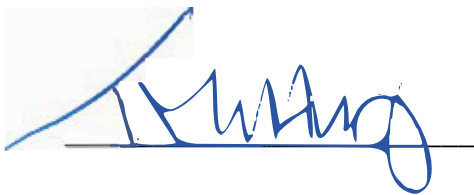
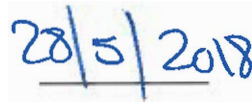
Dún Laoghaire-
Rathdown
County Council

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:

A handwritten signature in blue ink, appearing to read 'Tom McHugh', written over a horizontal line.A handwritten date '28/5/2018' in blue ink, written over a horizontal line.

Tom McHugh

A/Chief Executive

Dún Laoghaire-Rathdown County Council

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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 2017.

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 2017 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 2017 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 126 projects across the 3 stages and cost categories with a total value of € 625.46 million.

Summary Table of 2017 Inventory – Included in Appendix A.

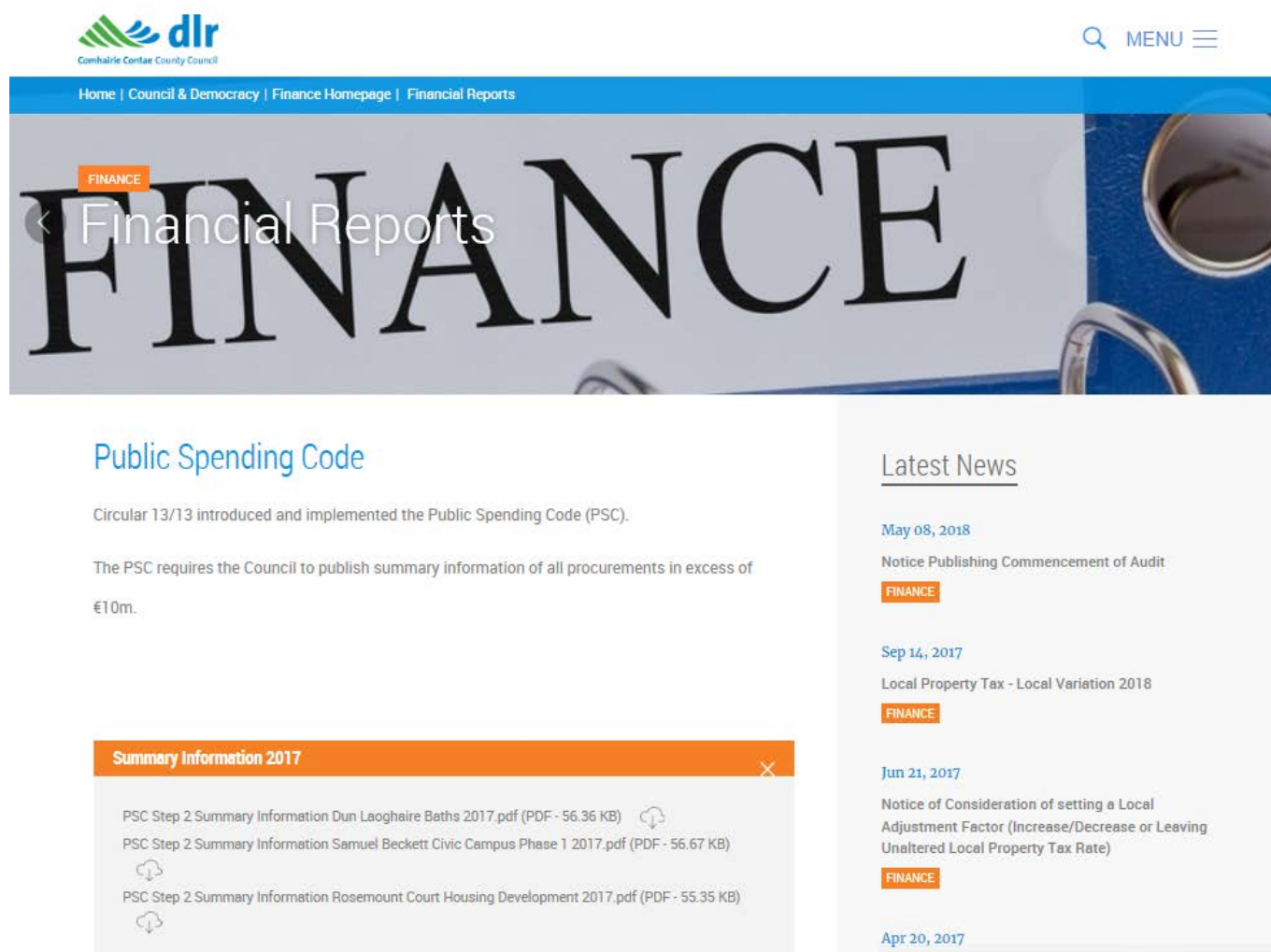
	Revenue Projects		Capital Projects		Total Value of Inventory
Project Expenditure	Number	Value	Number	Value	Value
Being Considered	6	€5.68m	33	€263.88m	€269.56m
Being Incurred	42	€165.47m	42	€166.17m	€331.64m
Recently Ended	0	€0.00m	9	€24.26m	€24.26m
Totals		€171.15m		€454.31m	€625.46m

Step 2 - Procurements in excess of € 10million

As part of the Quality Assurance process dlr has published summary information on its website of the 3 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>



dlr
Comhairle Contae Carraighe

Home | Council & Democracy | Finance Homepage | Financial Reports

FINANCE

Financial Reports

Public Spending Code

Circular 13/13 introduced and implemented the Public Spending Code (PSC).

The PSC requires the Council to publish summary information of all procurements in excess of €10m.

Summary Information 2017

- PSC Step 2 Summary Information Dun Laoghaire Baths 2017.pdf (PDF - 56.36 KB)
- PSC Step 2 Summary Information Samuel Beckett Civic Campus Phase 1 2017.pdf (PDF - 56.67 KB)
- PSC Step 2 Summary Information Rosemount Court Housing Development 2017.pdf (PDF - 55.35 KB)

Latest News

May 08, 2018
Notice Publishing Commencement of Audit

Sep 14, 2017
Local Property Tax - Local Variation 2018

Jun 21, 2017
Notice of Consideration of setting a Local Adjustment Factor (Increase/Decrease or Leaving Unaltered Local Property Tax Rate)

Apr 20, 2017

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 two projects from the Project Inventory with a combined project budget of €12.5 million.

From the projects recently ended, (the construction works are completed but project has not officially closed), the Leopardstown Link Road & Roundabout Configuration was chosen.

From the projects current expenditure, Public Lighting – Energy Supply and Maintenance, under the heading B05 Public Lighting, on the Revenue project inventory was selected.

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

Leopardstown Link Road & Roundabout Configuration

Internal audit have examined the controls in place for the Leopardstown Link Road & Roundabout Configuration project, and can give reasonable assurance that there is compliance with the PSC.

The elements of a project appraisal and progress reports did take place, but not at once in the same document.

Internal audit recommend that dlr consider the following recommendations:

- Formalised appraisals and progress reports should fully comply with the PSC.
- Document templates should be developed and circulated for all projects covering the different stages of the life-cycle of programmes and projects. The balanced scorecard approach could be developed so management can form a common view on how projects and programmes are performing relative to other projects and programmes.

Public Lighting – Energy Supply and Maintenance, under B05 Public Lighting - Revenue project inventory

It is the responsibility of each Local Authority to provide public lighting within their administrative area. They are responsible for the general operation and maintenance of public lighting including electricity cost.

There are approx. 23,500 public lights within the dlr administrative area which spans rural, urban and suburban communities and contains several key elements of national and regional infrastructure, including the M11, M50 and N11 national primary roads. The

Council's Public Lighting Section, within the Municipal Services Department, manages this programme.

The purpose of the review was to provide an independent professional opinion on compliance with the PSC and, more specifically, the quality of the appraisal, planning and implementation of work done within each programme. This scheme was examined in order to assess if the practices implemented are of a high standard. The scope of the audit included a review of compliance with the PSC.

Having reviewed the documentation in relation to the expenditure incurred under this programme in 2017, Internal Audit is of the opinion that this programme complies with the standards set out in the PSC.

Internal Audit have examined the controls in place for Public Lighting – Energy Supply & Maintenance, and can give reasonable assurance that there is compliance with the PSC.

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 check 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.

While dlr has complied with the requirements of the PSC in respect of 2017, 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.

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	Current Expenditure	Capital Grant Schemes	Capital Projects
	> €0.5m	> €0.5m	€0.5 - €5m	€5 - €20m	€20m plus						
Housing & Building											
St Michaels Terrace, Dun Laoghaire										€1,165,809	
Acquisitions of Properties for Social Housing										€5,465,752	
The Mews, Sallynoggin Park, Sallynoggin										€1,098,906	
Glenamuck Road Halting Site										€1,909,498	
Acquisition at Hazelbrook										€10,791,642	
Site at Shanganagh Castle, Shanganagh Road					€132,718,000						
Park House, Georges Street, Dun Laoghaire			€1,233,527								
Housing Development St Laurence Park					€21,000,000						
Rochestown House - Phase 3								€3,119,676			
Pottery road								€788,738			
The Brambles Park Close, Glenageary								€2,149,543			
Georges Place								€3,121,582			
Rosemount Court								€11,829,338			
Broadford Rise, Ballinteer								€5,680,405			
Fitzgerald Park								€10,005,526			
Ballyogan Court					€21,000,000						
Temple Road								€1,382,602			
CAS - acquisition at Dun Laoghaire										€730,697	
CAS - acquisition of 4 apartments in Monkstown										€990,768	
Rockville Drive Glenamuck Road			€3,262,211								
A01 Maintenance & Improvement of LA Housing Units						€11,279,790					
A02 Housing Assessment, Allocation and Transfer						€1,254,658					
A03 Housing Rent and Tenant Purchase Administration						€1,406,821					
A04 Housing Community Development Support						€577,756					
A05 Administration of Homeless Service						€3,130,242					
A06 Support to Housing Capital Prog.						€7,077,637					
A07 RAS and Leasing Programme	€1,373,331					€12,908,234					
A08 Housing Loans						€1,343,273					
A09 Housing Grants						€1,750,054					
Road Transportation and Safety											
Glenamuck Distributor Road/Kiltarnan by pass*								€17,046,000			
Leopardstown Link Road								€8,250,000			
Foxrock Village Car Park								€750,000			
M50 Junction 14 Link Road								€7,800,000			
Blackglen Road Improvement Scheme								€23,824,000			
Bracken Link Road								€6,100,000			
Brennanstown Road								€1,000,000			
N11 Johnstown Road Junction Improvements								€3,000,000			
Accident Investigation Prevention - Cross Avenue Dun Laoghaire and Environs								€512,188			
Traffic Improvement Scheme - Wyattville Road Improvements								€3,252,666			
Stillorgan Village Framework Management Plan								€3,500,000			
Monkstown Village Public Realm & TIS								€1,100,000			
Greenways future projects			€3,000,000								
Deepwell, Blackrock Pedestrian / Cycle Link			€750,000								
Traffic/Road Safety Improvement Schemes (Dev Levies)			€5,000,000								
Kiltarnan / Glenamuck LAP associated works (exclusive of S49 scheme)			€5,000,000								
Traffic Management /sustainable travel (Sandyford UFP)			€3,600,000								
County Bike Scheme			€1,000,000								
Road and Footpath Improvement			€1,998,000								
DMURS Minor Junctions etc								€1,050,000			

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	Current Expenditure	Capital Grant Schemes	Capital Projects
	> €0.5m	> €0.5m	€0.5 - €5m	€5 - €20m	€20m plus	> €0.5m	> €0.5m	> €0.5m	> €0.5m	> €0.5m	
B03 Regional Road - Maintenance and Improvement						€1,618,983					
B04 Local Road - Maintenance and Improvement	€892,057					€12,572,127					
B05 Public Lighting						€4,394,004					
B06 Traffic Management Improvement						€4,296,828					
B08 Road Safety Promotion & Education						€1,154,913					
B09 Car Parking						€2,654,644					
B10 Support to Roads Capital Prog						€2,392,167					
Water Services											
Flood Alleviation - Glenavon Park Flood Storage								€1,140,000			
Flood Alleviation - Kilbogget Park Online Attenuation								€890,000			
C01 Water Supply						€5,337,269					
C02 Waste Water Treatment						€2,601,671					
C08 Local Authority Water and Sanitary Services						€4,337,819					
Development Management											
Cherrywood - N11 Junction & Druids Glen Road Q-P3								€900,000			
Public Realm Sandyford Business District phase 1 (SUFP)								€500,000			
Shankill to Cherrywood Greenway			€800,000								
Cherrywood SDZ Infrastructure*				€9,100,000							
D01 Forward Planning						€2,018,710					
D02 Development Management	€946,047					€5,011,621					
D03 Enforcement						€748,163					
D06 Community and Enterprise Function						€1,649,843					
D08 Building Control						€1,072,561					
D09 Economic Development and Promotion						€4,257,362					
D10 Property Management						€815,690					
Environmental Services											
Shanganagh Crematorium								€3,500,000			
Deansgrange Cemetery Projects								€500,000			
E02 Recovery & Recycling Facilities Operations						€1,862,324					
E03 Waste to Energy Facilities Operations						€843,967					
E05 Litter Management						€1,430,539					
E06 Street Cleaning						€5,781,149					
E07 Waste Regulations, Monitoring and Enforcement						€579,083					
E09 Maintenance of Burial Grounds						€2,223,531					
E11 Operation of Fire Service						€15,256,779					
Recreation and Amenity											
Samuel Beckett Civic Campus Phase 1								€15,337,245			
Fernhill Masterplan (Parkland and Sports) Phase 1								€2,000,000			
Dun Laoghaire Baths Refurb								€10,200,000			
Dun Laoghaire Harbour Badeschiff Project								€1,500,000			
Acquisition of sub-license for Artificial Pitches										€1,300,000	
Glenalbyn Swimming Pool				€10,000,000							
Stonebridge road: Car park, paths and changing rooms								€500,000			
Marlay Park Courtyard Phase II								€2,037,000			
Pavement Improvement Programme								€500,000			
Marlay Park Masterplan								€1,400,000			
County wide grass & all weather pitches								€3,000,000			
Marlay Park New Carpark										€810,000	
Springhill Park Tennis Pavilion								€500,000			

Dún Laoghaire-Rathdown County Council	Expenditure being considered					Expenditure being incurred			Expenditure recently ended					
	Current	Capital Grant Schemes > €0.5m	Capital Projects			Current Expenditure > €0.5m	Capital Grant Schemes > €0.5m	Capital Projects	Current Expenditure > €0.5m	Capital Grant Schemes > €0.5m	Capital Projects			
			€0.5 - €5m	€5 - €20m	€20m plus									
	> €0.5m	> €0.5m	€0.5 - €5m	€5 - €20m	€20m plus									
DLR Carnegie Library			€585,000											
Samuel Beckett Civic Campus Phase 2					€20,000,000									
Stillorgan Library				€6,000,000										
Sandyford urban open space				€6,500,000										
Shanganagh Castle (Community)			€500,000											
Dundrum Carnegie Library			€500,000											
Blackrock Park Upgrade - Phase 2			€750,000											
Dalkey Island (Upgrade Tower & Gun Battery)			€500,000											
Circus Field, Booterstown			€800,000											
Hudson Road Park			€714,000											
Marlay Golf redevelopment			€500,000											
Marlay Park Running Track			€1,160,000											
Sports Strategy Projects (Dun Laoghaire College Sports Centre of Excellence)			€1,000,000											
F01 Leisure Facilities Operations						€575,444								
F02 Operation of Library and Archival Service	€1,235,133					€8,390,225								
F03 Outdoor Leisure Areas Operations	€622,642					€11,754,125								
F04 Community Sport and Recreational Development						€2,964,513								
F05 Operation of Arts Programme	€607,643					€4,275,257								
F06 Agency & Recoupable Services						€1,338,485								
Agriculture, Education, Health and Welfare														
Corbawn Coastal Protection Works								€500,000						
Miscellaneous Services														
Public Realm - Architects Metals Phase 2								€600,000						
Public Realm - Blackrock Main Street and Blackrock Baths								€1,600,000						
Public Realm - Central Dun Laoghaire								€800,000						
Customer Service Centre and New Council Chamber								€3,000,000						
Public Realm - Village Improvement			€2,500,000											
Public Realm - Stillorgan Village			€760,000											
Public Realm - Cabinteely			€500,000											
Public Realm - Cornelscourt			€500,000											
Public Realm - Dalkey Squareabout and TIS			€650,000											
H03 Administration of Rates								€5,286,856						
H09 Local Representation & Civic Leadership								€2,090,496						
H11 Agency & Recoupable Services								€3,156,786						
Summary Totals	€5,676,854	€0	€37,562,738	€31,600,000	€194,718,000	€165,472,396	€0	€166,166,509	€0	€0	€24,263,072			
* The overall costs of these schemes is significantly higher than the costs outlined in this inventory. Costs included above are to facilitate the opening up of lands for housing.														

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 2017.
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>	1	<p>Informal processes have always been in place. Staff departures and retirements have impacted on the LA'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 2018.</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>	1	<p>Informal processes have always been in place. Staff departures and retirements have impacted on the LA'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 2018.</p>
<p>1.11 Is there a process to follow up on the recommendations of previous evaluations/Post project reviews?</p>	1	<p>Informal processes have always been in place. Staff departures and retirements have impacted on the LA'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 2018.</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>

he 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 2018 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 Rating: 1 - 3	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 monthly meetings, Public Infrastructure Steering Committee in place and 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?	2	
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.)	3	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?	3	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 the Council'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	Not all areas

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 2017
7.2 Did those reviews reach conclusions on whether the programmes were efficient?		No services ceased in 2017
7.3 Did those reviews reach conclusions on whether the programmes were effective?		No services ceased in 2017
7.4 Have the conclusions reached been taken into account in related areas of expenditure?		No services ceased in 2017
7.5 Were any programmes discontinued following a review of a current expenditure programme?		No services ceased in 2017
7.6 Were reviews carried out by staffing resources independent of project implementation?		No services ceased in 2017
7.7 Were changes made to the organisation's practices in light of lessons learned from reviews?		No services ceased in 2017

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	Leopardstown Link Road & Roundabout Configuration
Detail	The removal of the Leopardstown Road/ Brewery Road roundabout and replacement with a signalised junction. New link road through Leopardstown racecourse lands to South County Business Park and reconfiguration of access to the racecourse and to South County Business Park.
Responsible Body	Dún Laoghaire-Rathdown County Council
Current Status	Construction works completed – Project not officially closed
Start Date	First proposed in 2011 under the Sandyford Urban Framework Plan. Project start date of 2014.
End Date	23 March 2016 (Construction works Completed)
Overall Cost	€8.25 million

Project Description

The overall Leopardstown Link Road & Roundabout Configuration scheme consists of three phases. Phase 1 of this scheme is the focus of this in-depth check. Phases 2 & 3 have not been approved yet and have not commenced.

Phase 1 of the scheme was included in the Sandyford Urban Framework Plan 2011-2016 as part of a 6-year roads objective in order to facilitate the upgrading of the existing Leopardstown Roundabout into a 4-arm signal-controlled junction. The phase 1 Link Road relocated the access point to the South County Business Park further east along Leopardstown Road and left a four-arm junction, rather than a 5-arm junction that had existed at the roundabout. This phase 1 Link Road extends from Leopardstown Road, at the existing secondary entrance to the Racecourse, traversing through the Racecourse grounds and South County Business Park, joining up with an internal access road to the Business Park and following the route of this access road to the boundary of the Business Park, cutting across the grounds of an office development, to link into the existing access road to the Business Park and Leopardstown Hospital.

The primary objectives of the Leopardstown Link Road & Roundabout Configuration scheme were the following;

- To relieve congestion at the existing roundabout junction of Brewery Road, Leopardstown Road and Burton Hall Road.
- To enhance access to the Sandyford business district and South County Business Park.
- To improve facilities for pedestrians, cyclists and the mobility impaired.
- To cater for anticipated increases in traffic flow resulting from the realisation of the development objectives of the Sandyford Urban Framework Plan.
- To preserve and protect the strategic function of the M50 by providing a bypass route for local traffic when all phases are completed.
- To plan for future congestion and to provide for further planned infrastructural investment to address such congestion when it arises.
- To provide for access to potential future development sites, where available existing access points will be unable to accommodate further development traffic.

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 Leopardstown Link Road & Roundabout Configuration.

Objectives	Inputs	Activities	Outputs	Outcomes
<p>To relieve congestion at the existing roundabout junction of Brewery Road, Leopardstown Road and Burton Hall Road.</p> <p>To enhance access to the Sandyford business district and South County Business Park.</p> <p>To improve facilities for pedestrians, cyclists and the mobility impaired.</p> <p>To cater for anticipated increases in traffic flow resulting from the realisation of the development objectives of the Sandyford Urban Framework Plan 2011-2016.</p> <p>To preserve and protect the strategic function of the M50 by providing a bypass route for local</p>	<p>€7.088 million of development levies.</p> <p>€0.179 million of Department of Transport Grant funding.</p> <p>€0.114 million of Irish Water funding.</p> <p>€0.023 million of ESB funding. Associated staff costs (not currently quantified)</p>	<p>Preliminary Design, Environmental Impact Report and Traffic Impact Assessment for the Access to South County Business Park & reconfiguration of the Leopardstown Roundabout.</p> <p>Construction of a revised car park and accommodation and boundary works to Media House and Infinity House.</p> <p>Construction of the Leopardstown Link Road & Roundabout Reconfiguration.</p>	<p>A new link road which runs through the Leopardstown Racecourse land to the South County Business Park, along with the reconfiguration of access to the racecourse and the South County Business Park.</p>	<p>The envisaged outcome of the project was to relieve traffic congestion at the Leopardstown Roundabout thereby facilitating the future development of the Sandyford Business District. No post project review has been carried out to assess if the envisaged outcome has been achieved.</p>

traffic when all phases are completed.

To plan for future congestion and to provide for further planned infrastructural investment to address such congestion when it arises.

To provide for access to potential future development sites, where available existing access points will be unable to accommodate further development traffic.

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Description of Programme Logic Model

Objectives: The overall objective of the scheme was to relieve traffic congestion at the Leopardstown Roundabout, thereby facilitating the future development of the Sandyford Business District as set out in the Sandyford Urban Framework Plan 2011-2016, which was adopted at dlr Council meeting held on 12th September 2011.

Inputs: The primary input to the programme was development levies as follows;

- S.48(2) (c) Special Roads Development Levies of €1.581 million
- S.48 Development Levies of €5.507 million

Other funding was received as follows;

- Department of Transport Grants of €0.179 million
- Irish Water of €0.114 million
- ESB of €0.023 million

Activities: There were a number of key activities carried out throughout the project. Firstly, the construction of a car park in Cyril McGuire's property took place in April/May/June of 2014. The main construction then commenced on site on 10th November 2014.

Outputs: Having carried out the identified activities using the inputs, the outputs of the project were a new link road through the Leopardstown Racecourse land to the South County Business Park and the reconfiguration of access to the racecourse and the South County Business Park.

Outcomes: The envisaged outcome of the project was to relieve traffic congestion at the Leopardstown Roundabout thereby facilitating the future development of the Sandyford business district. No post project review has been carried out to assess if the envisaged outcome has been achieved.

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

The following section tracks the Leopardstown Link Road & Roundabout Reconfiguration project from inception to conclusion in terms of major project/programme milestones



2011	The Sandyford Urban Framework Plan was adopted as Variation No. 2 to the County Development Plan 2010-2016 at the Dún Laoghaire Rathdown Council meeting held on 12 th September 2011.
2013	The scheme went to An Bord Pleanála where Phase 1 of the Access to South County Business Park and the Reconfiguration of the Leopardstown Roundabout were approved.
2014	dlr tendered for the initial contract (Contract 1) for the construction of a revised car park and accommodation and boundary works to Media House and Infinity House. The works in Contract 1 took place in April/May/June 2014.
Late 2014	dlr tendered for the main contract relating to the construction of the Leopardstown Link Road & Roundabout Reconfiguration (Contract 2) in May 2014. Works commenced onsite on 10th November 2014.
2016	dlr issued a letter confirming that substantial completion was achieved on the 15th April 2016.

Section B - Step 3: Analysis of Key Documents

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

Project/Programme Key Documents	
Title	Details
1. Sandyford Urban Framework Plan	A strategy document to transform Sandyford business estates.
2. Department of Transport Form No: RLR 1/2011	Grant application form, including description, technical details, justification, costings and compliance with procurement policies.
3. Environmental Impact Statement	An assessment of the impact of the project on the environment.
4. Monthly Finance Report	On-going financial status reports on dlr road schemes.
5. Overview Report	An overview report of the project produced on the completion of the construction.
6. Steering Group meeting minutes	Documents evidence of progress updates provided to the Steering Group.

Key Document 1: Sandyford Urban Framework Plan 2011-2016

The Sandyford Urban Framework Plan was developed to cater for the projected increase in the working and living population within the Sandyford area from an estimated 15,000 to 55,000 by 2030. It was adopted as Variation No. 2 to the County Development Plan 2010-2016 at the Dún Laoghaire Rathdown Council meeting held on 12th September 2011. The plan sets out the policies and objectives of dlr for the combination of schemes that represent the road infrastructure configuration required to facilitate the growth in traffic which will result from the future development of Sandyford business district.

Key Document 2: Department of Transport Form No: RLR 1/2011

A funding application form was submitted to the Department of Transport. It set out the justification for the project, along with estimated costs.

Key Document 3: Environmental Impact Statement

dlr completed an Environmental Impact Statement (EIS) at the direction of An Bord Pleanála. The EIS covered all three phases of the proposed scheme which are either six-year or long-term objectives of the Sandyford Urban Framework Plan. The EIS document set out the details of the proposed road development and detailed the objectives of the Leopardstown Link Road and Roundabout Configuration project.

The EIS outlined the key objective of the project and provided an explanation as to the requirement for the project in the first place. An assessment of available alternatives was undertaken to ensure that any better solutions were not overlooked. Section 3 of the EIS summarised the assessment undertaken. The assessment illustrates the following;

- "Do Nothing Scenario"
- "Do Minimum Scenario" – (Do Phase 1 only)
- "Do Maximum Scenario" – (Do all three phases)

dlr decided to progress with the "Do Minimum Scenario". Funding constraints precluded the ability to do "maximum scenario". Other options were considered (signalised roundabout, 5 arm signalised junction, alternative routing, etc.) but were not considered appropriate.

Key Document 4: Monthly Finance Report

A financial report was prepared each month and provided to the Project Engineer, Senior Engineer and to the Steering Group on a bi-monthly basis. This report provided details on the status of the project, the estimated costs, the funding source and expenditure to date. The report provided details on all Roads Projects and was split into 3 headings; Schemes under Construction, Schemes at Detailed Design Stage and Schemes at Preliminary Design Stage.

Key Document 5: Overview Report

This document provided a brief overview of the entire project. It outlined the origins of the project, i.e. the Sandyford Urban Framework Plan. It then provided details on the different stages of the project as follows;

- Preliminary Design
- Landowners
- Detailed Design

- Tender Process
- Construction Phase

The overview also provided a brief outline of the Governance Structure, noting that the Project Manager had direct responsibility for all aspects of the project. The Project Manager was responsible for reporting directly to the Senior Engineer and also updating the Steering Group at bi-monthly meetings on the progress of the project. These meetings were attended by, among others, the Senior Engineer and the Director of Services. Instructions for awarding contracts were granted for approval in the form of a Chief Executive (CE) Order. CE Orders were instigated by the Project Manager and countersigned by both the Senior Engineer and the Director of Services.

This overview document was prepared at the completion of the project and therefore, had limited value in providing clarity on the project, project appraisal, rationale, governance structure, monitoring and oversight arrangements.

Key Document 6: Steering Group meeting minutes

There are meeting minutes in place that provide evidence of discussions held in relation to the Leopardstown Link Road Project. An 'Indicative Schedule' flowchart produced in April 2011, and regularly updated up to October 2014, was used as the basis for the discussion during the design and procurement phase. Formal progress reports covering all aspects of the project, such as key milestones, were not recorded for the construction phase.

Section B - Step 4: Data Audit

The following section details the data audit that was carried out for the Leopardstown Link Road & Roundabout Configuration 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 determine the need and feasibility of the project	In funding application to Dept. of Transport (DOT) and in Executive Orders
Expenditure Report	To evaluate expenditure on project and grant funding received in relation to cost and income estimates.	Agresso System
Correspondence between dlr and DOT	Verification of funding to date	On Project File
Final Account Report	To show agreed final costings for the project	On Project File
Management structure and project timelines	To determine if principles of good project management were used.	On project file.
Information on traffic flows in the area.	To determine if the project helped manage traffic in that area	With traffic section
Information on Pedestrian and cyclist facilities resulting from the project	To determine if pedestrian and cyclist facilities improved.	With traffic section
Information on traffic flows in the area.	To determine if the project facilitates future development in the area.	With traffic section

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 is collecting all relevant data that will enable future evaluation of the Leopardstown Link Road & Roundabout Configuration project.

Section B - Step 5: Key Evaluation Questions

The following section looks at the key evaluation questions for the Leopardstown Link Road & Roundabout Configuration 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 PSC? (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 currently underway.

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 currently underway.

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. Document templates should be developed and circulated for all projects covering the different stages of the life-cycle of programmes and projects.

Formal project progress reporting, that monitors all types of expenditure ensures that milestones are being met and expenditure is within budget, should be implemented across all projects.

Section C: In-Depth Check Summary

The following section presents a summary of the findings of this In-Depth Check on the Leopardstown Link Road & Roundabout Configuration project.

Summary of In-Depth Check

Internal audit have examined the controls in place for the Leopardstown Link Road & Roundabout Configuration project, and can give reasonable assurance that there is compliance with the PSC.

The elements of a project appraisal and progress reports did take place, but not at once in the same document.

Internal audit recommend that dlr consider the following recommendations:

- Formalised appraisals and progress reports should fully comply with the PSC.
- Document templates should be developed and circulated for all projects covering the different stages of the life-cycle of programmes and projects. The balanced scorecard approach could be developed so management can form a common view on how projects and programmes are performing relative to other projects and programmes.

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	Public Lighting (B05) – Energy Supply & Maintenance - 2017
Detail	This project consists of the supply and maintenance of the public lighting service over the network consisting of 23,500 lights in the dlr administrative area which spans rural, urban and suburban communities and contains several key elements of national and regional infrastructure, including the M11, M50 and N11 national primary roads.
Responsible Body	Dún Laoghaire-Rathdown County Council
Current Status	Current Expenditure – Revenue Programme
Start Date	January 2017
End Date	December 2017
Overall Cost	The Council made provision in the 2017 Revenue Budget for expenditure of €4,498,600 and income of €298,500 on this programme.

Project Description

It is the responsibility of each Local Authority to provide public lighting within their administrative area. They are responsible for the general operation and maintenance of public lighting including electricity cost.

There are approx. 23,500 public lights within the dlr administrative area which spans rural, urban and suburban communities and contains several key elements of national and regional infrastructure, including the M11, M50 and N11 national primary roads. The Council's Public Lighting Section within the Municipal Services Department manages this programme. Public lighting benefits the public realm by contributing to pedestrian and vehicular safety on roads and streets and helps to deter crime and anti-social behaviour.

The primary objectives of the Public Lighting Section are the following:

- The provision of public lighting countywide in an energy and cost-efficient manner.
- To maintain and improve the public lighting system throughout the county.
- To achieve the Government target of a 33% reduction in energy use by 2020.

As the Public Lighting Section is the largest user of electricity in the Council, it is a priority within the Council to help meet the Government energy reduction target of 33% by 2020. In order to meet this target, Public Lighting is currently implementing an LED lantern upgrade programme, which has and is expected to continue to result in energy savings. This programme will continue through to 2020.

Section B - Step 1: Logic Model Mapping

As part of this In-Depth Check, Internal Audit have completed a Programme Logic Model (PLM) for Public Lighting – Energy Supply and Maintenance. A PLM is a standard evaluation tool and further information on their nature is available in the [PSC](#).

Objectives	Inputs	Activities	Outputs	Outcomes
<p>The provision of public lighting countywide in an energy and cost-efficient manner.</p> <p>To maintain and improve the public lighting system throughout the county.</p> <p>To achieve the Government target of a 33% reduction in energy use by 2020.</p>	<p>Energy costs - €1,860,000</p> <p>Maintenance & improvements including LED replacement - €2,321,000</p> <p>Salaries & travel & subsistence - €314,200</p> <p>Other items - €3,400</p>	<p>Provision of public lighting</p> <p>Maintenance and upgrading of public lighting network.</p> <p>Continued roll-out of Energy Efficient Lantern Replacement Programme.</p>	<p>The provision of public lighting within dlr administrative area from dusk to dawn.</p> <p>Continued roll-out of Energy Efficient Lantern Replacement Programme.</p>	<p>The supply of public lighting in dlr administrative area.</p> <p>To enhance Pedestrian and Vehicular safety.</p> <p>To improve the aesthetic appearances of residential and business districts.</p> <p>To deter anti-social and criminal activity.</p> <p>To achieve the EU target of a 33% reduction in energy use by 2020.</p>

Description of Programme Logic Model

Objectives:

It is the responsibility of each Local Authority to provide public lighting within their administrative area. They are responsible for the general operation and maintenance of public lighting including electricity cost.

Inputs:

dlr's Council meeting of 8th November 2016 adopted the Annual Budget for 2017 which included the provision of a budget of €4,498,600. The inputs also included the associated administration costs for staff within the Municipal Services Department. The annual provision for expenditure allows for the phased retrofitting of LED lanterns with the aim of meeting the 2020 National Energy Reduction target.

Activities:

The operation and maintenance of the 23,500 lights within dlr's administrative area by the purchase of electricity from Energia and SSE Airtricity and maintenance services from Al Read Electrical Company Limited.

Outputs:

Having carried out the identified activities using the inputs, the outputs of the programme are the provision of public lighting within the dlr administrative area from dusk to dawn.

Outcomes:

The envisaged outcomes of the programme are the provision of public lighting within the administrative area of dlr in the most energy and cost-efficient manner possible.

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

A. Summary Timeline of the Project

The following section tracks the Public Lighting – Energy Supply & Maintenance – 2017.

Metered Electricity

Up to 30th June 2016, the expenditure for metered electricity in dlr facilities was covered by the OGP Framework Agreement for the Supply of Electricity to the Public Sector (eTenders Ref. 25735). The successful supplier was SSE Airtricity. dlr signed up for estimated expenditure of €150,000 over the 20 month period. A Chief Executive Order signed by the Senior Engineer and the Senior Executive Engineer in the Environment Department activated this contract for the period November 2014 to June 2016. In April 2016, the OGP initiated a mini-competition to award a further 3 year contract commencing 1st July 2016. Following the evaluation of the tenders submitted SSE Airtricity was the successful tenderer.

Public Lighting Maintenance and Installation

dlr advertised on eTenders for public lighting maintenance on the lighting network. The successful tender was awarded to Al Read Electrical Company Limited for a two year period from November 2015 to November 2017 with an annual renewal for a further three years; the renewal date being 1st March 2018. Chief Executive Order No. ENV 534/2015, dated 23rd March 2018 provides for an extension of the provision of maintenance contract currently in place until 28th February 2019.

Public Lighting Upgrade

dlr agreed to undertake a multi-supplier framework with South Dublin County Council, Cork County Council, Fingal County Council and Dublin City Council for the supply and delivery of LED Street Lighting Luminaires in two lots for roads meeting the requirements for lighting class P2 and P4. This enables the purchase of LED lanterns at bulk purchase rates without the requirement for bulk purchases. Chief Executive Order No. RDS/216/15 signed by the Senior Engineer and the Senior Executive Engineer in Public Lighting, dated 25th November 2015, activated this multi-supplier framework agreement which runs to 25th November 2019.

Section B - Step 3: Analysis of Key Documents

The following section reviews the key documentation relating to appraisal, analysis and evaluation for Public Lighting – Energy Supply and Maintenance.

Project/Programme Key Documents	
Title	Details
Annual Budget	2017 Budget approved by the Council in November 2016.
Chief Executive Orders	CE Orders authorising the expenditure on energy and public lighting maintenance costs.
Financial Reports	Expenditure reports generated from Agresso.
Action Plans	Plans and targets for the year are established and tracked.
dlr ISO 50001 Public Lighting Guidelines	Annual guidelines set out in order to achieve energy savings based on technology updates while maintaining the lit environment for all citizens and stakeholders of the area in dlr administrative area

Key Document 1: Budget

The Council made provision in the 2017 Revenue Budget for public lighting expenditure of €4,498,600 and income of €298,500 on this programme. Public lighting accounts for approx. 2.6% of the total budgeted expenditure in the 2017 Adopted Annual Budget.

The County Council meeting of 8th November 2016 adopted the Annual Budget for 2017 which included the provision of a budget of €4,498,600. The inputs also include the associated administration costs for staff within the Municipal Services Department. The annual provision for capital expenditure allowed for the phased retrofitting of LED lanterns with the aim of meeting the 2020 National Energy Reduction target.

From January to October 2017, public lighting activities included 3,980 works, 1,540 lantern upgrades and the installation of over 1,000 columns, brackets and mini pillars. The public lighting activities in the same period in 2016 included 4,380 works, 1,000 lantern upgrades and the installation of over 200 columns, brackets and mini pillars. Hence, a substantial increase in public lighting activities in 2017 when compared to 2016.

Key Document 2: Chief Executive Orders

Signed Chief Executive (CE) Orders authorising the expenditure on energy and public lighting maintenance costs are in place. These Orders ensure compliance with procurement procedures for the following services:

- Provision of public lighting maintenance and installation until February 2019
- Supply and delivery of LED Street Lighting Luminaires in two lots for roads meeting the requirements for lighting class P2 and P4. dlr collaborates with the other Dublin Local Authorities and Cork City Council in the LED lantern purchase framework agreement, which reduces lantern purchase costs through economy of scale.
- Supply of Electricity to Contracting Authorities within the Public Sector.

Key Document 3: Financial Reports

The generation of expenditure reports from Agresso and subsequent financial reviews carried out by Finance/Public Lighting are used to monitor income / expenditure versus budget on a monthly basis.

The Public Lighting Financial Review spreadsheet maintained for 2017 illustrates that the original public lighting expenditure budget, estimated at €4,498,600, was revised downwards to €4,435,600 during the year. At 31 December 2017, 91.25% of the original budget / 92.55% of the revised budget was spent.

The breakdown of the public lighting budget in 2017 was as follows:

- Energy Costs €1,860,000
- Maintenance, Improvements & LED Replacement Scheme €2,321,000
- Salaries & Travel & Subsistence €314,200
- Other Items €3,400

Other items consisted of advertising, printing & consumables and communication expenses.

Public Lighting income consisted of income from Transport Infrastructure Ireland (TII). Total TII income received for 2017 was €642,000, €384,000 greater than the budgeted amount of €258,500.

Monthly management reporting, completed by the Public Lighting Section, includes reporting on operational performance for Municipal Services use. The following are the headings used in this analysis/report:

- Monthly public lighting maintenance
- Number of L.E.D. lights upgraded per road
- Planning & Building Control Queries
- Number of light requests by stakeholders.

The particular detail in relation to public lighting maintenance (largest category of spend) included the following:

- Number of repairs carried out during the month
- Percentage of lights out at the end of the month
- Pole replacement carried out during the month
- Bracket replacements
- Tree Trimming
- ESBN Connections/Requests

The percentage of lights out at the end of December 2017 was 0.8%, the total number of repairs carried out in December 2017 was 498 and a total of 56 light requests were made by stakeholders during this month. We were not provided with any additional target / monthly information. Hence, it is difficult to analyse the status of operations at the end of December 2017.

Key Document 4: Action Plans

The following objective was set out in the Public Lighting Action Plan for 2017: To reduce electricity use in public lighting by 33% by the end of 2020 and a specific target for 2017 to reduce electricity use in public lighting by 5% by November 2017.

The budgeted cost of upgrading traffic and residential lighting for 2017 was €675,000 and it was estimated that this create energy and cost savings of 650,000 KWh / €88,725.00 per year. Performance was measured as follows: Recording energy usage before and after installation which was verified by measuring the drop in energy consumption from the energy bill.

In order to monitor progress against target, Public Lighting maintains an annual record of the number of lights changed and the monthly reduction in energy usage against the target reduction. At the end of 2017, 60.65% of the target energy saving had been met.

Key Document 5: dlr ISO 50001 Public Lighting Guidelines

The Public Lighting Section is dedicated to saving energy, while maintaining the lit environment for all citizens and stakeholders of the county of dlr. This is accomplished by using the most advanced technology available to dlr, LED lanterns and retrofit lamps.

By the end of 2016, they had reduced their energy by 15% from the maximum level, and 7% from the 2009 level. The upgraded lighting, installed since the beginning of 2016, is installed with a pre-programmed dimming regime of 25% dimmed from 12pm to 6am inclusive with a 35/17 lux photocell to trim a further 30 mins from the time lit per night.

These guidelines are updated annually to allow for advances in technology and new technologies and are available on the dlr website.

Requests for alterations of existing lights come into Public Lighting from members of the public, Councillors, Residents Groups, etc. Approx. 20 requests are received per annum and generally relate to new lights, baffles on existing lanterns, requests to upgrade to a brighter light/lower light/wider light spread, or for a new installation along a walkway or laneway for security reasons. Each request is examined separately and dealt with to maximise the outcome for the requester and all future stakeholders.

The following public lighting guidelines and standards are followed by the Public Lighting Section:

- EN13201
- BS 4533 Section 102
- BS 5649
- Guidelines on the reduction of obtrusive light
- National Rules for Electrical Installations
- All standards and guidelines applicable to the installation of lighting on roads, footpaths, walkways, or other locations, see the guidelines available from the website.

Section B - Step 4: Data Audit

The following section details the data audit that was carried out for Public Lighting – Energy Supply and Maintenance - 2017. It evaluates whether appropriate data is available for the future evaluation of the project/programme.

Data Required	Use	Availability
Action Plans	To monitor energy and cost savings	Partly
Expenditure Reports	To monitor expenditure	Partly

Data Availability and Proposed Next Steps

The above data is partly available for inspection. On-going monitoring of expenditure and energy usage is carried out by the Public Lighting Section.

Expenditure will be reviewed in the context of Budget 2018.

Section B - Step 5: Key Evaluation Questions

The following section looks at the key evaluation questions for Public Lighting – Energy Supply and Maintenance -2017 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 under this section, we are of the opinion that this section generally complies with the standards set out in the PSC. We noted the following were generally in place for Public Lighting – Energy Supply & Maintenance – 2017:

- 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 partly available for inspection. On-going monitoring of expenditure and energy usage is carried out by the Public Lighting Section.

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

Improvements are recommended in relation to the following:

Documented Policies & Procedures: There are currently no documented procedures in place in relation to the monitoring and reporting processes undertaken by the Acting Senior Engineer and other staff in the Public Lighting Section. We recommend that procedure documents, outlining the required monitoring and reporting, are put in place.

Monitoring & Reporting: We noted from discussions held that annual ISO 50001 reporting is not always completed on a timely basis. We recommend that monitoring and reporting is completed in all instances in order to identify and resolve issues on a timely basis.

Goals & Objectives: Public Lighting is part of Municipal Services Department. The goals and objectives, and corresponding progress, were not outlined in the 2017 Departmental Annual Service Plan for Municipal Services. We recommend that Departmental Annual Service Plans outline the goals and objectives for each of the sections/units which fall under that particular department.

Annual Action Plans: Currently, it is just the tasks required and the responsible person that are documented in the Public Lighting Action Plan; there are no timelines set out for completion. We recommend that timelines for completion and task owners should be set out in Annual Action Plans for each of the tasks set out in the plans.

Key Performance Indicator (KPI) Targets: We were not provided with evidence of targets set for the KPI's outlined in the monthly operations report or another month's report for comparison purposes. We recommend that targets are outlined for all KPI's. These targets should be documented in the monthly operational reports and analysis / comparison against target and prior month should be completed.

Chief Executive Orders: We were not provided with the signed Chief Executive Order approving the appointment of SSE Airtricity to supply electricity to Contracting Authorities within the Public Sector, as part of a National Framework Agreement, relating to 2017. We were provided with the unsigned Chief Executive Order relating to the appointment to provide the service from 1 November 2014 until 30 June 2016. We recommend that copies of signed Chief Executive Orders should be readily available for examination in all instances.

Data Evaluation: Data was partly available for inspection. Data to support a full evaluation of the project at a later stage should be maintained throughout the life-cycle of a project.

Section: In-Depth Check Summary

The following section presents a summary of the findings of this In-Depth Check on Public Lighting – Energy Supply and Maintenance -2017.

Summary of In-Depth Check

Project Description:

It is the responsibility of each Local Authority to provide public lighting within their administrative area. They are responsible for the general operation and maintenance of public lighting including electricity cost.

There are approx. 23,500 public lights within the dlr administrative area which spans rural, urban and suburban communities and contains several key elements of national and regional infrastructure, including the M11, M50 and N11 national primary roads. The Council's Public Lighting Section within the Municipal Services Department manages this programme.

The purpose of the review was to provide an independent professional opinion on compliance with the PSC and, more specifically, the quality of the appraisal, planning and implementation of work done within each programme. This scheme was examined in order to assess if the practices implemented are of a high standard. The scope of the audit included a review of compliance with the PSC.

Findings:

Having reviewed the documentation in relation to the expenditure incurred under this programme in 2017, Internal Audit is of the opinion that this programme complies with the standards set out in the PSC.

Audit Opinion:

Internal audit have examined the controls in place for Public Lighting – Energy Supply & Maintenance, and can give reasonable assurance that there is compliance with the PSC.