

**Comhairle Contae  
Fhine Gall**  
Fingal County  
Council



**Quality Assurance Report for 2016**  
**Fingal County Council**

**23<sup>rd</sup> May 2017**

Submitted to the National Oversight and Audit Commission  
in compliance with the Public Spending Code

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## 1. Introduction

Fingal County Council has completed this Quality Assurance 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 Fingal County Council and its associated agencies are meeting the obligations set out in the Public Spending Code<sup>1</sup>. The Public Spending Code ensures that the state achieves value for money in the use of all public funds.

The Quality Assurance Process contains five steps:

1. **Drawing up Inventories of all projects/programmes at different stages of the Project Life Cycle** (appraisal, planning/design, implementation, post implementation). The inventories include all projects/programmes above €0.5m and cover three stages viz:
  - Expenditure being considered
  - Expenditure being incurred
  - Expenditure that has recently ended.
2. **Publish summary information on website of all procurements in excess of €10m, whether new, in progress or completed.**
3. **Checklists to be completed in respect of the different stages.** These checklists allow the Council and its agencies to self-assess their compliance with the code in respect of the checklists which are provided through the PSC document.
4. **Carry out a more in-depth check on a small number of selected projects/programmes.** A number of projects or programmes are selected for a more in-depth review. This includes a review of all projects from ex-post to ex-ante. At least 5% of the total capital inventory expenditure (or 15% over a three year period) and at least 1% of revenue expenditure (or 3% over a three year period) are subject to in-depth checks.
5. **Complete a report for the National Oversight and Audit Commission (NOAC)** which includes the inventory of all projects, the website reference for the publication of procurements above €10m, the completed checklists, the Council's judgement on the adequacy of processes given the findings from the in-depth checks and the Council's proposals to remedy any discovered inadequacies.

This report fulfils the fifth requirement of the QA process for Fingal County Council for 2016.

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<sup>1</sup> Public Spending Code, DPER, <http://publicspendingcode.per.gov.ie/>

## 2. Expenditure Analysis

### 2.1 Inventory of Projects / Programmes

The first step in the process requires an inventory to be compiled in accordance with the guidance on the Quality Assurance process. The inventory lists all of Fingal County Council's projects and programmes at various stages of the project life cycle which amount to more than €0.5m. The inventory is divided between current and capital expenditure and further broken down as follows:

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

In summary, there are 118 projects/programmes included in the inventory. Of these, 15 projects/programmes were being considered, 97 projects/programmes were incurring expenditure and 6 projects had recently ended.

The 2016 inventory is summarised in the following table:

Project / Programme Description	Expenditure being considered					Expenditure being incurred			Expenditure recently ended			Total Inventory Value €m
	Current	Capital				> €0.5m			> €0.5m			
	> €0.5m	Capital Grant Schemes > €0.5m	Capital Projects			Current Expenditure	Capital Grant Schemes	Capital Projects	Current Expenditure	Capital Grant Schemes	Capital Projects	
		€0.5 - €5m	€5 - €20m	€20m plus								
A - Housing and Building	9,661,566	-	21,311,000	7,475,000	-	51,334,189	-	94,813,000	-	700,000	500,000	185,794,755
B - Road Transportation & Safety	1,796,702	-	7,915,000	7,900,000	-	26,028,519	-	44,300,000	-	-	1,500,000	89,440,221
C - Water Services	6,192,502	-	-	-	-	20,848,551	-	1,443,850	-	-	-	28,484,903
D - Development Management	6,557,550	-	2,700,000	-	-	18,079,946	-	2,800,000	-	-	7,101,000	37,238,496
E - Environmental Services	1,441,587	-	3,000,000	-	-	42,424,717	-	22,640,000	-	-	-	69,506,304
F - Recreation & Amenity	9,329,672	-	7,380,000	-	-	41,728,033	-	16,100,000	-	-	750,000	75,287,705
H - Miscellaneous	1,315,833	-	-	-	-	12,165,126	-	1,582,500	-	-	-	15,063,459
<b>Total Inventory Value €m</b>	<b>36,295,412</b>	<b>-</b>	<b>42,306,000</b>	<b>15,375,000</b>	<b>-</b>	<b>212,609,081</b>	<b>-</b>	<b>183,679,350</b>	<b>-</b>	<b>700,000</b>	<b>9,851,000</b>	<b>500,815,843</b>
<b>No. Projects/Programmes</b>	<b>7</b>	<b>0</b>	<b>6</b>	<b>2</b>	<b>0</b>	<b>49</b>	<b>0</b>	<b>48</b>	<b>0</b>	<b>1</b>	<b>5</b>	<b>118</b>

The full inventory can be found in **Appendix 1** of this report.

### 2.2 Published Summary of Procurements

The second step in the process is to publish summary information on the Council's website of all procurements in excess of €10m.

There were no procurements in 2016 which exceeded the threshold in this respect.

Fingal County Council publishes this information on its website: [www.fingal.ie/your-council/budgets-expenditure-and-financial-statements/public\\_spending\\_code](http://www.fingal.ie/your-council/budgets-expenditure-and-financial-statements/public_spending_code).

### 3. Assessment of Compliance

#### 3.1 Checklist Completion: Approach taken

The third step in the process involves completing a set of seven self-assessment checklists covering the expenditure set out in the project inventory referred to in 2.1 above. In addition to the self-assessed scoring, answers are accompanied by explanatory comments.

Each question in the checklist is judged by a 3 point scale:

- 1 = Scope for significant improvements
- 2 = Compliant but with some improvement necessary
- 3 = Broadly Compliant

For some questions, the scoring mechanism is not always strictly relevant. In these cases, it is appropriate to mark as N/A and the required information is provided in the commentary box as appropriate.

The set of completed checklists are set out in **Appendix 2** of this report.

#### 3.2 Main issues arising from Checklist Assessment

In respect of the Public Spending Code and its application, all relevant staff are aware of their obligations. A revised guidance document was produced for local authorities in respect of the 2016 Quality Assurance Process by the County and City Management Association to ensure a consistent approach across the sector. This has been circulated to all relevant staff.

The Corporate Governance Division, which is independent of Council Departments, has been proactive in implementing the QA process.

Capital expenditure within the Council is project-based and largely funded through capital grants, development levies, provisions from Revenue Account and borrowing. The checklists for capital expenditure show satisfactory levels of compliance.

Current expenditure can be defined as revenue expenditure or operational expenditure which is formally adopted by Council Members each year as part of the statutory budget process. The checklists for current expenditure show satisfactory levels of compliance.

A satisfactory level of compliance indicates that some improvements are required to enhance the adequacy and/or effectiveness of risk management, control and governance.

### 3.3 In-Depth Checks

Step 4 of the QA process provides for in-depth checks to be carried out by the Internal Audit Unit of the Council. According to the guidance document issued by DPER in February 2017, the value of the projects selected for in-depth review each year must follow the criteria set out below:

- **Capital Projects:** Projects selected must represent a minimum of 5% of the total value of all Capital projects on the Project Inventory.
- **Revenue Projects:** Projects selected must represent a minimum of 1% of the total value of all Revenue Projects on the Project Inventory.

This minimum is an average over a three year period.

For the period 2014 – 2016, 17.3% of the inventory has been subject to in-depth checks.

The set of completed In-Depth Check Reports are contained in **Appendix 3** of this report.

The Capital Projects subject to in-depth checks are listed in the following table:

Summary of Capital Projects Subject to In-Depth Review		
Project Name	Value €m	PSC Status
Fry Model Railway / Casino	2.0	Considered
Hole in the Wall Road, Baldoyle	3.3	Incurred
Cappaghfinn Phase 1 - 14 Units	2.6	Incurred
Donabate Library	0.75	Completed
<b>Total Value of In-depth Checks</b>	<b>€8.65m</b>	
Total Value of Capital Inventory	€251.91m	
<b>% of Inventory Value Analysed</b>	<b>3.4%</b>	

The Revenue Programme subject to an in-depth check is outlined in the table below:

Summary of Revenue Project Subject to In-Depth Review	
Programme	Value €m
B05 Public Lighting	€4.64
<b>Total Value of In-depth Checks</b>	<b>€4.64</b>
Total Value of Revenue Inventory	€212.6m
<b>% of Inventory Value Analysed</b>	<b>2.2%</b>

### 3.3.1

### Fry Model Railway / Casino

Project Value €2.0m

**PSC Status:** Under Consideration

**Project Description:** The objective of this project is to restore and preserve the historic Malahide Casino House Building and to return the Fry Model Railway Museum to Malahide and present it to the public as a visitor attraction and educational centre.

**Audit Objective:** To provide an independent opinion on compliance with the Public Spending Code and to provide assurance that the decision to progress with the project is soundly based and is being well managed.

**Findings:** The bequest of €1.5m was used to finance the purchase of the property and the railway collection. The bequest will not cover the full capital cost of the restoration, extension and new exhibition and it is intended that the Council will provide partial financing to complete the project.

**Audit Opinion:** The opinion was informed from the review carried out by the Internal Audit Unit that the decision to go ahead with the project was soundly based and the project is well managed. Overall, the project provides Satisfactory Assurance (see Appendix 4) that there is compliance with the Public Spending Code.

### 3.3.2

### Hole in the Wall Road, Baldoyle

Project Value €3.3m

**PSC Status:** Expenditure Being Incurred

**Project Description:** The scheme will provide for an improved junction and associated road infrastructure that will link with the recently upgraded Hole in the Wall Road to a Quality Bus Corridor from the Dublin City Council boundary running south and to the Drumnigh Road at Mayne Road. The scheme is included as a road improvement scheme project in the current Development Plan 2017 - 2023.

**Audit Objective:** To provide an independent opinion on compliance with the Public Spending Code and to provide assurance that the decision to progress with the project was soundly based and well managed.

**Findings:** This project is at an early stage of development and has had appropriate funding approved. However, it is noted that when this project was initially proposed in 2006, it was part of the larger project Mayne Road and Coast Road Upgrade Scheme. The Consulting Engineers were appointed from a Framework Agreement for Civil Engineering Projects for Road Schemes at that time. Due to the economic downturn the project was shelved and was not progressed until 2013. The original Consulting Engineers were re-appointed when the project was reappraised and this element of the project was proceeded with in isolation.

**Audit Opinion:** The opinion was informed from the review carried out by the Internal Audit Unit that the decision to go ahead with the project was soundly based and the project was well managed. Overall, the project provides Satisfactory Assurance (see Appendix 4) that there is compliance with the Public Spending Code.

### 3.3.3 Cappaghfinn Phase 1 1 -14 Units Project Value €2.6m

**PSC Status:** Expenditure being incurred

**Project Description:** The objective of the Cappaghfinn Project Phase 1 was to construct 14 social dwellings, which would be used to accommodate applicants on the housing waiting list in the Blanchardstown Area. The dwellings have been completed and allocated. The site on which this scheme was constructed was acquired from the developer of the adjacent private estate in fulfilment of their Part V obligations.

**Audit Objective:** To provide an independent opinion on compliance with the Public Spending Code and to provide assurance that the decision to progress with the project was soundly based and well managed.

**Findings:** The appointment of the contractor prior to approval having been received by the Department for Stages 3 and 4 of the project, contravenes the Public Spending Code and the processes of the Capital Works Management Framework (CWMF). However, this omission should be viewed in the context of the drive from the Department to ensure the delivery of Social Housing Projects to meet Government targets.

The contract costs, as per the Final Account agreed with the Contractor, have increased by 33.4%. This relates to 92 change orders agreed with the Contractor, which include a number of major items unforeseen at tender stage. These include the removal of pyrite material contained within the infill material on-site which affected the road and drainage infrastructure and the creation of a new road accessing the site directly off the Cappagh Road, which will also serve the phased development of the adjacent Council lands.

**Audit Opinion:** The opinion was informed from the review carried out by the Internal Audit Unit that the decision to go ahead with the project was soundly based and the project was well managed. Overall, the project provides Satisfactory Assurance (see Appendix 4) that there is compliance with the Public Spending Code.

### 3.3.4 Donabate Library Project Value €0.75m

**PSC Status:** Completed

**Project Description:** The objective of this project was to provide a new library facility within Donabate Portrane Community and Leisure Centre.

**Audit Objective:** To provide an independent opinion on compliance with the Public Spending Code and to provide assurance that the decision to progress with the project was soundly based and well managed.

**Findings:** All of the appointments of consultants and subcontractors were carried out in compliance with proper procurement procedures. However, the overall cost of the project exceeded the original budget principally because a fire assessment was required to be carried out on the existing building. This appraisal should have been anticipated and carried out at an earlier stage of the project and factored into the project costs.

No formal post project review has been carried out to date.

**Audit Opinion:** The opinion was informed from the review carried out by the Internal Audit Unit that the decision to go ahead with the project was soundly based and the project was well managed. Overall, the project provides Satisfactory Assurance (see Appendix 4) that there is compliance with the Public Spending Code.

### 3.3.5 B05 Public Lighting

Programme Value €4.64m

**PSC Status:** Being Incurred

**Project Description:** The supply and maintenance of the public lighting service over the network consisting of 32,400 lights in the Fingal area which covers a geographical area of 452.sq.km, which spans rural, urban and suburban communities and contains several key elements of national and regional infrastructure, including the M1, M2 and N3 national primary roads.

**Audit Objective:** To provide an independent opinion on compliance with the Public Spending Code and to provide assurance that the expenditure being incurred is being well managed.

**Findings:** Having reviewed the documentation in relation to the expenditure incurred under this programme in 2016, Internal Audit is of the opinion that this programme complies with the standards set out in the Public Spending Code.

**Audit Opinion:** The opinion was informed from the review carried out by the Internal Audit Unit on the expenditure incurred on this programme in 2016 that the project is well managed. Overall, the project provides Satisfactory Assurance (see Appendix 4) that there is compliance with the Public Spending Code.

#### **4. Next Steps: Addressing Quality Assurance Issues**

The compilation of both the Inventory and Checklists for 2016 built upon the significant work undertaken in regard to last year's report. The experience gained is valuable and will continue to guide future Quality Assurance Process activities.

Preliminary training was provided at sectoral level and by DPER in May 2016. Training in relation to implementation of the Public Spending Code continues to be a priority for Fingal County Council. There has been ongoing contact with DPER in relation to the provision of a more detailed PSC training. Fingal is committed to providing ongoing internal training in relation to areas such as procurement, etc.

#### **5. Conclusion**

The Inventory outlined in this report lists the Capital and Revenue expenditure that is being considered, being incurred and that has recently ended. There were no procurements in excess of €10m in the year under review.

The Checklists completed by the Council and in-depth checks show a satisfactory level of compliance with the Public Spending Code. Additional work is required by all sections within the Council to ensure full and substantial compliance with the Code.

#### **6. Certification**

This annual Quality Assurance Report reflects Fingal 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.



**Ann Marie Farrelly,**  
**Acting Chief Executive,**  
**Fingal County Council.**

**Date: 23<sup>rd</sup> May 2017**

## Appendix 1 Inventory of Projects/Programmes above €0.5 million

Project / Programme Description	Expenditure being considered					Expenditure being incurred			Expenditure recently ended			NOTES (for publication where relevant)
	Current	Capital				> €0.5m			> €0.5m			
	> €0.5m	Capital Grant Schemes > €0.5m	Capital Projects			Current Expenditure	Capital Grant Schemes	Capital Projects	Current Expenditure	Capital Grant Schemes	Capital Projects	
		€0.5 - €5m	€5 - €20m	€20m plus								
<b>A- Housing &amp; Building</b>												
Cluid - 22 College Street			1,159,000									
Cluid - Church Street Mulhuddart			3,792,000									
Fold - Balglass Road Howth			2,980,000									
Vincent De Paul (Estuary Road Malahide)			1,280,000									
Castleknock/Mulhuddart Site			1,000,000									
Collinstown Replacement			2,300,000									
Donabate			1,100,000									
Howth			1,000,000									
Moyne Road			2,000,000									
Gardiner's Hill, Balbriggan - Refurbishment			500,000									
NCT Site Ballymun			900,000									

Project / Programme Description	Expenditure being considered					Expenditure being incurred			Expenditure recently ended			NOTES (for publication where relevant)
	Current	Capital				> €0.5m			> €0.5m			
	> €0.5m	Capital Grant Schemes > €0.5m	Capital Projects			Current Expenditure	Capital Grant Schemes	Capital Projects	Current Expenditure	Capital Grant Schemes	Capital Projects	
			€0.5 - €5m	€5 - €20m	€20m plus							
Parslickstown Gardens - Refurbishment			900,000									
St Brigid's Lawn, Porterstown - Refurbishment			600,000									
St Mary's - Refurbishment			1,300,000									
Moyne Park refurbishment Phase 2			500,000									
Cappaghfinn Phase 2 - 32 Units				7,475,000								
Corduff Additional Works							2,000,000					
North & East (Balrothery)							2,000,000					
Moyne Park Baldoyle - Refurbishment							1,300,000					
Cappagh (ajd Heathfield) 14 Houses / Cappaghfinn Phase 1 - 14 Units							2,600,000					
Grange Ballyboughal - 8 houses							1,568,000					
Parkview Castlelands - 24 houses							4,340,000					
Private House Purchase							22,000,000					

Project / Programme Description	Expenditure being considered					Expenditure being incurred			Expenditure recently ended			NOTES (for publication where relevant)
	Current	Capital				> €0.5m			> €0.5m			
	> €0.5m	Capital Grant Schemes > €0.5m	Capital Projects			Current Expenditure	Capital Grant Schemes	Capital Projects	Current Expenditure	Capital Grant Schemes	Capital Projects	
			€0.5 - €5m	€5 - €20m	€20m plus							
Racecourse Common Phase 2 - 77 units							11,600,000					
Rathbeale Road Swords -25 units							4,930,000					
Works for Disabled Tenants							325,000					
Central Heating - Estate Management							3,000,000					
Contract Painting - Estate Management							1,650,000					
Pre-let repairs - Estate Management							8,100,000					
Upgrading Works - Window & Door Replacement - Estate Management							4,500,000					
Part V - Various Locations - Affordable Housing							200,000					
Estate Improvement Works - Travellers							600,000					
Pre-let repairs - Travellers							600,000					
Capital Advanced Leasing Facility							7,000,000					
CAS							16,000,000					

Project / Programme Description	Expenditure being considered					Expenditure being incurred			Expenditure recently ended			NOTES (for publication where relevant)
	Current	Capital				> €0.5m			> €0.5m			
	> €0.5m	Capital Grant Schemes > €0.5m	Capital Projects			Current Expenditure	Capital Grant Schemes	Capital Projects	Current Expenditure	Capital Grant Schemes	Capital Projects	
			€0.5 - €5m	€5 - €20m	€20m plus							
St. Cronan's Green - 14 Units							500,000					
SEAI Project Kettles Lane									700,000			
Scoil Nessain Baldoyle										500,000		
A01 Maintenance & Improvement of LA Housing Units	1,820,371											
A02 Housing Assessment, Allocation and Transfer	583,988											
A03 Housing Rent and Tenant Purchase Administration	603,966											
A04 Housing Community Development Support	527,789											
A06 Support to Housing Capital Prog.	1,246,605											
A07 RAS Programme	4,878,847											
A01 Maintenance & Improvement of LA Housing Units						10,633,310						
A02 Housing Assessment, Allocation and Transfer						1,101,287						
A03 Housing Rent and Tenant Purchase Administration						1,442,412						

Project / Programme Description	Expenditure being considered					Expenditure being incurred			Expenditure recently ended			NOTES (for publication where relevant)
	Current	Capital				> €0.5m			> €0.5m			
	> €0.5m	Capital Grant Schemes > €0.5m	Capital Projects			Current Expenditure	Capital Grant Schemes	Capital Projects	Current Expenditure	Capital Grant Schemes	Capital Projects	
		€0.5 - €5m	€5 - €20m	€20m plus								
A04 Housing Community Development Support						1,435,113						
A05 Administration of Homeless Service						2,735,100						
A06 Support to Housing Capital Prog.						7,987,869						
A07 RAS Programme						16,874,146						
A08 Housing Loans						6,677,029						
A09 Housing Grants						2,447,923						
<b>B- Road Transportation &amp; Safety</b>												
Dublin Enterprise Zone			865,000									
Estension of S2S Cycle Route Extension, Sutton to Malahide			1,000,000									
Flood Remediation Works			600,000									
LED Energy Reduction Project			2,000,000									
Signage Provision Scheme			750,000									
Signals and Toucan Crossings in Urban areas			600,000									

Project / Programme Description	Expenditure being considered					Expenditure being incurred			Expenditure recently ended			NOTES (for publication where relevant)
	Current	Capital				> €0.5m			> €0.5m			
	> €0.5m	Capital Grant Schemes > €0.5m	Capital Projects			Current Expenditure	Capital Grant Schemes	Capital Projects	Current Expenditure	Capital Grant Schemes	Capital Projects	
			€0.5 - €5m	€5 - €20m	€20m plus							
Kilshane Cross			2,100,000									
Royal Canal Cycleway - Phase 2&3 including Cycle Network Route 1 (Royal Canal 12th Lock to KCC)				7,900,000								
Bridge Rehabilitation							1,200,000					
Hole in the Wall Road, Baldoyle							3,300,000					
Pedestrian/Cycleway Broadmeadow Way							6,200,000					
Snugborough Interchange							13,700,000					
Bridge at Back Road, Malahide							1,300,000					
Baldoyle - Portmarnock Coastal Walkway							1,600,000					
Donabate Road							17,000,000					
Castle Mills Access Road, Balbriggan										1,500,000		
B03 Regional Road - Maintenance and Improvement	1,105,265											
B04 Local Road - Maintenance and Improvement	691,437											

Project / Programme Description	Expenditure being considered					Expenditure being incurred			Expenditure recently ended			NOTES (for publication where relevant)
	Current	Capital				> €0.5m			> €0.5m			
	> €0.5m	Capital Grant Schemes > €0.5m	Capital Projects			Current Expenditure	Capital Grant Schemes	Capital Projects	Current Expenditure	Capital Grant Schemes	Capital Projects	
			€0.5 - €5m	€5 - €20m	€20m plus							
B03 Regional Road - Maintenance and Improvement						7,563,963						
B04 Local Road - Maintenance and Improvement						8,007,838						
B05 Public Lighting						4,638,613						
B06 Traffic Management Improvement						2,898,195						
B08 Road Safety Promotion & Education						1,060,699						
B09 Car Parking						879,221						
B10 Support to Roads Capital Prog						979,990						
<b>C - Water Services</b>												
Portrane Canal Works (Surface Water)								743,850				
Water Service Regional Training Group								700,000				
C01 Water Supply	3,150,394											
C02 Waste Water Treatment	2,287,890											
C06 Support to Water Capital Programme	754,218											

Project / Programme Description	Expenditure being considered					Expenditure being incurred			Expenditure recently ended			NOTES (for publication where relevant)
	Current	Capital				> €0.5m			> €0.5m			
	> €0.5m	Capital Grant Schemes > €0.5m	Capital Projects			Current Expenditure	Capital Grant Schemes	Capital Projects	Current Expenditure	Capital Grant Schemes	Capital Projects	
			€0.5 - €5m	€5 - €20m	€20m plus							
C01 Water Supply						10,623,454						
C02 Waste Water Treatment						6,710,070						
C03 Collection of Water and Waste Water Charges						450,249						
C06 Support to Water Capital Programme						1,855,991						
C08 Local Authority Water and Sanitary Services						1,208,787						
<b>D - Development Management</b>												
Enterprise Centres			1,800,000									
Stephenstown Industrial Estate			900,000									
SICAP								1,200,000				
College Business and Technology Park Buzzardstown								700,000				
Damastown Industrial Estate								900,000				
Acquisition of Land at Cherryhound											6,070,000	

Project / Programme Description	Expenditure being considered					Expenditure being incurred			Expenditure recently ended			NOTES (for publication where relevant)
	Current	Capital				> €0.5m			> €0.5m			
	> €0.5m	Capital Grant Schemes > €0.5m	Capital Projects			Current Expenditure	Capital Grant Schemes	Capital Projects	Current Expenditure	Capital Grant Schemes	Capital Projects	
		€0.5 - €5m	€5 - €20m	€20m plus								
Loughshinny land acquisition											1,031,000	
D01 Forward Planning	1,037,766											
D02 Development Management	3,576,362											
D06 Community and Enterprise Function	606,459											
D08 Building Control	622,687											
D09 Economic Development and Promotion	714,276											
D01 Forward Planning						3,534,095						
D02 Development Management						5,714,894						
D03 Enforcement						736,961						
D04 Industrial and Commercial Facilities						1,145,866						
D05 Tourism Development and Promotion						861,054						
D06 Community and Enterprise Function						1,696,927						
D08 Building Control						827,318						

Project / Programme Description	Expenditure being considered					Expenditure being incurred			Expenditure recently ended			NOTES (for publication where relevant)
	Current	Capital				> €0.5m			> €0.5m			
	> €0.5m	Capital Grant Schemes > €0.5m	Capital Projects			Current Expenditure	Capital Grant Schemes	Capital Projects	Current Expenditure	Capital Grant Schemes	Capital Projects	
		€0.5 - €5m	€5 - €20m	€20m plus								
D09 Economic Development and Promotion						2,694,378						
D10 Property Management						868,453						
<b>E- Environmental Services</b>												
Kellystown D.15 Graveyard			2,500,000									
Dunsink Landfill Restoration and Development			500,000									
Nevitt Landfill								2,900,000				
Balleally Landfill Restoration & Development								17,240,000				
Emergency coastal protection works								600,000				
New Burial Ground (Balgriffin Cemetery Extension)								1,900,000				
E06 Street Cleaning	1,441,587											
E01 Landfill Operation and Aftercare						6,625,239						
E02 Recovery & Recycling Facilities Operations						2,760,519						

Project / Programme Description	Expenditure being considered					Expenditure being incurred			Expenditure recently ended			NOTES (for publication where relevant)
	Current	Capital				> €0.5m			> €0.5m			
	> €0.5m	Capital Grant Schemes > €0.5m	Capital Projects			Current Expenditure	Capital Grant Schemes	Capital Projects	Current Expenditure	Capital Grant Schemes	Capital Projects	
		€0.5 - €5m	€5 - €20m	€20m plus								
E03 Waste to Energy Facilities Operations						940,665						
E05 Litter Management						923,993						
E06 Street Cleaning						6,021,043						
E07 Waste Regulations, Monitoring and Enforcement						1,231,004						
E09 Maintenance of Burial Grounds						2,694,165						
E10 Safety of Structures and Places						1,370,675						
E11 Operation of Fire Service						19,108,226						
E13 Water Quality, Air and Noise Pollution						749,188						
<b>F - Recreation &amp; Amenity</b>												
Kellystown/Porterstown School Site (DOES)			1,600,000									
Percent for Art			500,000									
Tyrrellstown AWP			1,200,000									
Community Centre Improvement works			500,000									

Project / Programme Description	Expenditure being considered					Expenditure being incurred			Expenditure recently ended			NOTES (for publication where relevant)
	Current	Capital				> €0.5m			> €0.5m			
	> €0.5m	Capital Grant Schemes > €0.5m	Capital Projects			Current Expenditure	Capital Grant Schemes	Capital Projects	Current Expenditure	Capital Grant Schemes	Capital Projects	
			€0.5 - €5m	€5 - €20m	€20m plus							
Malahide Casino / Fry Model			2,000,000									
Malahide Castle Renovations (Roof & Windows)			500,000									
Skerries Library Refurbishment			1,080,000									
Balbriggan Community College Sports Hall (DOES)							1,300,000					
Castlelands Recreation Centre (DOES)							2,500,000					
Kinsealy/Melrose Community Projects							1,900,000					
Lusk Integrated Facility (DOES)							1,200,000					
Newbridge Demesne (Upgrade Visitor Facilities)							1,500,000					
Swords Cultural Quarter							6,000,000					
St Catherine's Park							700,000					
Tyrellstown Park							1,000,000					
Donabate Library										750,000		

Project / Programme Description	Expenditure being considered					Expenditure being incurred			Expenditure recently ended			NOTES (for publication where relevant)
	Current	Capital				> €0.5m			> €0.5m			
	> €0.5m	Capital Grant Schemes > €0.5m	Capital Projects			Current Expenditure	Capital Grant Schemes	Capital Projects	Current Expenditure	Capital Grant Schemes	Capital Projects	
			€0.5 - €5m	€5 - €20m	€20m plus							
F02 Operation of Library and Archival Service	5,134,067											
F03 Outdoor Leisure Areas Operations	3,578,881											
F04 Community Sport and Recreational Development	616,724											
F01 Leisure Facilities Operations					1,829,627							
F02 Operation of Library and Archival Service					11,637,304							
F03 Outdoor Leisure Areas Operations					17,114,457							
F04 Community Sport and Recreational Development					4,215,909							
F05 Operation of Arts Programme					6,930,736							
<b>H - Miscellaneous</b>												
Refurbishment of County Hall							980,000					
Core IT Data Network Replacement							602,500					
H09 Local Representation & Civic Leadership	633,408											

Project / Programme Description	Expenditure being considered					Expenditure being incurred			Expenditure recently ended			NOTES (for publication where relevant)
	Current	Capital				> €0.5m			> €0.5m			
	> €0.5m	Capital Grant Schemes > €0.5m	Capital Projects			Current Expenditure	Capital Grant Schemes	Capital Projects	Current Expenditure	Capital Grant Schemes	Capital Projects	
			€0.5 - €5m	€5 - €20m	€20m plus							
H11 Agency & Recoupable Services	682,425											
H03 Administration of Rates						8,853,849						
H04 Franchise Costs						569,727						
H09 Local Representation & Civic Leadership						2,081,119						
H11 Agency & Recoupable Services						660,431						
<b>TOTALS</b>	<b>36,295,412</b>	-	<b>42,306,000</b>	<b>15,375,000</b>	-	<b>212,609,081</b>	-	<b>183,679,350</b>	-	<b>700,000</b>	<b>9,851,000</b>	

## Appendix 2 Self-Assessment Checklists

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

General Obligations not specific to individual projects/ programme	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 Public Spending Code (incl. through training)?	3	
1.2 Has training on the Public Spending Code been provided to relevant staff within the authority?	2	Some training has been provided which directly relates to the PSC. FCC is committed to providing ongoing training in relation to areas such as procurement, etc. and has been in ongoing contact with DPER with a view to their delivering the more detailed training programme they provide once DPER are in a position to provide same.
1.3 Has the Public Spending Code been adapted for the type of project/programme that your local authority is responsible for? i.e., have adapted sectoral guidelines been developed?	3	Local Government Sector guidance is in place and has been followed.
1.4 Has the local authority in its role as Sanctioning Authority satisfied itself that agencies that it funds comply with the Public Spending Code?	N/A	
1.5 Have recommendations from previous QA reports (incl. spot checks) been disseminated, where appropriate, within the local authority and to agencies?	3	Findings issued within and followed up
1.6 Have recommendations from previous QA reports been acted upon?	3	Recommendations have been followed up
1.7 Has an annual Public Spending Code QA report been certified by the local authority's Chief Executive, submitted to NOAC and published on the authority's website?	3	
1.8 Was the required sample of projects/programmes subjected to in-depth checking as per step 4 of the QAP?	3	

1.9 Is there a process in place to plan for ex post evaluations/Post Project Reviews?	1	FCC proposes to develop a process for selecting and reviewing completed projects. Reviews are currently taking place on an ad-hoc basis.
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?	1	No formal post projects reviews were completed for projects which were completed in 2016. However, FCC proposes to develop a process for selecting and reviewing completed projects.
1.11 Is there a process to follow up on the recommendations of previous evaluations/Post project reviews?	2	Recommendations from previous in-depth checks are recorded and tracked. Future recommendations resulting from Post Project Reviews will be included on this tracker.
1.12 How have the recommendations of previous evaluations / post project reviews informed resource allocation decisions?	1	No formal post projects reviews have been undertaken.

**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	
2.2 Was an appropriate appraisal method used in respect of capital projects or capital programmes/grant schemes?	3	
2.3 Was a CBA/CEA completed for all projects exceeding €20m?	3	
2.4 Was the appraisal process commenced at an early stage to facilitate decision making? (i.e. prior to the decision)	3	
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	
2.6 If a CBA/CEA was required was it submitted to the relevant Department for their views?	3	
2.7 Were the NDFA consulted for projects costing more than €20m?	3	
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?	3	
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	

**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	
3.2 Are objectives measurable in quantitative terms?	3	
3.3 Was a business case, incorporating financial and economic appraisal, prepared for new current expenditure?	2	
3.4 Was an appropriate appraisal method used?	3	
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	
3.11 Was the required approval granted?	3	
3.12 Has a sunset clause (as defined in section B06, 4.2 of the Public Spending Code) been set?	N/A	
3.13 If outsourcing was involved were procurement rules complied with?	3	
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	
3.15 Have steps been put in place to gather performance indicator data?	3	

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

<b>Incurring Capital Expenditure</b>	<b>Self- Assessed Compliance Rating: 1-3</b>	<b>Comment/Action Required</b>
4.1 Was a contract signed and was it in line with the Approval in Principle?	3	
4.2 Did management boards/steering committees meet regularly as agreed?	3	
4.3 Were programme co-ordinators appointed to co-ordinate implementation?	3	
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	
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	
4.8 Were decisions on changes to budgets / time schedules made promptly?	3	
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	
4.10 If circumstances did warrant questioning the viability of a project/programme/grant scheme, was the project subjected to adequate examination?	N/A	
4.11 If costs increased was approval received from the Sanctioning Authority?	3	
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?	N/A	

**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	
5.2 Are outputs well defined?	3	
5.3 Are outputs quantified on a regular basis?	2	
5.4 Is there a method for monitoring efficiency on an on-going basis?	2	
5.5 Are outcomes well defined?	3	
5.6 Are outcomes quantified on a regular basis?	2	
5.7 Are unit costings compiled for performance monitoring?	2	
5.8 Are other data compiled to monitor performance?	2	
5.9 Is there a method for monitoring effectiveness on an on-going basis?	2	
5.10 Has the organisation engaged in any other 'evaluation proofing' of programmes/projects?	3	

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

<b>Capital Expenditure Recently Completed</b>	<b>Self- Assessed Compliance Rating: 1-3</b>	<b>Comment/Action Required</b>
6.1 How many post project reviews were completed in the year under review?	N/A	
6.2 Was a post project review completed for all projects/programmes exceeding €20m?	N/A	
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	
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?	2	
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?	3	
6.6 Were lessons learned from post-project reviews disseminated within the Sponsoring Agency and to the Sanctioning Authority? (Or other relevant bodies)	3	
6.7 Were changes made to practices in light of lessons learned from post-project reviews?	3	
6.8 Were project reviews carried out by staffing resources independent of project implementation?	2	

**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?	3	
7.2 Did those reviews reach conclusions on whether the programmes were efficient?	3	
7.3 Did those reviews reach conclusions on whether the programmes were effective?	3	
7.4 Have the conclusions reached been taken into account in related areas of expenditure?	3	
7.5 Were any programmes discontinued following a review of a current expenditure programme?	3	
7.6 Were reviews carried out by staffing resources independent of project implementation?	2	
7.7 Were changes made to the organisation's practices in light of lessons learned from reviews?	2	

**Notes:**

(a) 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

(b) For some questions, the scoring mechanism is not always strictly relevant. In these cases, it is appropriate to mark as N/A and provide the required information in the commentary box as appropriate.

(c) The focus should be on providing descriptive and contextual information to frame the compliance ratings and to address the issues raised for each question. It is also important to provide summary details of key analytical outputs for those questions which address compliance with appraisal/evaluation requirements i.e. the annual number of CBAs, VFMs/FPAs and post project reviews.

**Quality Assurance – In Depth Check 1**

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**Section A: Introduction**

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

<b>Programme or Project Information</b>	
<b>Name</b>	Fry Model Railway and Malahide Casino
<b>Detail</b>	The purchase of Malahide Casino and the Fry Model Railway Collection. The project will consist of the complete refurbishment of the protected structure and provision of facilities to display the model railway.
<b>Responsible Body</b>	Fingal County Council
<b>Current Status</b>	Under Consideration
<b>Start Date</b>	February 2012
<b>End Date</b>	Proposed December 2018
<b>Overall Cost</b>	€2 million (€1.5million bequeathed)

**Project Description**

Proposed refurbishment of the Malahide Casino building (a protected structure) and associated outbuilding for use as a publicly accessible heritage attraction including development of new works and all associated site works.

The proposal for Malahide Casino building includes minor alterations to the existing layout and development of a new single storey extension to the side and rear including a new public entrance area for use as a heritage attraction to house the Fry Model Railway collection. The proposal includes new external signage, drainage, parking, site lighting, site landscaping and consolidation of fencing and boundary walls.

The project has four major components:

- The restoration, preservation and conservation of the historic Casino House thatched building, to include an apartment for possible short term letting
- The construction of a new 660m/sq museum building to house the Fry Model Railway and other educational displays, a café, a shop, and visitors toilets
- The professional conservation of the Fry Model Railway collection to include the upgrading of the presentation and the interpretation of the collection and the layout.
- The treatment of the site as a heritage, educational and recreational amenity for the public.

## Section B - Step 1: Logic Model Mapping

As part of this In-Depth Check, [Unit Name] have completed a Programme Logic Model (PLM) for the Fry Model Railway and Malahide Casino. A PLM is a standard evaluation tool and further information on their nature is available in the [Public Spending Code](#).

Objectives	Inputs	Activities	Outputs	Outcomes
<p>To restore and preserve the historic Malahide Casino House Building.</p> <p>To return Fry Model Railway Museum to Malahide and to present it to the public as a visitor attraction and educational centre.</p>	<p>Associated staff administration costs within the relevant departments.</p> <p>€2million proposed expenditure (€1.5million of this bequeathed)</p>	<p>Business Plan in Feb 2012.</p> <p>Architectural feasibility study.</p> <p>Purchase of Casino Cottage and site by FCC in 2014.</p> <p>Purchase of Fry Model Railway Collection in 2014.</p> <p>SLR strategic review of Heritage Property 2016</p>	<p>To restore Malahide Casino Cottage to house the Fry Model Railway Collection for public presentation.</p>	<p>To provide a tourist attraction and education centre at Malahide Casino Cottage including the Fry Model Railway Collection for public presentation.</p>

## **Description of Programme Logic Model**

**Objectives:** The objective of this project is to return the Fry Model Railway collection to Malahide and to present it to the public as a visitor attraction. There will be a museum and educational centre in a new purpose built building on the Casino House site at the principal entrance to Malahide Village. The project will also provide for the restoration and preservation of the historic Casino House building on the site.

**Inputs:** The primary input to the programme is the bequest of €1.5million and capital funding of €500,000 provided by Fingal County Council in its Capital Programme 2017 – 2019. The inputs also include the associated administration costs for staff within the Architects and the Economic, Enterprise and Tourism Departments.

**Activities:** A Business Plan was prepared in February 2012 and an architectural feasibility study which set out the vision for the conservation and display of the Fry Model Railway Collection in the Malahide Casino building as a public tourist attraction and educational centre. The building is a protected structure of regional significance and requires sensitive conservation works.

The purchase of the Casino Cottage and site was completed by the Council in 2014 and the purchase of the Fry Model Railway Collection was also completed and placed in storage in 2014.

**Outputs:** Having carried out the identified activities using the inputs, the outputs of the project are to restore Malahide Casino Cottage and to provide facilities to house the Fry Model Railway Collection for public presentation.

**Outcomes:** To provide a tourist attraction and educational centre at Malahide Casino Cottage with the Fry Model Railway Collection set up for public presentation.

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

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The following section tracks the Fry Model Railway and Malahide Casino from inception to conclusion in terms of major project/programme milestones.



February 2012	Business Plan prepared setting out a vision for the conservation and display of the Fry Model Railway Collection
July 2013	Receipt of bequeathed funds (€1.5m)
November 2014	Purchase of the Malahide Casino Cottage by Fingal County Council
November 2014	Purchase of the Fry Model Railway Collection by Fingal County Council
October 2015	Revised Plan to support a smaller extension and exhibition at Malahide Casino
October 2015	Analysis and Assessment of the Malahide Casino Cottage
October 2015	Projected Cost Forms
June 2016	Concept Design to house the Fry Model Railway Collection
December 2016	Report to Council on the proposed refurbishment and extension of Malahide Casino Cottage
December 2016	Fingal Heritage Properties Review 2016
March – April 2017	Enabling works
May 2017	Tender for Exhibition Design and Build (proposed)
May - August 2017	Tender for Design Development of Scheme (proposed)
Oct 2017 – Oct 2018	Construction works
December 2018	Operation

## Section B - Step 3: Analysis of Key Documents

The following section reviews the key documentation relating to appraisal, analysis and evaluation for the Fry Model Railway and Malahide Casino.

<b>Project/Programme Key Documents</b>	
<b>Title</b>	<b>Details</b>
Business Plan February 2012	A business plan was prepared setting out the vision for the conservation and display of the Fry Model Railway Collection at Malahide Casino as a public tourist attraction and educational centre
Revised Plan October 2015	A revised plan was prepared to support a smaller extension and exhibition which would be subject to a planning approval process
CE Orders November 2014	CE Orders confirming purchase of Malahide Casino Cottage and Fry Model Railway Collection
Analysis and Assessment of the Malahide Casino Cottage October 2015	This report assesses the general condition and heritage value of the Malahide Casino Cottage and specific elements of the building
Projected Cost Forms November 2015	Projected Costs for the works to be carried out
Concept Design Brief June 2016	This design brief reflects the initial concept scheme to house the Fry Model Railway Collection
Report to Council December 2016	Report to Council on the refurbishment and extension of the Malahide Casino Cottage and associated works
Fingal Heritage Properties Review December 2016	This review focused on the existing operation and performance of the heritage properties of FCC including Malahide Casino operating jointly with Malahide Castle and Gardens

### **Key Document 1: Business Plan**

A business plan was prepared setting out the vision for the conservation and display of the Fry Model Railway Collection in the Malahide Casino building as a public tourist attraction and educational centre. The plan included the major components of the project to include restoration, preservation and conservation of the Malahide Casino building and the construction of a new museum building on the site. The plan also set out the re-mounting and presentation of the Fry Model Railway Collection and the arrangements of the Trust with the Fry Family. The financial projections were also included in this business plan.

### **Key Document 2: Revised Plan**

The initial plan was overly ambitious based on the sensitive building and site and would be unlikely to achieve planning approval. It was considered that restrictions on development potential at the location would not be capable of housing the scale of replica exhibition and working model as previously existed at Malahide Castle.

Revised plans were prepared in 2015 to support a smaller extension and exhibition which would be subject to a planning approval process.

### **Key Document 3: CE Orders**

CE Orders raised for the acquisition of the Malahide Casino property and the acquisition of the Fry Model Railway Collection.

### **Key Document 4: Analysis and Assessment of the Malahide Casino Cottage**

The purpose of this report was to assess the general condition and heritage value of the Malahide Casino and of specific elements of the building. This report looked at the structural stability, rising damp, leaks, external render, joinery and the outbuilding.

### **Key Document 5: Projected Cost Forms**

The projected cost forms were based on preliminary design drawings showing options for the development and phasing of the project.

### **Key Document 6: Concept Design Brief**

This design brief reflects the initial concept scheme to house the original Fray Model Railway Collection.

### **Key Document 7: Report to Council**

The report to the Council gave full details on the proposed refurbishment and extension of the casino building and associated outbuilding for use as a publically accessible heritage attraction including development of new works and all associated site works.

### **Key Document 8: Fingal Heritage Property Review**

This review focuses on the financial element of the operational properties and their development potential and state of readiness for the visitor market as heritage attractions. The review also focuses on the existing operation and performance of the heritage properties and looks at the options for developing a new more financially sustainable and better value business model for Fingal.

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## Section B - Step 4: Data Audit

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The following section details the data audit that was carried out for the Fry Model Railway and Malahide Casino. It evaluates whether appropriate data is available for the future evaluation of the project/programme.

<b>Data Required</b>	<b>Use</b>	<b>Availability</b>
Business Plan	To enhance and remount the Fry Model Railway Collection for public presentation.	Yes
Fingal Heritage Property Review 2016	This review focused on the existing operation and performance of the heritage properties of FCC including Malahide Casino operating jointly with Malahide Castle and Gardens	Yes
Expenditure	To show proposed expenditure breakdown of the project	Will be available when project is completed

### **Data Availability and Proposed Next Steps**

Tenders have yet to be advertised for the Exhibition Design and Build and for the Design Development of the Scheme. It is proposed that the tenders will be advertised in May 2017.

Construction works to commence October 2017 and continue until October 2018.

December 2018 for the proposed Opening of the Scheme.

All data for the works to date are available and on the project file in the Economic, Enterprise & Tourism Department.

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## Section B - Step 5: Key Evaluation Questions

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The following section looks at the key evaluation questions for Fry Model Railway and Malahide Casino 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)**

It is noted that the initial business plan was overly ambitious based on the sensitive building and site and would be unlikely to have achieved planning approval. The Casino Building and outbuilding are protected structures of regional significance and considered very important to the Malahide community. Revised plans were prepared to support a smaller extension to house the railway collection that would deliver on public expectations.

Having reviewed the expenditure to date, the purchase of the Malahide Casino Building and the Fry Model Railway Collection was carried out in compliance with proper procurement procedures by way of Chief Executive Orders. All the appointments of consultants were also carried out in compliance with proper procurement procedures.

This in-depth check has shown that all management guidelines were adhered to.

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

The project is in progress, and to date the necessary documentation is available from the Economic, Enterprise & Tourism Department's project files for an evaluation at a later date.

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

Careful consideration should be given to protected structures of regional significance when preparing the initial business plans, taking into account the acceptable planning perspectives and the objectives of the Fingal Development Plan.

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## Section: In-Depth Check Summary

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The following section presents a summary of the findings of this In-Depth Check on the Fry Model Railway and Malahide Casino.

### Summary of In-Depth Check

**PSC Status:** Under Consideration

**Project Description:** The objective of this project is to restore and preserve the historic Malahide Casino House Building and to return the Fry Model Railway Museum to Malahide and present it to the public as a visitor attraction and educational centre.

**Audit Objective:** To provide an independent opinion on compliance with the Public Spending Code and to provide assurance that the decision to progress with the project is soundly based and is being well managed.

**Findings:** The bequest of €1.5m was used to finance the purchase of the property and the railway collection. The bequest will not cover the full capital cost of the restoration, extension and new exhibition and it is intended that the Council will provide partial financing to complete the project.

**Audit Opinion:** The opinion was informed from the review carried out by the Internal Audit Unit that the decision to go ahead with the project was soundly based and the project is well managed. Overall, the project provides Satisfactory Assurance (see Appendix 4) that there is compliance with the Public Spending Code.

## Quality Assurance – In Depth Check 2

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### Section A: Introduction

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

<b>Programme or Project Information</b>	
<b>Name</b>	<b>Mayne Road/Hole in the Wall Road Junction Upgrade</b>
<b>Detail</b>	<b>Capital Investment programme to provide an improved junction and associated road infrastructure.</b>
<b>Responsible Body</b>	<b>Fingal County Council</b>
<b>Current Status</b>	<b>Expenditure Being Incurred</b>
<b>Start Date</b>	<b>Initially Proposed in 2005</b>
<b>End Date</b>	<b>Quarter 4 2018</b>
<b>Overall Cost</b>	<b>€3.3m</b>

### Project Description

The scheme will provide for an improvement junction and associated road infrastructure that will link with the recently upgraded Hole in the Wall Road to a Quality Bus Corridor from the Dublin City Council boundary running south and to the Drumnigh Road at Mayne Road. It is anticipated that the scheme will improve traffic movements in the area, road safety, aid economic development of the lands along the route corridor and provide pedestrian, cycle and public transport facilities. The scheme will also include works that will provide flood defences to the area which will be of benefit to the proposed road infrastructure and adjacent lands.

## 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 Mayne Road/Hole in the Wall Road Junction Upgrade A PLM is a standard evaluation tool and further information on their nature is available in the [Public Spending Code](#).

Objectives	Inputs	Activities	Outputs	Outcomes
<ul style="list-style-type: none"> <li>• To provide an improved junction and associated road infrastructure</li> <li>• To link the upgraded Hole in the Wall Road to a QBC from the Dublin City Boundary to Drumnigh Road at Mayne Road</li> <li>• Improve Road Safety</li> <li>• To Provide pedestrian, cycle and public transport facilities</li> <li>• Aid economic development of the lands along the route</li> <li>• Provide a system of flood defence</li> </ul>	<ul style="list-style-type: none"> <li>• Associated Staff Administration Costs within the Relevant Departments</li> <li>• Site Survey – € 2,398</li> <li>• Consulting Engineering Fees – € 39,348</li> <li>• Advertisement Part 8 – €600</li> </ul>	<ul style="list-style-type: none"> <li>• Preliminary Design Report prepared</li> <li>• Part 8 Planning Process ongoing</li> <li>• Land acquisition</li> <li>• Preparation of tender documents</li> <li>• Contract E- tenders</li> <li>• Awarding of Contract</li> <li>• Construction Phase</li> </ul>	<ul style="list-style-type: none"> <li>• Provide a four-arm signalised junction</li> <li>• Provide a bus lane</li> <li>• Provide footpaths linking existing infrastructure</li> <li>• Provide cycle facilities off road and through the junction</li> <li>• Flood defences</li> <li>• Provides cycling/ walking/recreational facilities from Balgriffin to new regional park</li> </ul>	<ul style="list-style-type: none"> <li>• Improve traffic movements in the area</li> <li>• Improve road safety</li> <li>• Aid economic development in the lands along the route corridor</li> <li>• Provide pedestrian cycle and public transport facilities</li> <li>• Enhance leisure/recreational activities in the area</li> </ul>

## Description of Programme Logic Model

**Objectives:** The objective of the scheme is to improve the geometric alignment of the junctions of the Hole in the Wall Road, Drumnigh Road and Mayne Roads. It is intended to replace these existing priority controlled junctions with a signal-controlled junction to improve traffic control and road safety by improving forward visibility and stopping sight distances for motorists. It is also intended that the existing facilities for pedestrians and cyclists will be improved. It is planned to provide a bus lane along the Balgriffin Road and Hole in the Wall Road which will link the recently upgraded portion of the Hole in the Wall Road and improve access to sustainable forms of transport. In the long-term it is anticipated that the junction improvement will aid economic development of the lands along the route in light of the planned future residential in the wider area.

**Inputs:** The primary input to the programme was the capital funding of €3m, which was provided for by Fingal County Council in its Capital Programme 2015 – 2017. Funding for this project by the Department of Housing, Planning, Community and Local Government (DHPCLG) was approved in March 2017, under the Local Infrastructure Housing Activation Fund Scheme. The project costs are shared on a 75/25 basis between the DHPCLG and the Council. The inputs also include the associated administration costs for staff within the Planning and Strategic Infrastructure Department.

**Activities:** Consulting Engineers were appointed in August 2015 to prepare a Preliminary Design Report for the proposed project. The proposed project is currently undergoing the Part 8 process of the Planning and Development Regulations 2001 – 2016. A report recommending its approval was adopted and approved by the County Council at its meeting on Monday 10<sup>th</sup> April 2017.

**Outputs:** To provide a four-arm signalised junction, a bus lane, improved pedestrian and cyclist facilities and enhanced flood defences for adjacent lands.

**Outcomes:** The envisaged outcomes of the project are:

- Improved traffic movements and road safety in the area
- Improved pedestrian, cycle and public transport facilities to encourage sustainable development
- An aid economic development of the lands along the route corridor.

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

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The following section tracks the Mayne Road/Hole in the Wall Road Junction Upgrade from inception to conclusion in terms of major project/programme milestones



2005	The County Development Plan 2005 -2011 included objectives for the upgrade of the Mayne Road and the improvement of the Coast Road.
January 2006	Tender Invite – Framework Agreement for Civil Engineering Projects For Roads Schemes – November 2005
May 2006	Portmarnock Local Area Plan
August 2006	Appointment of Consultant Engineers to provide engineering design services for the proposed roads (Halcrow Barry Ltd)
2006 - 2013	Due to economic downturn project was not progressed
April 2011	Fingal Development Plan 2011 – 2017 – R123: Moyne Road Upgrade is a listed project under the road improvement schemes designated under this plan.
August 2013	Following a reappraisal of the project, the appointment of Consultant Engineers (Halcrow Barry Ltd.) to provide engineering design services for the Junction Upgrade, this formed part of the original larger project in relation to the proposed roads upgrade.
October 2013	Business Case Report
March 2016	Preliminary Design Report Prepared
March 2017	Fingal Development Plan 2017 – 2023 R123 Moyne Road Re-alignment
April 2017	Part 8 Planning Process Approved by County Council

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## Section B - Step 3: Analysis of Key Documents

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The following section reviews the key documentation relating to appraisal, analysis and evaluation for the Hole in the Wall Road Mayne Road Upgrade Scheme

<b>Project/Programme Key Documents</b>	
<b>Title</b>	<b>Details</b>
Portmarnock Local Area Plan - March 2006	Lands located to the south west of Portmarnock
Fingal Development Plan 2011 – 2017 (April 2011)	Objective of the Development Plan the upgrade of the R123 Moyne Road
Business Case Report - October 2013	Consulting Engineers report on the proposed scheme
Preliminary Design Report – March 2016	Consulting Engineers report of the preliminary design of the scheme
Fingal Development Plan 2017 – 2023 (March 2017)	R123 Moyne Road Re-alignment
Part 8 Planning Report - May 2017	Report to the Elected Members seeking approval for the scheme

### **Key Document 1: Portmarnock Local Area Plan**

The Fingal Development Plan 2005-2011 was approved by the Council on 30<sup>th</sup> May 2005 and set the context for the Portmarnock Local Area Plan, May 2006. An objective of the Portmarnock LAP states that the road network in the area will be improved as necessary to provide for the development of the subject lands. Future development will proceed in the context of the ongoing and planned improvements to roads infrastructure, which will be upgraded in conjunction with already permitted and proposed developments.

### **Key Document 2: Fingal Development Plan 2011 - 2017**

The R123 Mayne Road upgrade is included as a road improvement scheme project in this plan. The Hole in the Wall project is the first phase of this road improvement scheme and shows the revision from a staggered junction arrangement to the adopted cross road configuration.

### **Key Document 3: Business Case Report**

A Business Case Report was prepared by the Consulting Engineers in 2013 and contains a general description of the project, an appraisal of the project and funding details with a conclusion.

#### **Key Document 4: Preliminary Design Plan**

A preliminary design plan was prepared for the project in March 2016. The objective of the report is to prepare a design of the proposed scheme to a level of detail that will enable an accurate assessment of land purchase requirements to be made. Environmental issues have also been addressed to ensure that any avoidance or mitigation measures can be accommodated within the land purchase boundary. Design standards have been determined and the following key elements of the design have been addressed:

- Centreline Alignment Design Standards
- Horizontal and Vertical Alignments
- Junction Layouts
- Drainage Mapping & Analysis
- Structure Form and Design Standards
- Signage, Lighting & Traffic Management
- Services Relocations
- Geotechnical Investigations (preliminary)
- Environmental Amelioration
- Accommodation Works & Construction Staging

#### **Key Document 5: Fingal Development Plan 2017 - 2023**

The R123 Moyne Road Re-alignment is included as a road improvement scheme project in this plan.

#### **Key Document 6: Part 8 Planning Report**

Part 8 Planning Report was submitted to the County Council on 10<sup>th</sup> April 2017 and was adopted and approved.

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## Section B - Step 4: Data Audit

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The following section details the data audit that was carried out for the Mayne Road/Hole in the Wall Road Junction Upgrade. It evaluates whether appropriate data is available for the future evaluation of the project/programme.

<b>Data Required</b>	<b>Use</b>	<b>Availability</b>
Expenditure Report	To show expenditure on project and grand funding received from the DoECLG	Yes – on MS4 System
Business Case Report	A general description of the project and an appraisal with a conclusion	Yes – on Project File
Preliminary Design Plan	To prepare a design of the scheme to a level that will enable an accurate assessment of land purchase requirements	Yes – on Project File

### **Data Availability and Proposed Next Steps**

The data available is consistent with a scheme at preliminary design phase and Part 8 planning process phase. Further specifications of the scheme will be drafted as it progresses.

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## Section B - Step 5: Key Evaluation Questions

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The following section looks at the key evaluation questions for Mayne Road/Hole in the Wall Road Junction Upgrade 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)**

Part 8 Planning Report was submitted to the County Council on 10<sup>th</sup> April 2017 and was adopted and approved. The expenditure incurred to date is minimal, compared to the overall project costs i.e. initial Consultancy Fees etc.

Internal Audit notes that the Consultants were appointment in August 2006 to carry out the preliminary design phase works in relation to the proposed Mayne Road and Coast Road Upgrade Scheme. The Consultants were appointed from a Framework Agreement for the Provision of Civil Engineering Services for Roads Schemes with an estimated construction cost of between €2.5m and €25m, which was established in November 2005.

Following a re-appraisal of the project in 2013, it was decided that the Mayne Road/Hole in the Wall Road Junction Upgrade Scheme should be advanced to planning stage prior to the main road project. The same Consultants were requested to provide a revised fee arrangement to advance this element of the project in isolation and their proposal was accepted in August 2015.

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

As the project is only in its infancy, it is envisaged that the documentation concerned will be revised as the project progresses which will allow a better evaluation of the scheme at a later date.

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

As the project is only in its infancy, no recommendations are being made to enhance future processes and management.

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## Section: In-Depth Check Summary

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The following section presents a summary of the findings of this In-Depth Check on the Mayne Road/Hole in the Wall Road Junction Upgrade.

### Summary of In-Depth Check

**PSC Status:** Expenditure Being Incurred

**Project Description:** The scheme will provide for an improved junction and associated road infrastructure that will link with the recently upgraded Hole in the Wall Road to a Quality Bus Corridor from the Dublin City Council boundary running south and to the Drumnigh Road at Mayne Road. The scheme is included as a road improvement scheme project in the current Development Plan 2017 - 2023.

**Audit Objective:** To provide an independent opinion on compliance with the Public Spending Code and to provide assurance that the decision to progress with the project was soundly based and well managed.

**Findings:** This project is at an early stage of development and has had appropriate funding approved. However, it is noted that when this project was initially proposed in 2006, it was part of the larger project Mayne Road and Coast Road Upgrade Scheme. The Consulting Engineers were appointed from a Framework Agreement for Civil Engineering Projects for Road Schemes at that time. Due to the economic downturn the project was shelved and was not progressed until 2013. The original Consulting Engineers were re-appointed when the project was reappraised and this element of the project was proceeded with in isolation.

**Audit Opinion:** The opinion was informed from the review carried out by the Internal Audit Unit that the decision to go ahead with the project was soundly based and the project was well managed. Overall, the project provides Satisfactory Assurance (see Appendix 4) that there is compliance with the Public Spending Code.

## Quality Assurance – In Depth Check 3

### Section A: Introduction

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

<b>Programme or Project Information</b>	
<b>Name</b>	Cappaghfinn Phase 1
<b>Detail</b>	Capital Expenditure for the construction of a 14 House Scheme at Heathfield, Cappagh, Dublin 15
<b>Responsible Body</b>	Fingal County Council
<b>Current Status</b>	Expenditure Being Incurred
<b>Start Date</b>	July 2014
<b>End Date</b>	July 2017
<b>Overall Cost</b>	Original Contract Price: €1,893,079 Agreed Final Account: €2,525,375  €2,515,664 (Total Expenditure to date on Capital Code)

#### Project Description

As part of Fingal's Housing Strategy, as outlined in the Development Plan 2011 – 2017, the Council is required to utilise a number of delivery mechanisms in order to fulfil the strong demand for social housing over the lifetime of the Plan. In this case, 14 social dwellings are being constructed on the border of Fingal and Dublin City Council.

## Section B - Step 1: Logic Model Mapping

As part of this In-Depth Check, Internal Audit Unit has completed a Programme Logic Model (PLM) for the Cappaghfinn Phase 1. A PLM is a standard evaluation tool and further information on their nature is available in the [Public Spending Code](#).

Objectives	Inputs	Activities	Outputs	Outcomes
<ul style="list-style-type: none"> <li>The construction of 14 Social Dwellings</li> </ul>	<ul style="list-style-type: none"> <li>Associated Staff Administration Costs within the Relevant Departments</li> <li>Contract Sum € 2,449,000 (3 % Retention retained)</li> <li>Consultants Fees € 34,103</li> <li>Other Expenditure ESB, Bord Gais Networks etc. € 32,561</li> </ul>	<ul style="list-style-type: none"> <li>Housing Construction</li> <li>Off Street Parking for 11 cars</li> <li>Connection to services from adjacent Heathfield Estate</li> <li>Accommodation works with adjacent Heathfield Estate</li> <li>Construction of access directly from Cappagh Road</li> <li>Installation of Public lighting and other works essential to a housing scheme.</li> <li>Pyrite Remediation Works</li> </ul>	<ul style="list-style-type: none"> <li>Construction of 14 dwellings</li> <li>Accommodation works with adjacent housing estates</li> <li>Provision of public lighting, signing and other works ancillary to the construction of a new housing development.</li> </ul>	<ul style="list-style-type: none"> <li>The reduction in the number of applicants on the Housing List in the Blanchardstown Area</li> </ul>

## **Description of Programme Logic Model**

**Objectives:** The objectives of the Cappaghfinn Project Phase 1 are to construct 14 social dwellings which will be used to accommodate applicants on the housing waiting list in the Blanchardstown Area. The site on which this scheme was constructed was acquired from the developer of the adjacent private estate in fulfilment of their Part V obligations.

**Inputs:** The primary input to the programme was the capital funding of €2.5 million which was provided for in the Council's Capital Programme 2015 – 2017. An application was made to the Department of Housing, Planning, Community and Local Government for grant funding. To date the Department has allocated grant funding totalling € 2,270,000 towards this project. The inputs also include the associated administration costs for staff within the Architects and Housing Departments.

**Activities:** The key activity carried out during the project was the construction of 14 houses in a layout comprising of two terraces of three houses each and four pairs of semi-detached houses with environmental works. An access was also constructed directly from the Cappagh Road and accommodation works with the adjacent private development at Heathfield.

**Outputs:** The construction of 14 dwellings to meet the needs of applicants on the Council's housing waiting lists.

**Outcomes:** The envisaged outcomes of the project were to increase the number of social housing units available in the Dublin 15 area and to reduce the Council's housing waiting lists. This resulted in meeting the needs of 14 families off the housing waiting list for the Blanchardstown Area.

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

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The following section tracks the Cappaghfinn Phase from inception to conclusion in terms of major project/programme milestones



2011	Fingal Development Plan 2011 – 2017 – Housing Strategy
May 2014	Plans presented to the Elected Members at the Castleknock/Muhuddart Committee Meeting. Part XI process initiated.
June 2014	E-tender for Civil and Structural Engineering Consultant Services for 2 – 14 Dwelling Schemes – Glassmore Green & Heathfield Estate.
July 2014	Part XI Proposal agreed at County Council Meeting
July 2014	E- tender for Quantity Surveying Consultant Services for 2 – 14 Dwelling Schemes – Glassmore Green & Heathfield Estate.
July 2014	Appointment of Consultant Quantity Surveyors and Consultant Civil/Structural Engineers.
July 2014	Project Brief Prepared and Submitted to the Department of Environment Community & Local Government (DoECLG)
September 2014	Contract advertised on E-tenders website
October 2014	Tender recommended by Consultant Quantity Surveyors & endorsed by Architects Department
December 2014	Successful Contractor P. J. Carey Notified
June 2015	Contract signed with contractor – delays due to issues with drainage issues on site
July 2015	Works commence on site
May – August 2016	Change Orders – Claims from Contractor
November 2016	Change Orders – Projected Final Account Claims from Contractor – Change Orders 92 in total
July 2016	Substantial Completion
September 2016	Retrospective Approval from the Department received
December 2016	Capital Claim - Amalgamation of 6 previous claims
March 2017	Final Account Report

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## Section B - Step 3: Analysis of Key Documents

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The following section reviews the key documentation relating to appraisal, analysis and evaluation for the Cappaghfinn Phase 1.

<b>Project/Programme Key Documents</b>	
<b>Title</b>	<b>Details</b>
Project Brief & Revised Project Brief	Statement of housing needs as identified in the Council's Housing Action Plan
Monthly Architects/Housing Construction Meetings	On-Going Project Management Reports to the Client Department
Fortnightly Meetings between the Architects Department, Project Consultants and the Contractor	Onsite Meetings to discuss Building Progress issues
Correspondence between FCC Housing Department and DHPCLG	Correspondence in relation to funding
Interim Costs Reports (Change Orders)	Details of Change Orders agreed with the Contractor and the costs involved
Final Account Report	Details of Final Account Agreed with the Contractor

### **Key Document 1: Original Project Brief**

This brief contains a statement of what need is being addressed in relation to the housing needs in the area. It shows how the proposal responds to the needs identified in the Council's Housing Action Plan

### **Key Document 2: Monthly Management reports**

The minutes of the internal meetings between the Council's Architects and Housing Departments showing the progress of each of the ongoing construction projects and expected timeframes and show actions being undertaken and who has the responsibility for carrying them out.

### **Key Document 3: Meetings between the Architects Department, the Consultant QS and the Contractor.**

During the construction phase of the project, meetings took place on average on a fortnightly basis with Staff from the Architects department and the Consultant Quantity Surveyors and the Contractor, These minutes were minuted and copies of the progress reports presented by the Contractor to these meetings are included.

#### **Key Document 4: Correspondence between FCC Housing Department and DHPCLG**

There is a correspondence trail between the Department and the Council's Housing Construction Section from the submission of the Project Brief in April 2014 to the submission of the amalgamated claim in December 2016 based on the projected final account report.

#### **Key Document 5: Interim Cost Reports – Change Orders**

Cost reports/change order recommendations issued by the Council's Consultant quantity surveyors in respect of claims submitted by the contractor. These extra charges were reviewed by the Council's Architects Department and forwarded to the Housing Department with their recommendations to approve this extra expenditure by way of new Chief Executive Orders.

#### **Key Document 6: Final Account Report**

This report shows details of the final account agreed between the Contractor and the Consultant QS in relation to the project, which details the items covered by the various change orders issued and agreed during the construction phase.

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## Section B - Step 4: Data Audit

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

<b>Data Required</b>	<b>Use</b>	<b>Availability</b>
Expenditure Report	To show expenditure on project and grand funding received from the DoECLG	MS4 Accounts System
Interim Cost Reports	To show additional cost incurred in the course of the project not included in the by the original tender price.	Available on Project File
Correspondence between FCC Housing Department and DHPCLG	Verification of funding to date	Yes – on Project File
Final Account Report	To show agreed final costings for the project	Yes – on Project File

### **Data Availability and Proposed Next Steps**

The defects period following the completion of the construction phase of this project is envisaged to be completed by July 2017.

The data audit presented above details the type of information that would be available if this project is selected to undergo a Focused Policy Assessment (FPA) of Value for Money Review (VFM).

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## Section B - Step 5: Key Evaluation Questions

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The following section looks at the key evaluation questions for Cappaghfinn Phase 1 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)**

Having reviewed the expenditure, all the appointments of consultants and the subcontractor were carried out in compliance with proper procurement procedures – advertised on e-tenders and appointed following reviews of the tender applications by way of Chief Executive Order.

It is noted that there was a requirement to deliver the commitments given in the Council's Housing Strategy as well as under the Social Housing Strategy 2020. This resulted in the appointment of the contractor without obtaining Departmental approval for Stages 3 and 4 of the project. The Housing Construction Section in the DoECLG has indicated in correspondence that this contravenes the Public Spending Code and the processes of the Capital Works Management Framework (CWMF). This omission should be viewed in the context of the drive from the Department to ensure the delivery of Social Housing Projects to meet Government targets.

The Department has also raised concerns at the level of contract cost overruns in relation to this project. The contract costs as per the Final Account agreed with the Contractor have increased by €632,296 on the original tendered price of €1,893,079, i.e., an increase of 33.4%. The Consultant QS issued the Final Account Report in March 2017.

### **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 documentation is available from the Housing and Architects Departments project files to allow for an evaluation of the project at a later date.

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

Since the commencement of this project, in-house processes have been streamlined in relation to funding applications to the Department in relation to Housing Projects with the assignment of dedicated staff to the Housing Construction Section. The process for applying for grant funding/approval has also been changed to a four-stage process (previously 9 stages) by the Department and current applications are being submitted in line with Departmental guidelines.

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## Section: In-Depth Check Summary

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The following section presents a summary of the findings of this In-Depth Check on the Cappaghfinn Phase 1 project.

### Summary of In-Depth Check

**PSC Status:** Expenditure being incurred

**Project Description:** The objective of the Cappaghfinn Project Phase 1 was to construct 14 social dwellings, which would be used to accommodate applicants on the housing waiting list in the Blanchardstown Area. The dwellings have been completed and allocated. The site on which this scheme was constructed was acquired from the developer of the adjacent private estate in fulfilment of their Part V obligations.

**Audit Objective:** To provide an independent opinion on compliance with the Public Spending Code and to provide assurance that the decision to progress with the project was soundly based and well managed.

**Findings:** The appointment of the contractor prior to approval having been received by the Department for Stages 3 and 4 of the project, contravenes the Public Spending Code and the processes of the Capital Works Management Framework (CWMF). However, this omission should be viewed in the context of the drive from the Department to ensure the delivery of Social Housing Projects to meet Government targets.

The contract costs, as per the Final Account agreed with the Contractor, have increased by 33.4%. This relates to 92 change orders agreed with the Contractor, which include a number of major items unforeseen at tender stage. These include the removal of pyrite material contained within the infill material on-site which affected the road and drainage infrastructure and the creation of a new road accessing the site directly off the Cappagh Road, which will also serve the phased development of the adjacent Council lands.

**Audit Opinion:** The opinion was informed from the review carried out by the Internal Audit Unit that the decision to go ahead with the project was soundly based and the project was well managed. Overall, the project provides Satisfactory Assurance (see Appendix 4) that there is compliance with the Public Spending Code.

## Quality Assurance – In Depth Check 4

### Section A: Introduction

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

<b>Programme or Project Information</b>	
<b>Name</b>	Donabate Library
<b>Detail</b>	Capital investment programme to include the demolition and alteration of elements within existing multi-use areas and store rooms on the first floor of the Donabate Portrane Community and Leisure Centre to facilitate the creation of a new FCC library.
<b>Responsible Body</b>	Fingal County Council
<b>Current Status</b>	Completed
<b>Start Date</b>	December 2012
<b>End Date</b>	December 2016
<b>Overall Cost</b>	€750,000 €760,000 (actual expenditure)

#### **Project Description**

The development of a community branch library in Donabate was afforded top priority by Fingal County Council due to the absence of a library facility in the area. Libraries are a key facility in the local communities and offer socially inclusive cultural, leisure and educational facilities in an accessible way.

Unlike other libraries in Fingal, this library is situated within an established Community and Leisure Centre and could be a model for future library and civic development in Fingal. There is a high level of self service facilities as well as support from professionally trained and skilled library personnel.

The project comprised of the re-conversion of the first floor area of the Donabate Portrane Community and Leisure Centre which included the fit out of floor, wall and ceiling finishes, alteration and additional mechanical and electrical installations, fire safety inspection works and the supply of furniture, computers and library books.

## Section B - Step 1: Logic Model Mapping

As part of this In-Depth Check, [Unit Name] have completed a Programme Logic Model (PLM) for the Donabate Library. A PLM is a standard evaluation tool and further information on their nature is available in the [Public Spending Code](#).

Objectives	Inputs	Activities	Outputs	Outcomes
<p>To provide a new Library Facility within Donabate Portrane Community and Leisure Centre</p> <p>The development of a fixed community library service in Donabate Portrane is considered high priority in order to cater for the significant growth and development in the area.</p>	<p>Associated staff administration costs within the relevant departments.</p> <p>Capital Budget Cost - €750,000</p> <p>Renovations and Fit Out - €329k</p> <p>Fire Safety Works at Community and Leisure Centre - €202k</p> <p>Furniture – €87k</p> <p>Signage and Graphics - €20k</p> <p>Purchase of computer equipment - €80k</p> <p>Purchase of Library Books - €41k</p>	<p>Working within a current functioning multi use facility.</p> <p>Donabate Portrane Community and Leisure Centre fit out of first floor.</p> <p>Community and Leisure Centre Building Fire Safety Works.</p> <p>Mechanical Works</p> <p>Electrical Works</p> <p>Supply of furniture</p> <p>Supply of computers</p> <p>Supply of library books</p>	<p>Provision of a fixed community based library service for the growing population in Donabate and Portrane.</p>	<p>Overall increase in footfall, internet usage, book lending and public events by having a fixed community based library service in the Donabate Portrane Community and Leisure Centre.</p>

## **Description of Programme Logic Model**

**Objectives:** The objective of providing a new Community Library Facility in Donabate was to cater for the significant growth and development within the area. In doing this, Fingal County Council improved the level of community facilities for the increasing population.

**Inputs:** The primary input to the programme was the capital funding of €600,000 provided for by Fingal County Council in its Capital Programme 2014 - 2016. The inputs also included the associated administration costs for staff within the Architects and the Library Departments.

**Activities:** There were a number of key activities carried out through the project including a complete fit out of the first floor area within Donabate Portrane Community and Leisure Centre to facilitate library services. This included mechanical and electrical installations, fire safety inspections, supply of furniture, supply of computers and supply of library books.

**Outputs:** Having carried out the identified activities using the inputs, the outputs of the project are for providing a fixed community based library service to the Donabate Portrane area.

**Outcomes:** The outcome of the project is the overall increase in footfall, internet usage and book lending and public events by providing a modern fixed community based library service within the Donabate Portrane Community and Leisure Centre.

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

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The following section tracks the Donabate Library Project from inception to conclusion in terms of major project/programme milestones



December 2012	Outline Programme for the conversion of Donabate Portrane Community and Leisure Centre, including tender proposals, main contract works and fire safety inspection works
January 2013	Design brief meeting with Donabate Portrane Community and Leisure Centre and Fingal County Council
March 2013	Presentation of proposed design to the Board of Management of Donabate Portrane Community and Leisure Centre
July 2013	Fire Safety Risk Assessment Report
August 2013	Tender request for the demolition and alteration of elements within the Donabate Portrane Community and Leisure Centre to facilitate the creation of a new FCC library. Awarded October 2013
October 2013	Tender request for the supply and delivery of loose furniture to the new library facility within the Donabate Portrane Community and Leisure Centre. Awarded December 2013
October 2013	Renovation works started
March 2014	Fire Safety Inspection works completed within Donabate Portrane Community and Leisure Centre
March 2014	Library opened
April 2016	FCC financial records finalised

## Section B - Step 3: Analysis of Key Documents

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

<b>Project/Programme Key Documents</b>	
<b>Title</b>	<b>Details</b>
Proposal for conversion of Donabate Portrane Community and Leisure Centre to facilitate Donabate Library (2012)	A programme outlining the nature of proposal for the re-conversion, priority, implications and estimated costs for the Project
Fire Safety Risk Assessment Report	Issues and Recommendations on the facility
Design Team Meetings (2013)	On-Going project updates
Site Meetings (2014)	On-going project updates
Contractors Progress Report (2014)	On-going project updates

### **Key Document 1: Outlining Programme for proposed conversion**

In December 2012 an outline programme for the Donabate Library was produced showing information on the proposed project as follows:

- Tender proposal for Mechanical and Electrical Consultants
- Tender proposal for Fire Safety Consultants
- Final brief description for the project including drawings
- Tender proposal for Construction Works
- Tender proposal for Furniture Package
- Legal Issues arising re; ownership

In March 2013 a Presentation to the Board of Management of the Donabate Portrane Community and Leisure Centre was given by Fingal County Council addressing the information set out in the Outline Programme.

### **Key Document 2: Fire Safety Risk Assessment Report**

Chartered Fire Engineers and Event Safety Consultants, Eamon O'Boyle and Associates produced a Fire Safety Risk Assessment Report in July 2013. This Report assessed:

- |                                       |                 |
|---------------------------------------|-----------------|
| - Fire detection and alarm system     | - Fire Doors    |
| - Exit signage and emergency lighting | - Ceiling Tiles |
| - Portable fire extinguishers         | - Store Room    |
| - Electrical installations            | - Staff Room    |

### **Key Document 3: Design Team Meetings**

From June 2013 up to August 2013, the regular design team meetings were held to discuss the various elements of the project. These included:

- Mechanical and Electrical requirements
- Fire Safety Requirements
- Site Assessment
- Tender action and evaluation
- Target Dates

All meetings are minuted.

### **Key Document 4: Site Meetings**

From November 2013 up to February 2014, the regular site meetings were held to discuss the progress of the project and issues arising. These included:

- Progress of project
- Health & Safety on site
- Site Access
- Building Works
- AOB

All meetings are minuted.

### **Key Document 5: Contractors Progress Reports**

In January and February 2014 the contractors issued progress reports on the works being carried out. These reports included:

- Progress to date
- One week forecast
- Health & Safety
- Site inspections to date

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## Section B - Step 4: Data Audit

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The following section details the data audit that was carried out for the Donabate Library Project. It evaluates whether appropriate data is available for the future evaluation of the project/programme.

<b>Data Required</b>	<b>Use</b>	<b>Availability</b>
Statement of Need and justification for the proposed library	The development of a fixed community library service to cater for significant growth in the area.	Yes
Assessment of co-location for libraries in Fingal	To determine the feasibility of co-locating	No, but could be made available for future projects
Expenditure	To show total expenditure breakdown on the project	MS4 Agresso Report

### **Data Availability and Proposed Next Steps**

All data for the completed works are available and on the project file in the Fingal Library Department.

**Project completed.**

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## Section B - Step 5: Key Evaluation Questions

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The following section looks at the key evaluation questions for Donabate Library 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)**

Having reviewed the expenditure for the completed works, all the appointments of consultants and the subcontractors were carried out in compliance with proper procurement procedures – advertised on e-tenders and appointed following reviews of the tender applications by way of Chief Executive Order.

This in-depth check has shown that all management guidelines were adhered to.

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

This project is completed and all necessary documentation is available from the Library Department project files for an evaluation at a later date.

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

This project should have allowed for an earlier appraisal for fire assessment of the existing Donabate Portrane Community and Leisure Centre.

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## Section: In-Depth Check Summary

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The following section presents a summary of the findings of this In-Depth Check on the Donabate Library.

### Summary of In-Depth Check

**PSC Status:** Completed

**Project Description:** The objective of this project was to provide a new library facility within Donabate Portrane Community and Leisure Centre.

**Audit Objective:** To provide an independent opinion on compliance with the Public Spending Code and to provide assurance that the decision to progress with the project was soundly based and well managed.

**Findings:** All of the appointments of consultants and subcontractors were carried out in compliance with proper procurement procedures. However, the overall cost of the project exceeded the original budget principally because a fire assessment was required to be carried out on the existing building. This appraisal should have been anticipated and carried out at an earlier stage of the project and factored into the project costs.

No formal post project review has been carried out to date.

**Audit Opinion:** The opinion was informed from the review carried out by the Internal Audit Unit that the decision to go ahead with the project was soundly based and the project was well managed. Overall, the project provides Satisfactory Assurance (see Appendix 4) that there is compliance with the Public Spending Code.

## Quality Assurance – In Depth Check 5

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### Section A: Introduction

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

<b>Programme or Project Information</b>	
<b>Name</b>	Public Lighting - Energy Supply & Maintenance - 2016
<b>Detail</b>	The Council made provision in the 2016 Revenue Budget for expenditure of € 4,875,000 and Income of € 566,000 on this programme.
<b>Responsible Body</b>	Fingal County Council
<b>Current Status</b>	Current Expenditure – Revenue Programme
<b>Start Date</b>	January 2016
<b>End Date</b>	December 2016
<b>Overall Expenditure 2016</b>	€ 4.37m

#### **Project Description**

There are 32,400 public lights within the county covering a geographical area of 452 sq.km, which spans rural, urban and suburban communities and contains several key elements of national and regional infrastructure, including the M1, M2 and N3 national primary roads. The Council's Public Lighting Section within the Operations 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.

## Section B - Step 1: Logic Model Mapping

As part of this In-Depth Check, [Unit Name] have completed a Programme Logic Model (PLM) for the **Public Lighting - Energy Supply & Maintenance - 2016**. A PLM is a standard evaluation tool and further information on their nature is available in the [Public Spending Code](#).

Objectives	Inputs	Activities	Outputs	Outcomes
<ul style="list-style-type: none"> <li>• The provision of public lighting countywide in an energy and cost efficient manner</li> </ul>	<ul style="list-style-type: none"> <li>• Energy Costs € 2,168,580</li> <li>• Maintenance &amp; Improvements € 1,376,950</li> <li>• LED Replacement Scheme – Capital Provision € 560,000</li> <li>• Salaries &amp; Travel &amp; Subsistence € 261,280</li> <li>• Other Items € 7,700</li> </ul>	<ul style="list-style-type: none"> <li>• Provision of Public Lighting</li> <li>• Maintenance of Public Lighting</li> <li>• Phased Replacement of existing residential Sodium Fitting with LED Lanterns</li> </ul>	<ul style="list-style-type: none"> <li>• The provision of public lighting within the Fingal area from dusk to dawn</li> </ul>	<ul style="list-style-type: none"> <li>• The supply of public lighting in the Fingal Area</li> <li>• To enhance Pedestrian and Vehicular safety</li> <li>• To Improve the aesthetic appearances of residential and business districts</li> <li>• To deter Anti-Social and Criminal Activity</li> </ul>

## **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:** The County Council meeting of 3<sup>rd</sup> November 2015 adopted the Annual Budget for 2016 which included the provision of a budget of €4,875,000 as well as the annual provision in the Capital Programme for 2014–2017 of €500,000. The inputs also include the associated administration costs for staff within the Operations Department. The annual provision for capital 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 32,400 lights within the Fingal area by the purchase of electricity from Energia and SSE Airtricity and maintenance services from Airtricity Utility Solutions.

**Outputs:** Having carried out the identified activities using the inputs, the outputs of the programme are the provision of public lighting within the Fingal area from dusk to dawn.

**Outcomes:** The envisaged outcomes of the programme are to provide public lighting within the administrative area of Fingal in the most energy and cost efficient manner as possible.

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

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The following section tracks the Public Lighting - Energy Supply & Maintenance - 2016

The Council use Metered and Unmetered Electricity on its properties and for public lighting and traffic signals.

### **Metered Electricity**

Up to 30<sup>th</sup> June 2016 the expenditure for metered electricity in FCC 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. Fingal has signed up to the contract for 81 metered sites. These sites include various facilities, e.g., offices, libraries, public toilets, etc.

Chief Executive Order (CA/02/2015) dated January 2015 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 1<sup>st</sup> July 2016. Following the evaluation of the tenders submitted, the OGP advised Fingal that SSE Airtricity were the successful tenderer. The estimated savings over the lifetime of this contract are in the region of €150,000.

Chief Executive Order (F/271/2016) dated June 2016 activated this contract for the period 1<sup>st</sup> July 2016 to 30<sup>th</sup> June 2019.

### **Unmetered Electricity**

Fingal advertised on eTenders (Ref 94617) for the supply of metered and unmetered electricity for public lighting and traffic signals. Following discussions with the OGP and after an analysis of pricing, it was agreed that the Council would accept the tendered rates submitted by Energia for the period 1<sup>st</sup> July 2015 to 30<sup>th</sup> June 2016 in respect of unmetered supply. CE Order FOPS/219/2015 dated August 2015 reflects this decision.

The option to be added to the OGP arrangements already in place for unmetered electricity for the four month period to 31<sup>st</sup> October 2015 was offered by the OGP and accepted by FCC.

A new OGP Framework was set up for the Supply of Electricity to the Public Sector (eTenders Ref. 93300) the competition was run using lots. Fingal has availed of Lots 6 Domestic Supplies and Lot 8 Unmetered which was awarded to Energia for the period 1<sup>st</sup> November 2015 to 31<sup>st</sup> October 2018.

The Public Lighting Section monitors electricity billings for road and street lighting in relation to two entities, Fingal County Council and Transport Infrastructure Ireland (TII). TII annually reimburses Fingal for cumulative billing payments at year end. A process is underway to transfer relevant road lighting billings to the TII countrywide but this has no implementation date as yet. The TII costs are on separate accounts, which will simply the transfer process when agreed.

## **Public Lighting Maintenance**

Fingal advertised on eTenders for public lighting maintenance on the lighting network. The successful tender was awarded to Airtricity Utility Solutions (AUS) for the period 1<sup>st</sup> October 2014 to 30<sup>th</sup> June 2016 with a provision to renew the contract for successive periods of 1 year to a maximum of three extensions. The contract currently in place is until 30<sup>th</sup> June 2017.

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### **Section B - Step 3: Analysis of Key Documents**

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The following section reviews the key documentation relating to appraisal, analysis and evaluation for the Public Lighting - Energy Supply & Maintenance – 2016.

<b>Project/Programme Key Documents</b>	
<b>Title</b>	<b>Details</b>
Annual Budget 2016	Approved by County Council, November 2015
Chief Executive Orders	CE Orders authorising the expenditure on energy and public lighting maintenance costs
Financial Reports	MS4 – expenditure/income reports

#### **Key Document 1: Annual Budget 2016**

The County Council at the budget meeting on 3rd November 2015 approved the provision of a budget of €4,875,000 for 2016 in respect of this programme.

#### **Key Document 2: Chief Executive Orders**

The Chief Executive Orders authorising this expenditure are available from the department and MS4.

#### **Key Document 3: Financial Reports**

Reports can be extracted from MS4 showing expenditure and income in relation to this programme.

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## Section B - Step 4: Data Audit

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The following section details the data audit that was carried out for the **Public Lighting - Energy Supply & Maintenance - 2016**. It evaluates whether appropriate data is available for the future evaluation of the project/programme.

<b>Data Required</b>	<b>Use</b>	<b>Availability</b>
CE Orders	To ensure compliance with procurement procedures	Yes
MS4 Expenditure Reports	To monitor expenditure	Yes

### **Data Availability and Proposed Next Steps**

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

Expenditure will be reviewed in the context of Budget 2017.

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## Section B - Step 5: Key Evaluation Questions

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The following section looks at the key evaluation questions for Public Lighting - Energy Supply & Maintenance - 2016 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)**

Having reviewed the documentation in relation to the expenditure incurred under this programme, Internal Audit are of the opinion that this programme complies with the standards set out in the Public Spending Code.

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

Not Applicable

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

Not Applicable

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## Section: In-Depth Check Summary

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The following section presents a summary of the findings of this In-Depth Check on the

### Summary of In-Depth Check

**PSC Status:** Being Incurred

**Project Description:** The supply and maintenance of the public lighting service over the network consisting of 32,400 lights in the Fingal area which covers a geographical area of 452.sq.km, which spans rural, urban and suburban communities and contains several key elements of national and regional infrastructure, including the M1, M2 and N3 national primary roads.

**Audit Objective:** To provide an independent opinion on compliance with the Public Spending Code and to provide assurance that the expenditure being incurred is being well managed.

**Findings:** Having reviewed the documentation in relation to the expenditure incurred under this programme in 2016, Internal Audit is of the opinion that this programme complies with the standards set out in the Public Spending Code.

**Audit Opinion:** The opinion was informed from the review carried out by the Internal Audit Unit on the expenditure incurred on this programme in 2016 that the project is well managed. Overall, the project provides Satisfactory Assurance (see Appendix 4) that there is compliance with the Public Spending Code.

## Appendix 4 Audit Assurance Categories and Criteria

ASSURANCE CATEGORY	ASSURANCE CRITERIA	
<b>SUBSTANTIAL</b>	Evaluation Opinion:	There is a robust system of risk management, control and governance which should ensure that objectives are fully achieved.
	Testing Opinion:	The controls are being consistently applied
<b>SATISFACTORY</b>	Evaluation Opinion:	There is some risk that objectives may not be fully achieved. Some improvements are required to enhance the adequacy and/or effectiveness of risk management, control and governance.
	Testing Opinion:	There is evidence that the level of non-compliance with some of the controls may put some of the system objectives at risk.
<b>LIMITED</b>	Evaluation Opinion:	There is considerable risk that the system will fail to meet its objectives. Prompt action is required to improve the adequacy and effectiveness of risk management, control and governance.
	Testing Opinion:	The level of non compliance puts the system objectives at risk.
<b>UNACCEPTABLE</b>	Evaluation Opinion:	The system has failed or there is a real and substantial risk that the system will fail to meet its objectives. Urgent action is required to improve the adequacy and effectiveness of risk management, control and governance.
	Testing Opinion:	Significant non-compliance with the basic controls leaves the system open to error or abuse.