
Quality Assurance Report for 2014

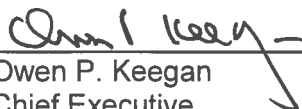
Dublin City Council

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

9th October, 2015

Certification

This Quality Assurance Report reflects Dublin City 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.



Owen P. Keegan
Chief Executive

Dublin City Council
9th October, 2015

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1.0 Introduction

Dublin City Council has completed this Quality Assurance (QA) Report as part of its ongoing compliance with the Public Spending Code (PSC). The Public Spending Code aims to ensure that the state achieves value for money in the use of all public funds.

The report presents the results of each of the 5 steps of the QA process, as set out below, and aims to gauge the extent to which the Council is meeting the obligations set out in the Public Spending Code.

2014 is the first year in which local authorities have been required to complete the QA process. The guidance note issued to the local government sector by the Finance Committee of the County and City Management Association has been used to complete the QA process in Dublin City Council.

The Quality Assurance process consists of 5 steps;

- Step 1 – Drawing up inventories of projects/programmes at different stages of the Project Life Cycle that have a total project cost in excess of €500,000. The three sections of the inventory are expenditure being considered; expenditure being incurred; and expenditure recently ended.
- Step 2 – Publish summary information on the City Council's web-site of all procurements in excess of €10m, related to projects in progress or completed in the year under review.
- Step 3 – Completion of the 7 checklists contained in the Public Spending Code in respect of expenditure at the different stages. One of each checklist per local authority is required. Checklists are not required for each project/programme.
- Step 4 – A more in-depth check of a small number of selected projects/programmes based on criteria established within the Public Spending Code.
- Step 5 – Completion of a report for the National Oversight and Audit Committee (NOAC) which includes the inventory, the web-site reference for the procurement information, the completed checklists, the Council's judgement on the adequacy of the process given the findings from the checklists and in-depth check and the Council's proposals to remedy any issues arising.

2.0 Expenditure Analysis

2.1 Project/Programme Inventory

The project inventory sets out the list of all projects/programmes with activity in 2014 and which have a total project life cost of €500,000 or more. The inventory is broken down into capital and revenue expenditure and consists of three categories;

- Expenditure being considered
- Expenditure being incurred
- Expenditure recently ended

The complete inventory is attached at Appendix 1.

The inventory contains of 169 projects across the three categories and comprises a total value of c.€1.3bn. The inventory was compiled using the format recommended in the guidance note from the CCMA. The list contains relevant services from the Council's Annual Financial Statement 2014 in respect of revenue expenditure and a list of relevant capital projects/programmes extracted from the Council's Financial Management System, with information verified by project owners, for capital expenditure.

Summary of Project/Programme Inventory 2014

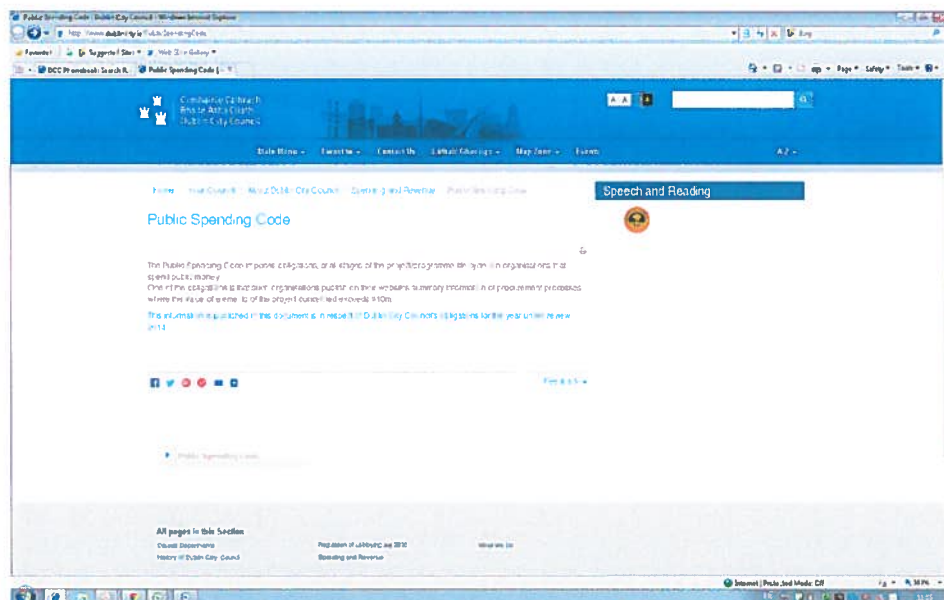
No. of Projects	Revenue Expenditure			Capital Expenditure			Total
	€0.5 - €5m	€5m - €20m	Over €20m	€0.5 - €5m	€5m - €20m	Over €20m	
Expenditure being considered	n/a	n/a	n/a	27	2	0	29
Expenditure being incurred	26	17	12	36	18	4	113
Expenditure recently ended	n/a	n/a	n/a	23	2	2	27
Total	26	17	12	86	22	6	169

Total Project Values	Revenue Expenditure			Capital Expenditure			Total
	€0.5 - €5m	€5m - €20m	Over €20m	€0.5 - €5m	€5m - €20m	Over €20m	
Expenditure being considered	n/a	n/a	n/a	57.7m	19m	-	76.7m
Expenditure being incurred	70m	168.2m	509.9m	74.2m	172.8m	114.6m	1109.7m
Expenditure recently ended	n/a	n/a	n/a	40.8m	31m	117.0m	188.8m
Total	70m	168.2m	509.9m	172.7m	222.8m	231.6m	1375.2m

2.2 Summary of procurements in excess of €10m

In compliance with Step 2 of the QA process, there were 5 procurements in excess of €10m which relate to projects which are included on the inventory for 2014. The summary information on these procurements is published on the City Council's web-site at;

<http://www.dublincity.ie/PublicSpendingCode>



The complete information published and available to download from the web-site is attached at Appendix 2.

3.0 Assessment of Compliance

3.1 Checklists & Findings

Step 3 of the Quality Assurance process involved the compilation of a number of checklists, 7 in total;

- Checklist 1: General Obligations not specific to individual projects/programmes
- Checklist 2: Capital projects or grant schemes being considered
- Checklist 3: Current expenditure being considered
- Checklist 4: Capital expenditure being incurred
- Checklist 5: Current expenditure being incurred
- Checklist 6: Capital expenditure recently ended
- Checklist 7: Capital expenditure recently ended

The completed checklists for Dublin City Council are attached at Appendix 3.

The checklists were completed based on checklists returned for a random selection of projects under each of the 3 categories. Where appropriate, explanatory comments are provided in addition to the self-assessed scores provided.

For both capital and current expenditure, the checklists indicate a satisfactory level of compliance with the requirements of the PSC and there are indications that there is scope for improvement in certain aspects. No serious issues/concerns were evident during the completion of this step of the QA process.

Checklist 1 indicates a high level of compliance with the PSC in terms of provision and development of appropriate guidelines and awareness within the organisation. As per the PSC, the required sample for in-depth review is a minimum of 5% of the value of the project inventory to be achieved as an average over a 3 year period. As the in-depth check represents 1% of the project inventory value in 2014, the flexibility allowed for in the Code will be used to achieve the 5% over the three year period 2014-2016.

In relation to capital expenditure, Checklist 2 shows a good level of compliance with the Code and identifies areas of improvement in terms of establishing and gathering information on performance indicators. Checklist 4 shows a satisfactory level of compliance with some scope for improvement in the area of budget adjustment, while the assessment under Checklist 6 indicates an acceptable level of compliance amongst projects sampled.

In terms of revenue expenditure, Checklist 5 demonstrates generally, a satisfactory level of compliance but highlights the areas of VFM and performance monitoring as having potential for improvement. As per the guidance issued by the Finance Committee of the CCMA, all current expenditure is categorised as expenditure being incurred for 2014 hence Checklists 3 and 7 are indicated as not applicable.

3.2 In-depth Check

In accordance with Step 4 of the QA process, an in-depth check was carried out by the Internal Audit of Dublin City Council into one capital project – Marlborough Street Public Transport Bridge. The project has a total value of €15.7m. The project was at implementation (incurring expenditure) stage during 2014 and was also complete in that year.

The overall objective of the audit was to ascertain if the management of the project was in compliance with the Public Spending Code (PSC) at implementation stage. A formal report on the in-depth review has been completed and submitted to the Chief Executive. The overall finding is that good practice was employed at the implementation stage of the expenditure life cycle in line with the PSC and the rating given is satisfactory. 3 minor recommendations in relation to formal assignment of posts, recording of meetings and terms of reference are made which will be incorporated into project management guidance within the City Council.

4.0 Addressing Quality Assurance Issues

While the QA process has identified a satisfactory level of compliance with the PSC, the Senior Management Team of the City Council has recently approved internal guidelines for the approval and monitoring of capital projects that align with the Public Spending Code and intends to establish a Corporate Project Support Office in 2015 to provide support and guidance for capital projects across the organisation and ensure compliance with the PSC.

The recommendations of the In-depth Check will be incorporated into project management guidance within the City Council.

The compilation of the inventory and checklists for the first year of the QA process involved considerable co-ordination across the Departments within the City Council. However, the base project inventory information which has now been established will facilitate the provision of readily available, up-to-date information for future years in line with the QA process requirements.

5.0 Conclusion

The City Council has completed the necessary steps in the QA process and has prepared the required inventory showing all relevant expenditure and published information on all procurements in excess of €10m. The checklists and in-depth checks have demonstrated a good level of compliance with the Public Spending Code, with no major issues or concerns being highlighted through the process. Areas for improvement identified in this report will be incorporated into project governance within the organisation so as to ensure a continued high compliance with the PSC within the City Council.

Appendix 1 Project/Programme Inventory

Expenditure under consideration 2014						
Project /Division Description	Capital Expenditure			Revenue Expenditure		
	€0.5m -€5m	€0.5m -€5m	€5m - €20m	€0.5m -€5m	€0.5m -€5m	€5m - €20m
Projects of Total Value						
Housing & Building						
St Bricans Park	1,788,724					
Special Needs Adaptation Traveller Accommodation 2014-16	800,000					
Feasibility of land for development - travellers 2014-2016	3,100,000					
Kylemore Grove Rebuilds	550,000					
St Margarets Park Day House Upgrade	2,500,000					
Longfields Supported Temporary Accommodation	700,000					
Demolition Contract No 9 BRL	3,600,000					
Roads Transportation Safety						
Blackhorse Avenue Sec 2 Roads Improvement Scheme	2,000,000					
Newcomen Bridge Widening	1,200,000					
Royal Canal North Strand - Phibsborough Road	3,500,000					
Royal Canal Premium Cycle Route Phase 2/Sheriff St to North Strand Road	4,400,000					
Liffey Cycle Route		13,000,000				
Chapelizod Bypass Bus Lane Widening - NTA Design	2,300,000					
Replacing Public Lighting Poles	3,000,000					
Surface Water Drainage & Flood Relief Works						
Dublin Flood Early Warning System	1,032,000					
Sandymount Flood Defences Phases 1 & 2	3,350,000					
Poddle River Flood Alleviation	4,000,000					

Expenditure under consideration 2014

Project /Division Description	Capital Expenditure			Revenue Expenditure		
	€0.5m -€5m	€0.5m -€5m	€5m - €20m	€0.5m -€5m	€0.5m -€5m	€5m - €20m
Projects of Total Value						
Development Management						
Henrietta Street 1916	2,000,000					
Environmental Services						
Ballymun Boilerhouse Project	3,644,745					
Street Sweepers	4,500,000					
Recreation & Amenity						
Exemplar Energy Project	570,000					
Markievicz Works	750,000					
Bull Island		6,000,000				
Chamber/Weaver Park	900,000					
Mounjoy Square Conservation Plan	1,000,000					
Merrion Square Tea Rooms & Conservation Plan	1,400,000					
SDZ Chocolate Park	750,000					
Dubline	100,000					
Agriculture, Education, Health & Welfare						
N/A						
Miscellaneous Services						
IS Infrastructure Project	4,310,000					
Total Project Value	57,745,469	19,000,000	-			

Expenditure being incurred 2014

Project /Division Description	Capital Expenditure			Revenue Expenditure		
	€0.5m -€5m	€0.5m -€5m	€5m - €20m	€0.5m -€5m	€0.5m -€5m	€5m - €20m
Projects of Total Value Housing & Building						
A01-Maintenance/Improvement of LA Housing						61,000,000
A02-Housing Assessment, Allocation and Transfer					5,700,000	
A03-Housing Rent and Tenant Purchase Administration					9,400,000	
A04-Housing Community Development Support						20,900,000
A05-Administration of Homeless Service						56,100,000
A06-Support to Housing Capital & Affordable Programme					8,000,000	
A07-RAS Programme						25,600,000
A08-Housing Loans						
A09-Housing Grants						
Redevelopment of Buttercup Park		8,800,000				
Maxwell Road		2,338,887				
Charlemont Area Urban Framework Plan		11,800,000				
Dominick St			27,399,999			
Croke Villas		11,725,000				
Dolphin House		18,500,000				
St Teresas Gardens Redevelopment (Procurement)		17,200,000				
Purchase of Houses 2014-2016		6,000,000				
Refurbishment Costs Purchased Property 2014-2016		2,550,000				
Vacant Houses (Voids) 2014-2016			21,400,000			
Energy Efficiency Works 2014-2016		5,955,947				
Crampton Buildings Redevelopment		5,500,000				
Pyrite Capital Cost Centre 2014-2016		4,119,675				
Regulatory Building Standards 2014-2016		500,000				
Fall Arrest Systems 2014-2016		500,000				
Cluid Emerald			5,292,692			
Chas Fr Scully House Construction			17,296,613			
Calif Funding - Voluntary Leasing Projects 2014-2016			10,000,000			
Sophia - 61/62 Sean McDermott Street		616,672				

Expenditure being incurred 2014

Project /Division Description	Capital Expenditure			Revenue Expenditure		
	€0.5m -€5m	€0.5m -€5m	€5m - €20m	€0.5m -€5m	€0.5m -€5m	€5m - €20m
Projects of Total Value						
HM Extensions 2014-2016	900,000					
Priory Hall Security & Misc Charges			35,854,776			
Silloogue 4 Pyrite Remedial Works	1,200,000					
Roads Transportation Safety						
B03-Regional Road - Maintenance and Improvement						
B04-Local Road - Maintenance and Improvement					7,500,000	
B05-Public Lighting						22,400,000
B06-Traffic Management Improvement					9,600,000	
B08-Road Safety Promotion/Education				3,200,000	17,700,000	
B09-Maintenance & Management of Car Parking						
B10-Support to Roads Capital Prog.				3,400,000	11,800,000	
B11-Agency & Recoupable Services				3,300,000		
Kilmainham Civic Space	2,300,000					
Transport Asset Management System	3,925,398					
Refurbishment of Footpaths 2014-2016	500,000					
Swords Road QBC	410,000					
S2S Cycle/Walkway Scheme - Bull Road to Causeway Rd		6,600,000				
Construction Supervision Grafton Street Works	3,000,000					
Rialto Area Improvement Scheme (Phase 1)	910,000					
Thomas St/James St QBC Enhancement Scheme	4,200,000					
Road Markings 2014-2016	3,150,000					
Real Time Passenger Information 2014-2016	1,000,000					
Water Services/Surface Water Drainage & Flood Relief Works						
C01-Operation and Maintenance of Water Supply						40,500,000
C02-Operation and Maintenance of Waste Water Treatment						38,300,000
C03-Collection of Water and Waste Water Charges				900,000		

Expenditure being incurred 2014

Project /Division Description	Capital Expenditure			Revenue Expenditure		
	€0.5m -€5m	€0.5m -€5m	€5m - €20m	€0.5m -€5m	€0.5m -€5m	€5m - €20m
Projects of Total Value						
C07-Agency & Recoupable Services				3,800,000		
Eastern River Basin District Study		15,750,000				
Dodder Flood Risk Management River Dodder	1,151,000					
S2S Phase 1		7,000,000				
Clontarf Flood Relief	4,200,000					
Dodder Flood Works Phases 2 to 9		6,200,000				
Campshires Flood Protection Project	2,330,000					
River Wad Study and Construction Works	4,000,000					
Flood Resilient City	3,000,000					
Development Management						
D01-Forward Planning				4,600,000		
D02-Development Management					5,700,000	
D03-Enforcement				2,600,000		
D04-Op & Mtce of Industrial Sites & Commercial Facilities					8,100,000	
D05-Tourism Development and Promotion				1,500,000		
D06-Community and Enterprise Function				2,200,000		
D08-Building Control				1,200,000		
D09-Economic Development and Promotion				4,900,000		
D11-Heritage and Conservation Services				2,300,000		
Refurbishment Works on Markets Phase 1	2,350,000					
Expansion of Bike Scheme	2,000,000					
Ballymun Shopping Centre		5,200,000				
Environmental Services						
E01-Operation, Maintenance and Aftercare of Landfill					6,000,000	
E02-Op & Mtce of Recovery & Recycling Facilities				3,400,000		
E04-Provision of Waste to Collection Services					5,700,000	
E05-Litter Management				3,500,000		

Expenditure being incurred 2014

Project /Division Description	Capital Expenditure			Revenue Expenditure		
	€0.5m -€5m	€0.5m -€5m	€5m - €20m	€0.5m -€5m	€0.5m -€5m	€5m - €20m
Projects of Total Value						
E06-Street Cleaning						36,800,000
E07-Waste Regulations, Monitoring and Enforcement				4,100,000		
E10-Safety of Structures and Places				4,000,000		
E11-Operation of Fire Service						111,400,000
E12-Fire Prevention				2,100,000		
E13-Water Quality, Air and Noise Pollution				1,000,000		
E14-Agency & Recoupable Services				700,000		
District Heating Project		12,000,000				
Slaney Road Waste Depot	657,175					
Waste to Energy Plant Construction Phase	4,397,885					
Purchase of Fire Appliances 2014-2016	1,800,000					
Recreation & Amenity						
F01-Operation and Maintenance of Leisure Facilities					9,100,000	
F02-Operation of Library and Archival Service						23,600,000
F03-Op, Mtce & Imp of Outdoor Leisure Areas						22,800,000
F04-Community Sport and Recreational Development					16,000,000	
F05-Operation of Arts Programme					9,000,000	
Leisure Centre Programme of Works 2014-2016	816,667					
Ballyfermot Leisure Centre			30,000,000			
Kevin Street Library Refurbishment	3,800,000					
St Annes Park 2014-2016	1,335,759					
Parnell Sq Cultural Quarter	2,500,000					
Refurbishment of Richmond Barracks for 1916 Commemoration	3,500,000					
Grafton St & Environs	1,000,000					
Parks Sports Capital Projects 2014-2016	2,000,871					
Parks Pavillion Projects 2014-2016	553,443					

Expenditure being incurred 2014

Project /Division Description	Capital Expenditure			Revenue Expenditure		
	€0.5m -€5m	€0.5m -€5m	€5m - €20m	€0.5m -€5m	€0.5m -€5m	€5m - €20m
Projects of Total Value						
Agriculture, Education, Health & Welfare						
G04-Veterinary Service				700,000		
G05-Educational Support Services				4,300,000		
Miscellaneous Services						
H03-Adminstration of Rates						50,500,000
H04-Franchise Costs				1,500,000		
H05-Operation of Morgue and Coroner Expenses				3,600,000		
H07-Operation of Markets and Casual Trading				1,400,000		
H09-Local Representation/Civic Leadership				4,600,000		
H10-Motor Taxation					11,100,000	
H11-Agency & Recoupable Services				1,200,000		
New Morgue		2,000,000				
Mansion House Refurbishment 2014-2016	689,000					
Total Project Value	74,202,432	172,820,252	114,654,775	70,000,000	168,200,000	509,900,000

Expenditure completed 2014

Project /Division Description	Capital Expenditure			Revenue Expenditure		
	€0.5m -€5m	€0.5m -€5m	€5m - €20m	€0.5m -€5m	€0.5m -€5m	€5m - €20m
Projects of Total Value						
Housing & Building						
Liberty House Phase 2		15,400,000				
St Michael's Estate - 4 acre site phase 1			25,250,000			
Bluebell Road Completion Contract	4,000,000					
Thomas Davis Street West Inchicore	3,390,367					
Bunratty Road Phase 2	4,276,408					
Fr Scully House – Rent	4,230,118					
The Finglas Womens Centre	834,580					
Balcurris Park Phase D	1,905,023					
Sillogue Avenue Drainage	350,000					
District Heating - Satellite Boiler Plants	2,911,561					
Infrastructure Taking in Charge Works	837,918					
Demolition Completion Works Site Reinstatement	1,327,504					
Coultry 6 Housing Park & Roads	602,000					
Roads Transportation Safety						
Marlborough St Public Transport Priority Bridge		15,600,000				
Purchase Parking Meters	1,456,422					
Tolka Valley Park Cycle Track	3,865,622					
Lincoln Place Traffic Management	1,127,221					
Southside Traffic Management to facilitate LUAS Broombridge	2,800,000					
Custom House Quay Contra Flow Bus Lane	600,000					

Expenditure completed 2014

Project /Division Description	Capital Expenditure			Revenue Expenditure		
	€0.5m -€5m	€0.5m -€5m	€5m - €20m	€0.5m -€5m	€0.5m -€5m	€5m - €20m
Projects of Total Value						
Development Management						
Dublin Docklands Wayfinding Scheme	715,437					
Environmental Services						
Thermal Treatment Plant at Poolbeg			91,774,502			
Acquisition of site at Strand St	1,872,750					
Recreation & Amenity						
Upgrade of stand-alone swimming pools	2,673,813					
Libraries RFID Project	754,602					
Willie Pearse Park	1,800,000					
Rathmines Library Disability Works	1,059,863					
Herbert Park Tearooms	750,000					
Agriculture, Education, Health & Welfare						
N/A						
Miscellaneous Services						
N/A						
Total Project Value	40,750,842	31,000,000	117,024,512			

Appendix 2 Summary Procurement Information

See attached document

Public Spending Code

The Public Spending Code imposes obligations, at all stages of the project/programme life-cycle, on organisations that spend public money.

One of the obligations is that such organisations publish on their websites summary information of procurement processes where the value of elements of the project concerned exceeds €10m.

This information is published below in respect of Dublin City Council's obligations for the year under review, 2014.

Project Details	
Year	2009
Parent Department	Housing
Name of Contracting Body	Dublin City Council
Name of Project/Description	St. Michaels Estate - 4(Phase 1a)
Procurement Details	
Advertisement Date	31/7/2009
Tender advertised in	OJEU
Awarded to	BAM Building Ltd
EU contract award notice date	11/8/2010
Contract price	€11,931,733 (As stated in the Contract Award Notice)
Progress	
Start Date:	November 2010
Spend in Year under Review:	€5,900,000
Cumulative Spend to End of Year	€16,900,000
Projected Final Cost:	€16,900,000
Value of Contract Variations:	€5,000,000
Date of Completion	February 2014
Outputs	
Expected Output on Completion (e.g. XXkms of Road, No. of units etc)	75 units
Output Achieved to date (e.g. X kms of Roads, No of Units etc)	75 units

Project Details	
Year	2010
Parent Department	Housing
Name of Contracting Body	Dublin City Council
Name of Project/Description	Liberty House (Phase 2)
Procurement Details	
Advertisement Date	12/6/2010
Tender advertised in	OJEU
Awarded to	Duggan Bros
EU contract award notice date	2/12/2010
Contract price	€10,640,000
Progress	
Start Date:	January 2013
Spend in Year under Review:	€5,400,000
Cumulative Spend to End of Year:	€9,780,000
Projected Final Cost:	€11,029,106
Value of Contract Variations:	€389,106
Date of Completion	September 2014
Outputs	
Expected Output on Completion (e.g. XXkms of Road, No. of units etc)	56 Residential Units
Output Achieved to date (e.g. X kms of Roads, No of Units etc)	56 Residential Units

Project Details	
Year	2011
Parent Department	Roads & Traffic
Name of Contracting Body	Dublin City Council
Name of Project/Description	Traffic Equipment Maintenance Contract 2011
Procurement Details	
Advertisement Date	16/11/11
Tender advertised in	OJEU – 18/11/11
Awarded to	Peek Traffic (IMTECH)
EU contract award notice date	11/5/2012
Contract price	Estimated at €2,150,000 per annum
Progress	
Start Date:	01/09/2012
Spend in Year under Review:	€2,587,000
Cumulative Spend to End of Year:	€5,175,000
Projected Final Cost:	€11,000,000
Value of Contract Variations:	
Date of Completion	31/08/2017
Outputs	
Expected Output on Completion (e.g. XXkms of Road, No. of units etc)	Maintenance of 808 sets of traffic signals and ancillary equipment, including controllers, SCATS loops & axle counters. Maintenance of fibre optic network 380 km. Maintenance of 1800 illuminated bollards
Output Achieved to date (e.g. X kms of Roads, No of Units etc)	Maintenance of 850 sets of traffic signals and ancillary equipment, including controllers, SCATS loops & axle counters. Maintenance of fibre optic network 380 km. Maintenance of 1800 illuminated bollards.

Project Details	
Year	2011
Parent Department	Environment & Transportation
Name of Contracting Body	Dublin City Council
Name of Project/Description	Tender for the enforcement of on-street parking
Procurement Details	
Advertisement Date	2/11/2011
Tender advertised in	OJEU – 4/11/11
Awarded to	Park Rite trading as Dublin Street Parking Services
EU contract award notice date	22/9/2011
Contract price	42,700,000
Progress	
Start Date:	1/11/2011
Spend in Year under Review:	€4,605,903
Cumulative Spend to End of Year:	€6,141,204
Projected Final Cost to end 31/10/18:	€42,700,000
Value of Contract Variations:	NIL
Date of Completion	21/10/18
Outputs	
Expected Output on Completion (e.g. XXkms of Road, No. of units etc)	385,000 enforcement actions
Output Achieved to date (e.g. X kms of Roads, No of Units etc)	259,773 enforcements to end Aug. 2015

Project Details	
Year	2014
Parent Department (4105)	Roads & Traffic
Name of Contracting Body	Dublin City Council
Name of Project/Description	Marlborough Street Public Transport Priority Bridge (Rosie Hackett Bridge)
Procurement Details	
Advertisement Date	3/4/2009
Tender advertised in	OJEU – 4/4/2009
Awarded to	Graham Projects Ltd. Ballygowan Rd, Co. Down
EU contract award notice date	13/9/2011
Contract price	€5,906,291 (As stated in the Contract Award Notice)
Progress	
Start Date:	26/09/2011
Spend in Year under Review:	€3,451,474.42
Cumulative Spend to End of Year	€10,203,084.65
Projected Final Cost:	€10,740,089.11
Value of Contract Variations:	€4,833,798.10
Date of Completion	02/05/2014
Outputs	
Expected Output on Completion (e.g. XXkms of Road, No. of units etc)	0.11km of single light rail track, 0.1 km of bus lane, 0.05 km of cycle track, 0.11 km of footway and 1 bridge
Output Achieved to date (e.g. X kms of Roads, No of Units etc)	0.11kms of single light rail track, 0.1 km of bus lane, 0.05 km of cycle track, 0.11 km of footway and 1 bridge

Appendix 3 Completed Checklists

Checklist 1: General Obligations not specific to individual projects or programmes

General Obligations not specific to individual projects/ programmes	Self-Assessed Compliance Rating: 0 – 4	Comment/Action Required
Does the local authority ensure, on an ongoing basis that appropriate people within the local authority and in its agencies are aware of the requirements of the Public Spending Code?	3	All relevant staff have been made aware of the PSC through recently developed City Council internal guidelines for capital projects and through the process of completion of this report.
Has there been participation by relevant staff in external training on the Public Spending Code? (i.e. DPER)	N/A	No training provided to local government sector to date
Has internal training on the Public Spending Code been provided to relevant staff?	2	2014 is the first year of the PSC so training needs have yet to be identified. Staff are aware of the PSC as per the above
Has the Public Spending Code been adapted for the type of project/programme that your local authority is responsible for? i.e. have adapted guidelines been developed?	4	Yes, internal guidelines for capital projects have been developed along with the guidance notes issued by the Finance Committee of CCMA
Has the local authority in its role as Sanctioning Authority satisfied itself that agencies that it funds comply with the Public Spending Code?	2	2014 is the first year of the QA/PSC process for the City Council and the main focus has been on internal awareness
Have recommendations from previous Quality Assurance exercises (incl. old Spot-Checks) been disseminated, where appropriate, within the local authority and to your agencies?	N/A	2014 is the first year of the QA/PSC process for the City Council
Have recommendations from previous Quality Assurance exercises been acted upon?	N/A	2014 is the first year of the QA/PSC process for the City Council
Has an annual Public Spending Code Quality Assurance Report been submitted to the National Oversight and Audit Commission (NOAC)?	4	Yes, completed report submitted.
Was the required sample subjected to a more in-depth Review i.e. as per Step 4 of the QA process	2	The 5% will be met over the 2014-2016 period as per the Public Spending Code
Has the Accounting Officer signed off on the information to be published to the website?	4	Yes, the Chief Executive has signed off

Self-Assessed Ratings: 0 – Not Done, 1 - < 50% compliant, 2 – 50-75% Compliant, 3 – > 75% Compliant, 4 – 100% Compliant

Checklist 2: Capital expenditure being considered in 2014

To be completed in respect of capital projects or programme that is or was under consideration in the past year

Capital Expenditure being considered – Appraisal and Approval	Self-Assessed Compliance Rating: 0 - 4	Comment/Action Required
Was a Preliminary Appraisal undertaken for all projects > €5m	4	
Was an appropriate appraisal method used in respect of each capital project or capital programme/grant scheme?	3	
Was a CBA/CEA completed for all projects exceeding €20m?	N/A	No projects exceeded this amount
Was the appraisal process commenced at an early stage to facilitate decision making?(i.e. prior to the decision)	4	
Was an Approval in Principle granted by the Sanctioning Authority for all projects before they entered the Planning and Design Phase? (e.g. procurement)	4	
If a CBA/CEA was required was it submitted to the CEEU for their view?	N/A	No projects required CBA/CEA
Were the NDFA Consulted for projects costing more than €20m?	N/A	No projects exceeded this amount
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?	4	
Was approval granted to proceed to tender?	4	
Were Procurement Rules complied with?	4	
Were State Aid rules checked for all supports?	N/A	Not applicable to Local Government
Were the tenders received in line with the Approval in Principle in terms of cost and what is expected to be delivered?	4	
Were Performance Indicators specified for each project/programme which will allow for the evaluation of its efficiency and effectiveness?	2	
Have steps been put in place to gather the Performance Indicator data?	2	

Self-Assessed Ratings:

0 - Not Done, 1 - < 50% compliant, 2 - 50-75% Compliant, 3 - > 75% Compliant, 4 – 100% Compliant

Checklist 3: Current expenditure being considered in 2014

New current expenditure or expansion of existing current expenditure under consideration

Current Expenditure being considered – Appraisal and Approval	Self-Assessed Compliance Rating: 0 - 4	Comment/Action Required
Were objectives clearly set?	N/A	No programmes relevant to the PSC in 2014
Are objectives measurable in quantitative terms?	N/A	No programmes relevant to the PSC in 2014
Was an appropriate appraisal method used?	N/A	No programmes relevant to the PSC in 2014
Was a business case incorporating financial and economic appraisal prepared for new current expenditure?	N/A	No programmes relevant to the PSC in 2014
Has an assessment of likely demand for the new scheme/scheme extension been estimated based on empirical evidence?	N/A	No programmes relevant to the PSC in 2014
Was the required approval granted?	N/A	No programmes relevant to the PSC in 2014
Has a sunset clause been set?	N/A	No programmes relevant to the PSC in 2014
Has a date been set for the pilot and its evaluation?	N/A	No programmes relevant to the PSC in 2014
Have the methodology and data collection requirements for the pilot been agreed at the outset of the scheme?	N/A	No programmes relevant to the PSC in 2014
If outsourcing was involved were Procurement Rules complied with?	N/A	No programmes relevant to the PSC in 2014
Were Performance Indicators specified for each new current expenditure proposal or expansion of existing current expenditure	N/A	No programmes relevant to the PSC in 2014
Have steps been put in place to gather the Performance Indicator data?	N/A	No programmes relevant to the PSC in 2014

Self-Assessed Ratings:

0 - Not Done, 1 - < 50% compliant, 2 - 50-75% Compliant, 3 - > 75% Compliant, 4 – 100% Compliant

Checklist 4: Capital Projects incurring expenditure during 2014

Complete if your organisation had capital projects/programmes that were incurring expenditure in the year under review

Incurring Capital Expenditure	Self-Assessed Compliance Rating: 0 - 4	Comment/Action Required
Was a contract signed and was it in line with the approval in principle?	4	
Did management boards/steering committees meet regularly as agreed?	4	
Were Programme Co-ordinators appointed to co-ordinate implementation?	4	
Were Project Managers, responsible for delivery, appointed and were the Project Managers at a suitable level for the scale of the project?	3	
Were monitoring reports prepared regularly, showing implementation against plan, budget, timescales and quality?	3	
Did the project keep within its financial budget and its time schedule?	3	
Did budgets have to be adjusted?	2	Yes
Were decisions on changes to budgets or time schedules made promptly?	3	Yes
Did circumstances ever warrant questioning the viability of the project and the business case incl. CBA/CEA(exceeding budget, lack of progress, changes in the external environment, new evidence)	N/A	
If circumstances did warrant questioning the viability of a project was the project subjected to adequate examination?	N/A	
If costs increased was approval received from the Sanctioning Authority?	4	
Were any projects terminated because of deviations from the plan, the budget or because circumstances in the environment changed the need for the investment?	4	No
For significant projects were quarterly reports on progress submitted to the MAC and to the Minister?	4	Updates are provided to the relevant agencies and to SMT as required

Self-Assessed Ratings:

0 - Not Done, 1 - < 50% compliant, 2 - 50-75% Compliant, 3 - > 75% Compliant, 4 – 100% Compliant

Checklist 5: Incurring current expenditure in 2014

For current expenditure

Incurring Current Expenditure	Self-Assessed Compliance Rating: 0 – 4	Comment/Action Required
Are there clear objectives for all areas of current expenditure?	3	<ul style="list-style-type: none"> • Annual Statutory Budget process • Corporate plan & Service plans • PMDS / Team Development Plans • Risk Management
Are outputs well defined?	3	<ul style="list-style-type: none"> • National KPI's • Dublin City Council KPI's • Team Development plans(TDP) & Personal Development plans (PDP) targets
Are outputs quantified on a regular basis?	3	<ul style="list-style-type: none"> • Quarterly budget monitoring and reporting • Quarterly reporting to Department of Environment In areas of Payroll Spending, Borrowings, Capital & Revenue Income and Expenditure, Debtors and changes in Greater Government Borrowings • Strategic Policy and Area Committees reporting • Half yearly review of TDP and PDP • Annual Report
Is there a method for monitoring efficiency on an ongoing basis?	3	<ul style="list-style-type: none"> • Procurement monitoring • Shared services review • Internal and External auditors • Quarterly budget reporting • Planned services / function reviews
Are outcomes well defined?	2	<ul style="list-style-type: none"> • Targets are defined in the Annual Budget, Corporate Plan, Service Plans and Team plans
Are outcomes quantified on a regular basis?	2	<ul style="list-style-type: none"> • Annual Report & Annual Budgets • Quarterly Budget Monitoring • SPC reporting at least 4 times per year • Internal Audit Committee at least 4 per year
Is there a method for monitoring effectiveness on an ongoing basis?	2	<ul style="list-style-type: none"> • Combination of all above • Formal reviews of some of DCC Departments / functions
How many formal VFMs/FPAs or other evaluations been completed in the year under review?	2	<ul style="list-style-type: none"> •VFM – 2 conducted by internal audit •Transformation agenda – number of reviews ongoing
Is there an annual process in plan to plan for new VFMs, FPAs and evaluations?	2	<ul style="list-style-type: none"> •Included as part of Team Development Plans •Included in Audit Plan
Have all VFMs/FPAs been published in a timely manner?	2	Yes, where appropriate
Is there a process to follow up on the recommendations of previous VFMs/FPAs and other evaluations?	3	<ul style="list-style-type: none"> •Included as part of Team Development Plans •Formal follow up by internal audit to review implementation of audit recommendations
How have the recommendations of VFMs, FPAs and other evaluations informed resource allocation decisions?	2	<ul style="list-style-type: none"> •Included as part of Team Development Plans •Incorporated into decision making process

Checklist 6: Capital expenditure completed during 2014

To be completed if capital projects were completed during the year or if capital programmes/grant schemes matured or were discontinued

Capital Expenditure Completed	Self-Assessed Compliance Rating: 0 - 4	Comment/Action Required
How many post-project reviews were completed in the year under review?	2	Of the projects sampled, more than half have either completed or are considering post project review
Was a post project review completed for all projects/programmes exceeding €20m?	N/A	Of the projects sampled, post project review under discussion and to be scheduled
If sufficient time has not elapsed to allow a proper assessment of benefits has a post project review been scheduled for a future date?	2	Of the projects sampled, post project review under discussion and to be scheduled
Were lessons learned from post-project reviews disseminated within the Sponsoring Agency and to the Sanctioning Authority?	4	Yes, where review has been completed.
Were changes made to the Sponsoring Agencies practices in light of lessons learned from post-project reviews?	N/A	N/A
Was project review carried out by staffing resources independent of project implementation?	4	Of the projects that have been reviewed an independent review was commissioned.

Self-Assessed Ratings:

0 - Not Done, 1 - < 50% compliant, 2 - 50-75% Compliant, 3 - > 75% Compliant, 4 – 100% Compliant

Checklist 7 Capital Projects under consideration in 2014

To be completed if current expenditure programmes 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: 0 - 4	Comment/Action Required
Were reviews carried out of current expenditure programmes that matured during the year or were discontinued	N/A	No programmes relevant to the PSC in 2014
Did those reviews reach conclusions on whether the programmes were effective?	N/A	No programmes relevant to the PSC in 2014
Did those review reach conclusions on whether the programmes were efficient?	N/A	No programmes relevant to the PSC in 2014
Have the conclusions reached been taken into account in related areas of expenditure?	N/A	No programmes relevant to the PSC in 2014
Were any programmes discontinued following a review of a current expenditure programme?	N/A	No programmes relevant to the PSC in 2014
Was the review commenced and completed within a period of 6 months?	N/A	No programmes relevant to the PSC in 2014

Self-Assessed Ratings:

0 - Not Done, 1 - < 50% compliant, 2 - 50-75% Compliant, 3 - > 75% Compliant, 4 – 100% Compliant