

Public Spending Code
Quality Assurance Report for 2016
Kerry County Council

To be submitted to
National Oversight and Audit Commission (NOAC)

Certificate

This Annual Quality Assurance Report sets out Kerry County Council's approach to completing the Quality Assurance requirements as set out in the Public Spending Code. It is based on financial, organisational and performance related information available across the various directorates of the Council.

Signature of Accounting Officer:



Moira Murrell
Chief Executive
Kerry County Council

Date: 30th May 2017

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Introduction

Kerry County Council has completed the Quality Assurance (QA) requirements as set out in the Public Spending Code for the 2016 financial year. The purpose of this report is to present the results of each of the Five Steps in the QA exercise and to report on compliance with the requirements of the Public Spending Code.

The Public Spending Code was written specifically using terminology familiar to Government Departments. In order to inform the QA exercise for the Local Government Sector a Guidance Note (Version 3) was developed for the sector to provide interpretation from a Local Government perspective.

Requirements of the Quality Assurance Aspect of the Public Spending Code

The Quality Assurance obligation involves a **5 step** process outlined below:

- **Step 1** – Compilation of an inventory of projects/programmes at the different stages of the Project Life Cycle that have a total Project Life Cost of €500k or more.
- **Step 2** - Publishing summary information on Kerry County Council's website of all procurements in excess of €10m; related to projects in progress or completed in the year under review. (The PSC originally required projects in excess of €2m to be published under this requirement but is now revised to €10m) A new project may become a "project in progress" during the year under review if the procurement process is completed and a contract is signed.
- **Step 3** - Completing the 7 checklists contained in the PSC. Only 1 of each checklist per Local Authority is required. Checklists are not required for each project/programme.
- **Step 4** - Carrying out a more in-depth check on a small number of selected projects/programmes based on criteria established within the Public Spending Code.
- **Step 5** - Completing a short summary report for the National Oversight and Audit Commission (NOAC). The report, which will be generated as a matter of course through compliance with steps 1-4 set out above.

STEP 1 – Project Inventory

The project inventory presents a list of all projects/programmes with 2016 activity and which have a total project life cost of €500,000 or more. The inventory is presented showing the 3 stages as set out in the table below which also outlines the Expenditure Category/Band relevant for inclusion in each stage:

Project/Programme Stage		Category/Band
1	Expenditure being considered	Current Expenditure programme - Increases over €0.5m
		Capital Grant Schemes > €0.5m
		Capital Projects between €0.5m - €5m
		Capital Projects between €5m - €20m
		Capital Projects over €20m
2	Expenditure being incurred	Current Expenditure > €0.5m
		Capital Grant Schemes > €0.5m
		Capital Projects between > €0.5m
3	Expenditure that has recently ended	Current Expenditure > €0.5m
		Capital Grant Schemes > €0.5m
		Capital Projects between > €0.5m

The Project inventory, set out in the format described above, is included in Appendix A. The Inventory contains 142 Projects under the three stages and comprise of a total value of €591.95m. The following tables provide an overview of the number of projects under each Project/Programme stage and under each of the categories/bands in each of these stages. It also provides an overview of the Project Costs under each category.

	Current Expenditure	Capital Grant Schemes	Capital Projects	Capital Projects			Totals
	> €0.5m	> €0.5m	> €0.5m	€0.5m - €5m	€5m - €20m	Over €20m	
Project Numbers							
Expenditure Being Considered	2	-	-	48	3	0	53
Expenditure Being Incurred	47	-	38	-	-	-	85
Expenditure Recently Ended	-	-	4	-	-	-	4
Totals	49	-	42	48	3	0	142

	Current Expenditure	Capital Grant Schemes	Capital Projects	Capital Projects			Totals
	> €0.5m	> €0.5m	> €0.5m	€0.5m - €5m	€5m - €20m	Over €20m	
Project Values €m							
Expenditure Being Considered	1.31	-	-	86.83	27.40	0	115.54
Expenditure Being Incurred	131.10	-	342.15	-	-	-	473.25
Expenditure Recently Ended	-	-	3.16	-	-	-	3.16
Totals	132.41	-	345.31	82.83	27.40	0	591.95

STEP 2 - Summary of Procurements in excess of €10m

In compliance with the requirement to publish all procurements in excess of €10m on our website I can confirm that Kerry County Council did not have a single procurement of €10m or more for the 2016 financial year and therefore was not required to publish.

STEP 3 - Checklists

Step 3 of the Quality Assurance procedure for the Public Spending Code involves the compilation of a number of checklists. There are 7 checklists in all. Checklist 1 captures general information while Checklists 2, 4 and 6 are related to capital projects and checklists 3, 5 and 7 are Revenue Expenditure related.

The Checklists are informed by the Project Inventory and the following table outlines the approach taken for the completion of the Checklists

Checklist Completion aligned with Project Inventory	
Expenditure Type	Checklist to be completed
General Obligations	General Obligations - Checklist 1
A. Expenditure being considered	Capital Projects/Programmes - Checklist 2 Current Expenditure – Checklist 3
B. Expenditure being incurred	Capital Projects/Programmes – Checklist 4 Current Expenditure – Checklist 5
C. Expenditure that has recently ended	Capital Projects/Programmes – Checklist 6 Current Expenditure – Checklist 7

All checklists as outlined below have been completed and can be found in [Appendix B](#) of this document.

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

Findings on Completion of Checklists

While the responses included in the Checklist indicate a satisfactory level of compliance there are indications that there is room for improvement in certain aspects of the requirements. However, no specific serious issues/concerns were evident during the completion of this element of the QA exercise.

STEP 4 - In-Depth review of a sample number of projects

Step 4 of the Quality Assurance Process involved the examining of a sample selection of projects included on the Project Inventory to test the standard of practices in use and compliance with the Public Spending Code within the organisation.

Internal Audit In-Depth Checks

The PSC requires Kerry County Council to carry out an internal, independent quality assurance procedure. Step 4 of this process entails the carrying out of in-depth checks on a small sub-set of projects to ascertain the level of compliance with PSC. The values of the projects selected for in-depth review for 2016 must follow the following criteria:

- 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.
- The minimum is an average over a three year period

Kerry County Council has carried out in-depth checks representative of 4.66% of the total value of the 2016 inventory for Capital Projects (meets minimum requirement over 3 year period) and 1.72% of the 2016 inventory for Revenue Projects. The approach taken was to randomly select a number of projects from the inventory having regard to the various stages of the life cycle, the values of projects listed and the business area of the local authority in order to have, in as far as possible, a good range of project types and sizes for review.

The following projects were the subject of in-depth checks: -

Project Reviewed	Status	Value
N70 Kilderry Bends Improvement Scheme	Exp. Incurred 2016	€9.985m
N86 Lispole to Ballynasare Lr & Ballygarret to Camp	Exp. Incurred 2016	€11.50m
Housing Adaptation Grants 2016 (incl. Admin & Overhead costs)	Exp. Incurred 2016	€2.276m

A report on the in-depth checks, in the required template format, has been completed and submitted to the Senior Management Team of Kerry County Council. The completed templates for each of the projects are attached at Appendix C.

Below are the summary and conclusions sections for each project:

N70 Kilderry Bends Improvement Scheme

As part of the in-depth checks on this project, Internal Audit carried out an extensive examination of documentation incl. files, reports, minutes of meetings, e-mail records, tendering and procurement documentation, monitoring and progress reports. Consideration was also given to identified risks and project management structures and processes. The review demonstrated a high level of compliance with the principles of the public spending code - appraisal, planning/design.

Internal Audit is satisfied that strong governance processes are in place, in conjunction with TII, that ensure management and oversight. Decisions and approvals are documented; clear procurement processes are utilised and accord with Financial Policies and Procedures of Kerry County Council; there is strong evidence of assessment and consideration of options and risks; there is evidence of ongoing monitoring of progress - both financial and operational progress, there is also evidence of ongoing communication with stakeholders on developments and with the community, as part of the public consultation process on land acquisition. The records maintained by Kerry NRDO in relation to this project are substantial, clear, easily retrievable and legible.

As the project is still underway, it has not yet reached the stage of post project review. However, the aims and objectives of the project are clearly specified and the information required to complete such a review, both quantitative and qualitative, is, for the most part, readily available to Kerry County Council.

N86 Lispole to Ballynasare Lr & Ballygarret to Camp

As part of the in-depth checks on this project, Internal Audit carried out an extensive examination of documentation incl. files, reports, minutes of meetings, e-mail records, tendering and procurement documentation, monitoring and progress reports. Consideration was also given to identified risks and project management structures and processes. The review demonstrated a high level of compliance with the principles of the public spending code - appraisal, planning/design, implementation including management and oversight.

Internal Audit is satisfied that strong governance processes are in place, in conjunction with TII, that ensure management and oversight. Decisions and approvals are documented; clear procurement processes are utilised and accord with Financial Policies and Procedures of Kerry County Council; there is strong evidence of assessment and consideration of options and risks, particularly at the planning and design phase of project development; there is evidence of ongoing monitoring of progress - both financial and operational progress, there is also evidence of ongoing communication with stakeholders on developments and with the community, as part of the public consultation process on land acquisition. The records maintained by Kerry NRDO in relation to this project are substantial, clear, easily retrievable and legible.

As the project is still underway, it has not yet reached the stage of post project review. However, the aims and objectives of the project are clearly specified and the information required to complete such a review, both quantitative and qualitative, is, for the most part, readily available to Kerry County Council.

Housing Adaptation Grants 2016 (incl. Admin & Overhead costs)

Internal Audit carried out an in-depth check of the Management of Housing Adaptation Grants. As part of this check, Internal Audit met and spoke with staff in the Housing Section, examined a randomly selected, representative sample of grant files and reviewed documentation (incl sample reports, delegation orders, recoupment claims) provided by the Housing Section. Internal Audit also reviewed information retained on Agresso Financial Management and DEPR systems.

Housing Department has structure in place to facilitate management and governance - Housing management team, staffing structure, clear reporting relationships, delineated roles and responsibilities, delegated responsibilities. A risk register is maintained; Administrative guidance and a funding allocation is provided to support the scheme. The section has a procedure governing the operation of the scheme and uses two systems (DEPR and Agresso) to support its' management. Management information can be extracted from the two systems as required. Housing Management reports to the Municipal Area meeting on progress on grants and compiles an overview for the CE Managers Report at year end. The DOE maintains oversight on performance against allocated budget and does, occasionally, advise on the level of grant allocation remaining to be recouped. Housing use the value of grants expended as a performance indicator.

Some areas have been identified where improvements can be made. While Housing Management have a structured approach to business and performance review and reviews financial performance regularly, reviews should be specifically documented in the records of the review meetings. The existing procedures document/manual should be reviewed and expanded to incorporate procedures governing the engineering assessment and content of engineering reports. There are formal procedures for approving grants and authorising grant payments to individuals and these are covered by delegation orders within Housing. These delegations and arrangements should be reviewed in conjunction with the Finance Department to ensure consistency with other approval limits.

Conclusion

This report has set out all the requirements of the Quality Assurance aspect of the Public Spending Code.

- A Project Inventory has been prepared outlining the various projects/programmes – capital and revenue that were being considered, being incurred or recently completed by Kerry County Council within the 2016 financial year.
- Kerry County Council has reported that it did not have a single procurement of €10m or more for the 2016 financial year and therefore is not required to publish.
- The 7 checklists required to be completed under the terms of the Public Spending Code Quality Assurance requirement have been completed and provide reasonable assurance that there is satisfactory compliance with the Public Spending Code.
- An in-depth review of a sample of the projects contained in the Project inventory has been completed and further confirmed that there is, in general, compliance with the requirements of the Public Spending Code. Three Projects were examined, resulting in 6 recommendations that encompass expanded documentation of procedures and processes, development of an outcome measure and using learning to inform future management processes.
- The final step of the QA exercise, as required under the Public Spending Code, is the compilation and publication of a summary report outlining the Quality Assurance Exercise undertaken by Kerry County Council. The contents of this report provide an overview on the QA exercise completed which has been certified by the Accounting Officer, Chief Executive.

Overall the QA exercise has provided reasonable assurance to the management of Kerry County Council that the requirements of the Public Spending Code are being met.

It is acknowledged that continuous improvements are achievable in both the compliance at project level and in the QA exercise. The development of specific guidance in relation to the QA requirements from a local government perspective and the experience gained by staff completing the exercise for 2014, 2015 and 2016 will provide guidance and further clarification for continuing future compliance with the Public Spending Code requirements.

Kerry County Council - 2016 Inventory of Projects and Programmes over €0.5m

[illegible]

Local Authority	Expenditure being considered					Expenditure being incurred			Expenditure recently ended		
	Current > €0.5m	Capital Grant Schemes > €0.5m	Capital		Capital Projects	Current Expenditure	Capital Grant Schemes	Capital Projects	Current Expenditure	Capital Grant Schemes	Capital Projects
			€0.5 - €5m	€5 - €20m							
Kerry County Council		€0.5m	€0.5 - €5m	€5 - €20m	€20m plus						
Kerry County Council											
A02 Housing Assessment, Allocation and Transfer						1,145,674					
A03 Housing Rent and Tenant Purchase Administration						1,236,385					
A05 Administration of Homeless Service						788,649					
A06 Support to Housing Capital & Affordable Prog.						1,341,496					
A07 RAS Programme						8,731,218					
A08 Housing Loans						3,183,011					
A09 Housing Grants						2,289,809					
Road Transportation and Safety											
Tralee Northern Ring Road Development				9,900,000							
N70 Coolroe Lwr to Glanbehy			4,600,000								
N70 Waterville to Ballybrack			1,955,000								
N70 Castlemaine to Milltown				7,500,000							
N72 Stagmount Bends			2,495,000								
N70 Creamery Cross			2,895,000								
N70 Derrenafayle			2,755,000								
N70 Brackaharagh			2,650,000								
N70 Derreens			1,995,000								
Tralee to Fenit Port Road Improvement			3,620,000								
N21 Castleisland ByPass								32,027,883			
Tralee By Pass Bealagrellagh								93,380,000			
N22 Cormaree Bridge Pavement Rehabilitation								956,370			
N69 Listowel ByPass								40,800,000			
N70 Blackwater Bridge to Tahilla(2007)								8,250,000			
N70 Kilderry Bends Improvement Scheme 2012								9,895,000			
N86 Tralee-An Daingean KY/09/4743								69,360,000			
N86 Annascaul to Gortbreagoge								8,350,000			
N86 Lispol to Ballynasare Lr & Ballygarret to Camp								11,500,000			
Kerry , Cork, Clare Bridge Rehabilitation 2016								3,500,000			
Cordal Windfarms Road Restoration											
Tullahinnel Wind Farm- Tarbert			786,000								
N72 Port Road Pavement Improvement Scheme			770,000								
Dingle Relief Road - Phase 4			700,000					3,000,000			
Releagh to Letterdunane								3,100,000			
N69 Tarbert to County Boundary											
N70 Caherleheen								600,000			
N70 Carhan Bridge to Deelis Bridge								2,149,720			
N70 Taghilla P/O 2016								728,283			
N70 Sneem to Drimnabeg (Design)											
N70 Gleensk								890,462			
											€1,213,324
											€728,283

Local Authority	Expenditure being considered				Expenditure being incurred			Expenditure recently ended		
	Current > €0.5m	Capital Grant Schemes > €0.5m	Capital		Current Expenditure	> €0.5m Capital Grant Schemes	> €0.5m Capital Projects	Current Expenditure	> €0.5m Capital Grant Schemes	Capital Projects
			€0.5 - €5m	€5 - €20m						
Kerry County Council										
Kerry County Council										
N70 Lohar										
N70 Killorglin Southern Approach Strengthening							1,800,000			
HCL N71 Muckross Road Killarney							1,500,000			
N71 Molls Gap Retaining Wall							895,000			
N72 Kilbonane							750,000			
Inner Relief Road Class Cross-Dan Spring Road							2,500,000			
Tralee Ballylongford Shannon LNG							2,300,000			
Irish Water Waterville Road Reinstatement							1,600,000			
B01 NP Road - Maintenance and Improvement							1,215,000			
B02 NS Road - Maintenance and Improvement							989,067			
B03 Regional Road - Maintenance and Improvement							3,025,116			
B04 Local Road - Maintenance and Improvement							5,906,349			
B05 Public Lighting							20,361,895			
B09 Maintenance & Management of Car Parking							1,968,733			
B10 Support to Roads Capital Prog.							1,613,417			
							2,555,465			
Water Services										
C01 Operation and Maintenance of Water Supply							7,597,340			
C02 Operation and Maintenance of Waste Water Treatment							2,703,288			
C03 Collection of Water and Waste Water Charges							1,391,368			
C04 Operation and Maintenance of Public Conveniences							985,862			
C05 Admin of Group and Private Installations							678,698			
C06 Support to Water Capital Programme							1,197,360			
Development Management										
Wild Atlantic Way Viewing Points										
Island of Geese, Tralee										
Kerry Technology Park Purchase			1,700,000							
Economic Development Initiatives			500,000							
Astro Tourism/ Dark Skies			600,000							
LEADER			2,000,000							
D01 Forward Planning							817,014			
D02 Development Management							2,461,344			
D03 Enforcement							1,229,294			
D05 Tourism Development and Promotion							1,262,840			
D06 Community and Enterprise Function							2,561,261			
D09 Economic Development and Promotion							1,876,409			
	770,827									
Environmental Services										
Burial Ground Development			1,200,000							

Local Authority	Expenditure being considered					Expenditure being incurred			Expenditure recently ended		
	Current > €0.5m	Capital Grant Schemes > €0.5m	Capital			Current Expenditure	> €0.5m Capital Grant Schemes	Capital Projects	Current Expenditure	> €0.5m Capital Grant Schemes	Capital Projects
			€0.5 - €5m	€5 - €20m	€20m plus						
Kerry County Council											
Kerry County Council											
Killarney Fire Station (Additions of Bays)			500,000								
Kenmare New Fire Station			1,200,000								
Extension and Refurbishment - Ballyunion Fire Station			500,000								
Extension and Refurbishment - Sneem Fire Station			500,000								
Extension and Refurbishment - Dingle Fire Station			500,000								
Restoration of Historic Landfills			1,420,000								
Infrastructural Works & Upgrading Transfer Stations/Civic Amenities			700,000								
Integrated Constructed Wetlands for Leachate Treatment NKL			750,000								
Listowel Civic Amenity Site			1,300,000								
NKL Capping of Phase 9											704,821
E01 Operation, Maintenance and Aftercare of Landfill						2,874,291					
E02 Op & Mtce of Recovery & Recycling Facilities						955,119					
E04 Provision of Waste to Collection Services						582,111					
E05 Litter Management						572,807					
E06 Street Cleaning						2,795,181					
E09 Maintenance and Upkeep of Burial Grounds						1,076,458					
E10 Safety of Structures and Places						1,044,250					
E11 Operation of Fire Service	534,740					5,812,104					
E12 Fire Prevention						621,328					
E13 Water Quality, Air and Noise Pollution						896,288					
Recreation and Amenity											
Active Travel Town Tralee								2,910,755			
South Kerry Greenways (It is expected that the costs will be substantially in excess of grant allocation from the DTTAS due to the standard of the proposed scheme, the complexity of the project and the need for a CPO process. The project is approaching final design stage and it is expected to lodge the CPO and planning application with An Bord Pleanala in Q3 2017.)											
Tralee Fenit Railway Line			3,000,000					16,000,000			
North Kerry Line			3,000,000								
Land- Ballyseedy/River Lee Amenity Walk			1,400,000								
Ross Road- Muckross Road Cycle Path								750,000			
F01 Operation and Maintenance of Leisure Facilities						647,675					
F02 Operation of Library and Archival Service						3,733,912					
F03 Op, Mtce & Imp of Outdoor Leisure Areas						3,025,940					
F05 Operation of Arts Programme						992,590					
Agriculture, Education, Health and Welfare											
Cliff Road Rossbeigh								1,100,000			

Local Authority	Expenditure being considered					Expenditure being incurred			Expenditure recently ended		
	Current > €0.5m	Capital Grant Schemes > €0.5m	Capital			Current Expenditure	Capital Grant Schemes	Capital Projects	Current Expenditure	Capital Grant Schemes	Capital Projects
			€0.5 - €5m	€5 - €20m	€20m plus						
Kerry County Council											
Kerry County Council											
Clieveragh Flood Relief Scheme											
G02 Operation and Maintenance of Piers and Harbours						1,527,941					
G04 Veterinary Service						728,436					
Miscellaneous Services											
H03 Administration of Rates						8,318,043					
H09 Local Representation/Civic Leadership						3,547,446					
H10 Motor Taxation						1,258,565					
H11 Agency & Recoupable Services						4,008,539					

APPENDIX B – CHECKLISTS OF COMPLIANCE

Checklist 1 - General Obligations not specific to Individual Projects or Programmes

General Obligations not specific to individual projects/programmes	Self-Assessed Compliance Rating: 1 - 3	Discussion/Action Required
1.1 Does the organisation ensure, on an ongoing basis, that appropriate people within the organisation and its agencies are aware of their requirements of the Public Spending Code (incl. through training)?	3	2016 is the third year of the PSC in the LG Sector. All relevant staff have been notified of their obligations under the code.
1.2 Has training on the Public Spending Code been provided to relevant staff within the organisation?	3	Internal training provided to staff in 2015. Senior staff attended DPER training provided in Cork in April 2016. Guidance has been circulated.
1.3 Has the Public Spending Code been adapted for the type of project/programme that your organisation is responsible for? i.e., have adapted sectoral guidelines been developed?	3	Yes. A guidance document has been developed for the QA adapting the PSC to the Local Government structures and approaches.
1.4 Has the organisation in its role as Sanctioning Authority satisfied itself that agencies that it funds comply with the Public Spending Code?	3	Yes
1.5 Have recommendations from previous QA reports (incl. spot checks) been disseminated, where appropriate, within the organisation and to agencies?	3	Yes. Recommendations notified to Senior Management Team for review and application.
1.6 Have recommendations from previous QA reports been acted upon?	3	Yes
1.7 Has an annual Public Spending Code QA report been certified by the organisation Chief Executive, submitted to NOAC and published on the organisation's website?	3	Yes – certified by CE, submitted to NOAC and published.
1.8 Was the required sample of projects/programmes subjected to in-depth checking as per step 4 of the QAP?	3	Yes – required sample reviewed
1.9 Is there a process in place to plan for ex post evaluations/Post Project Reviews? Ex-post evaluation is conducted after a certain period has passed since the completion of a target project with emphasis on the effectiveness and sustainability of the project.	2	Yes – in relation to qualifying projects
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?	N/A	
1.11 Is there a process to follow up on the recommendations of previous evaluations/Post project reviews?	2	Yes – in relation to qualifying projects
1.12 How have the recommendations of previous evaluations/post project reviews informed resource allocation decisions?	2	The recommendations of PPRs are input into a process improvement system and inform future resource allocation decisions.

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	Yes in relation to 3 projects. Projects in this category are at the very early stages of consideration
2.2 Was an appropriate appraisal method used in respect of capital projects or capital programmes/grant schemes?	3	Yes
2.3 Was a CBA/CEA completed for all projects exceeding €20m?	N/A	
2.4 Was the appraisal process commenced at an early stage to facilitate decision making? (i.e. prior to the decision)	3	Yes. In relation to qualifying projects
2.5 Was an Approval in Principle granted by the Sanctioning Authority for all projects before they entered the planning and design phase (e.g. procurement)?	3	Yes. In relation to qualifying projects
2.6 If a CBA/CEA was required was it submitted to the relevant Department for their views?	N/A	CBA was submitted to the DTTAS for South Kerry Greenways
2.7 Were the NDFA consulted for projects costing more than €20m?	N/A	
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?	N/A	
2.9 Was approval granted to proceed to tender?	N/A	
2.10 Were procurement rules complied with?	3	
2.11 Were State Aid rules checked for all supports?	N/A	Not applicable for Local Government.
2.12 Were the tenders received in line with the Approval in Principle in terms of cost and what is expected to be delivered?	N/A	
2.13 Were performance indicators specified for each project/programme which will allow for a robust evaluation at a later date?	3	On the basis that early stage project appraisal will highlight financial benefits.
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	Relates to planned programmes
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?	3	Submitted and approved as part of corporate budget process.
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?	N/A	
3.11 Was the required approval granted?	N/A	
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?	N/A	
3.14 Were performance indicators specified for each new current expenditure proposal or expansion of existing current expenditure programme which will allow for a robust evaluation at a later date?	3	
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.

Incurring Capital Expenditure	Self-Assessed Compliance Rating: 1 - 3	Comment/Action Required
4.1 Was a contract signed and was it in line with the Approval in Principle?	3	Yes, for all projects where a contract has been awarded
4.2 Did management boards/steering committees meet regularly as agreed?	3	Yes where appropriate
4.3 Were programme co-ordinators appointed to co-ordinate implementation?	3	Yes. All programmes are managed and developed by Senior Engineers and Senior Executive Officers
4.4 Were project managers, responsible for delivery, appointed and were the project managers at a suitably senior level for the scale of the project?	3	Yes
4.5 Were monitoring reports prepared regularly, showing implementation against plan, budget, timescales and quality?	3	Progress & financial reports were prepared where appropriate.
4.6 Did projects/programmes/grant schemes keep within their financial budget and time schedule?	2	In the majority of cases Yes
4.7 Did budgets have to be adjusted?	2	In exceptional cases.
4.8 Were decisions on changes to budgets / time schedules made promptly?	3	Yes
4.9 Did circumstances ever warrant questioning the viability of the project/programme/grant scheme and the business case incl. CBA/CEA? (exceeding budget, lack of progress, changes in the environment, new evidence, etc.)	N/A	
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	Yes this is a requirement.
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	No

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	Yes. Spending programme defined as part of the annual budget process.
5.2 Are outputs well defined?	3	National KPIs are in place for Local Government
5.3 Are outputs quantified on a regular basis?	3	KPIs are established each year for specific areas.
5.4 Is there a method for monitoring efficiency on an ongoing basis?	3	Yes – Budget performance monitoring in place.
5.5 Are outcomes well defined?	3	Continuity and delivery of Local services and programmes
5.6 Are outcomes quantified on a regular basis?	2	Yes – Annual Reports & KPIs
5.7 Are unit costings compiled for performance monitoring?	2	Yes – where applicable
5.8 Are other data compiled to monitor performance?	3	Local Service Indicators developed
5.9 Is there a method for monitoring effectiveness on an ongoing basis?	3	Yes – Spending programme defined as part of the Annual Budget Process
5.10 Has the organisation engaged in any other 'evaluation proofing' ¹ of programmes/projects?	2	Efficiency Unit in place in Kerry County Council

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

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

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

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?	N/A	No programmes relevant to PSC in 2016
7.2 Did those reviews reach conclusions on whether the programmes were efficient?	N/A	No programmes relevant to PSC in 2016
7.3 Did those reviews reach conclusions on whether the programmes were effective?	N/A	No programmes relevant to PSC in 2016
7.4 Have the conclusions reached been taken into account in related areas of expenditure?	N/A	No programmes relevant to PSC in 2016
7.5 Were any programmes discontinued following a review of a current expenditure programme?	N/A	No programmes relevant to PSC in 2016
7.6 Were reviews carried out by staffing resources independent of project implementation?	N/A	No programmes relevant to PSC in 2016
7.7 Were changes made to the organisation's practices in light of lessons learned from reviews?	N/A	No programmes relevant to PSC in 2016

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.

Appendix C- Quality Assurance – In Depth Check Templates – 2016 Projects

- N70 Kilderry Bends Improvement Scheme
- N86 Lispole to Ballynasare Lr & Ballygarret to Camp
- Housing Adaptation Grants (incl Admin & Overhead costs)

N70 Kilderry Bends Improvement Scheme

Quality Assurance – In Depth Check

Section A: Introduction

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

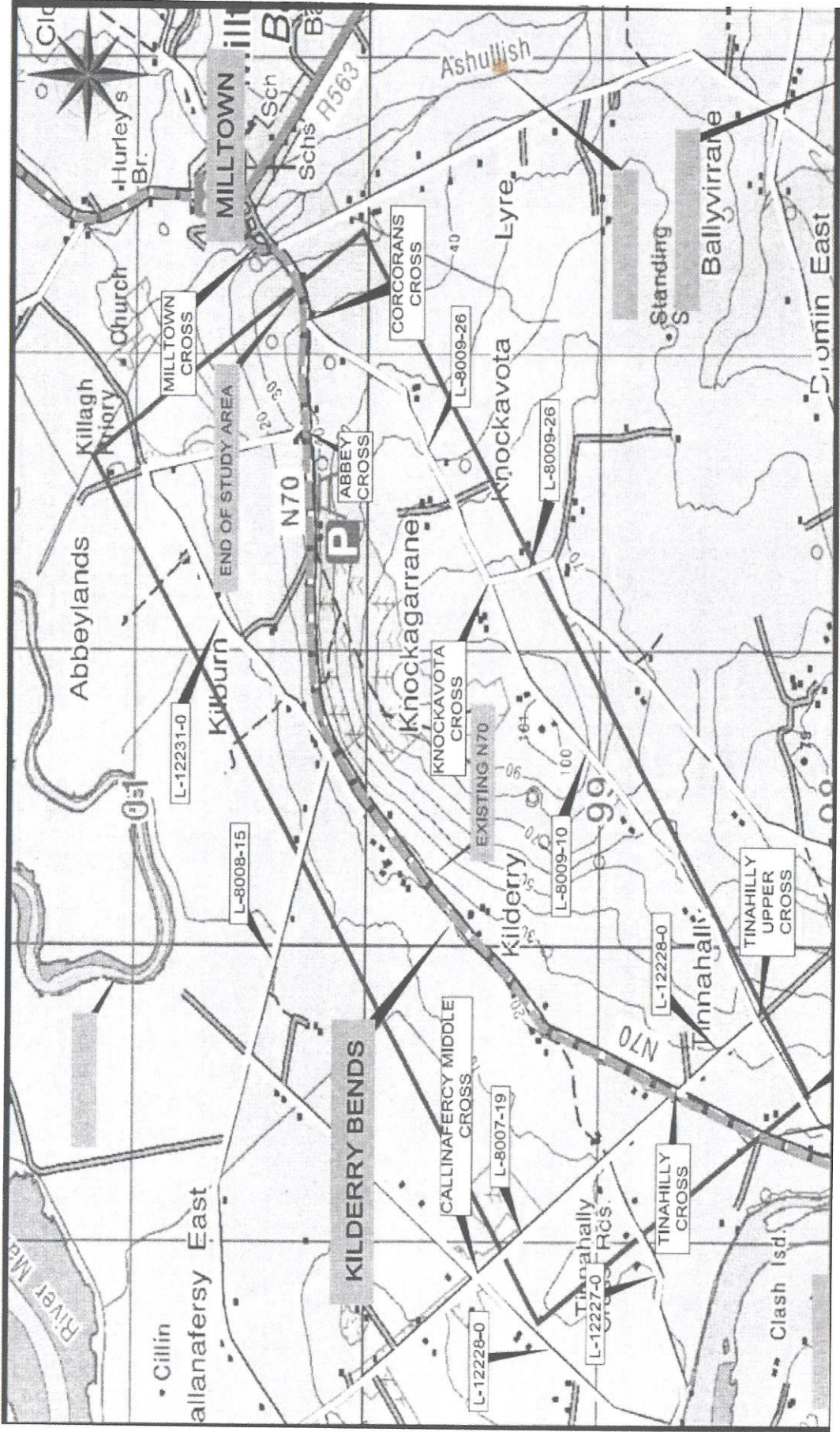
Programme or Project Information	
Name	N70 Kilderry Bends Improvement Scheme
Detail	Improvement works to N70 National Secondary route through Kilderry North, between Tinnahally and Kilcolman, comprising generally off-line realignment. Mainline length - 3.5km.
Responsible Body	Transport Infrastructure Ireland (TII)
Current Status	Incurring Expenditure
Start Date	2012
End Date	2017
Overall Cost	€ 9,895m

Project Description

The scheme involves the design and construction of a re-aligned section of the N70 National Secondary road in County Kerry.. The proposed mainline commences on the existing N70 west of the village of Milltown and terminates approx. 2km northeast of Killorglin on the existing N70. The proposed mainline will comprise a type 2 single carriageway cross section and will be approximately 3.5km in length. The proposed new alignment commences at Kennedy's cross to the Northeast of Killorglin Golf Club and terminates at the existing N70 at Corcorans Cross to the southwest of Milltown bypassing east of Kilderry bends. The proposed scheme retains the existing N70 for local access, connecting into the new N70 road at a priority junction at the southern and northern end.

PRS Name: N70 Kilderry Bends Improvement Scheme
 PRS no. KY/11/8078

Scheme Location



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 Project Name. 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
Improve geometric alignment of the existing section of road, thereby improving forward sight distance and overtaking opportunities and reducing the potential for hazardous manoeuvres	Capital Funding Experts & Consultants KCC Staff Time Landowner co-operation, Land, Project Plan/Brief, Materials, Equipment	1) Consult with public, Agree a Route and obtain land 2) Obtain TII (NRA) Approval to proceed with advance works & construction 3) Carry out site investigations 4) Tender for Advanced Works 5) Tender for Construction Contract 6) Assess tenders and Award contracts 6) Monitor progress on contracts	Improved alignment and road structure on the segment of road between Milltown and Killorglin	Improved road safety & reduction in level of accidents Improved access to the Ring of Kerry and west of the county - reduction in travel times

Description of Programme Logic Model

Objectives: The objective of the project is to improve road safety through the improvement of the geometric alignment of the existing section of roadway. This will improve sight distance and overtaking opportunities. It will also improve junction layouts along this section of the N70.

Inputs: The primary input to the programme is the capital funding provided by Transport Infrastructure Ireland (TII). It is estimated that the entire project will cost €9.895m. Other inputs include KCC staff time, TII staff time, expert advice, Consultants, technology, materials and equipment, project brief

Activities: There were a number of key activities carried out through the project including ...obtaining TII (NRA) to proceed with the project, design the project requirements, undertake public consultation & agree route, acquire the required land, design and plan route, carry out site investigations, prepare tender documents, organise a tender for works, assess the tenders, award contracts and manage the implementation of the project.

Outputs: Having carried out the identified activities using the inputs, the outputs of the project are improved alignment and road structure on the 3.5km segment of road between Milltown and Killorglin. The road will be a type 2 single carriageway cross section commencing in the townland of Kilcolman/Knockavota on the existing N70 and terminating in the townland of Tinnahelly, on the existing N70.

Outcomes: The envisaged outcomes of the project is to enhance the travelling experience of road users through reduced travel time, improved safety and improve the accessibility of the Ring of Kerry.

N70 Kilderry Bends Improvement Scheme

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

The following section tracks the **Kilderry Bends (N70) Improvement Scheme** from inception to conclusion in terms of major project/programme milestones

	Contract details		
	Commencement	Completion	Duration
<u>Scheme Feasibility</u> Appointment of PSDP Project Brief compiled Constraints Study Feasibility Working Cost compiled	2012 2012 2012 2015		
<u>Route Selection</u> Environmental Screening Route Selection Process - short-listing, selection of preferred route, route selection report Road safety Impact Assessment/Road Safety Audit <u>Environmental Assessment</u> Part 8 Planning Process	2012 2013 - 2014 2013 2013 - 2014 2014		
<u>Route Design</u> Topographical survey Site Investigations Archaeogeophysical Survey PSDP appointment - Design Stage Scheme Design report	2014 2014 2014 2014 2015		
<u>Statutory Process</u> Land Valuation Consultants procured Engineers report recommending Compulsory Purchase Order CPO Documents & process Advance Works & Construction Documents	2014 2015 - 2016 2016		

Indepth Review Template 2017 - PSC Kilderry Bends N70

Section B - Step 3: Analysis of Key Documents

The following section reviews the key documentation relating to appraisal, analysis and evaluation for the Kilderry Bends (N70) Improvement Scheme.

Project/Programme Key Documents		
	Title	Details
	<u>Scheme Feasibility</u>	
1	N70 Kilderry Bends Improvement Scheme Project Brief (2012)	<p>These documents were compiled as part of the process to assess the feasibility of the Kilderry Bends (N70) Improvement Scheme, select and design the route. Reports were compiled in accordance with the requirements of TII (NRA) Project Management Guidelines and TII (NRA) Project Appraisal Guidelines</p> <p>Documents are clearly laid out, easy to read and professionally produced by experts who were contracted for that purpose. The reports have an index detailing contents, an executive summary and appendices supporting the methods used and findings in the report. The content of the main body of the reports are focused and evidence based. The compiled reports contained sufficient information to facilitate TII in making the decision to progress the project. Where required the reports are supported by maps, drawings, photographs, survey data and test results.</p>
	<u>Route Selection</u>	
2	EIA Screening Report (2012)	
3	Screening for Appropriate Assessment (2012)	
4	Environmental Assessment of Route Options Report (2013)	
5	Environmental Assessment of Preferred Route (2013)	
6	Road Safety Impact Assessment Report (2013)	
7	Road Safety Audit report Stage F (2013)	
8	Route Selection report (2014)	
9	Part 8 Planning Process Documentation (2014)	
	<u>Route Design</u>	
10	N70 Engineering Consultancy Services; Call off Contract (2014)	
11	Site Investigation Contract - Tender Assessment report (2014)	
12	Topographical Survey Brief (2014)	
13	Archaeological Geophysical Survey, Assessment of Quotations received Report (2014)	
14	Land and Property Valuation Services Project Brief (2014)	
15	Topographical Validation Report (2015)	
16	Archaeological Geophysical Survey (2015)	
17	Scheme Design Report (2015)	
18	Project Appraisal Report (2015)	
19	Road Safety Audit report Stage 1 (2015)	
20	Kerry County Development Plan 2015 - 2021	
21	Archaeological Statement on Lissaniska Ringfort (2015)	

Indepth Review Template 2017 - PSC Kilderry Bends N70

	Title	Details	Quality of Document
22	Traffic Data review (2015)		
	Statutory Process		
23	Compulsory Purchase Order (2016)		
24	Submission to An Bord Pleanala - CPO (2016)		
	Advance Works		
25	CE and TII approval to proceed with Notice to treat (2016)		
26	Manager's Orders	All decisions to appoint consultants, to proceed with tendering, to proceed with CPO process, to incur expenditure etc. are affirmed through a chief executive order.	Manager's orders are clear - decision is clearly stated, all are numbered and signed by the appropriate delegated manager in accordance with procedure. The signed orders are stored electronically by Kerry NRDO. They are supported by a Directors/senior managers recommendation and a signed memo detailing the background and the purpose of the order.
27	Progress Meeting with Engineering Consultants	Meetings are held with Engineering Consultants who fulfill the PSDP role to review progress	Sample of agenda for meetings were viewed. They are clear and concise. Hand written record of meetings are maintained. Records are brief - they detail the subject of the meeting, the attendees and indicate actions to be taken.
28	Progress Review Meetings	Progress review meetings have been held between Kerry NRDO, T.I.I. .	Meetings are referenced in the Programme Execution Plan Quality & Review Document. The document briefly summarises the decisions of each meeting and actions to be taken.
29	E-mails and correspondence between KNRDO and TII	There is a regular stream of e-mail correspondence between TII and Kerry NRDO updating on current progress, seeking and forwarding information, approving next steps.	E-mails are brief, regular. They confirm the close working relationship between TII and Kerry NRDO in relation to the project. They indicate that TII approval is sought for every step undertaken in the project - when tender documents are being prepared, to issue tenders, to advertise, to award contracts, etc. The content of the e-mails are brief and to the point. Responses received are equally brief but clear.

Indepth Review Template 2017 - PSC Kilderry Bends N70

Title	Details	Quality of Document
<p>30 Project Execution Plan Quality & Review (PEP)</p>	<p>This is the governing document that is used by Kerry NRDO to execute, monitor and control projects. It is an excel document that is stored on a shared drive and accessible to relevant staff with authorised access within Kerry NRDO. It also functions as a communication tool to ensure that relevant personnel are aware of the current project position.</p>	<p>This is a comprehensive document that manages a project through key project milestones. It records financial and operational progress, it sets targets and measures performance against those targets. It also clarifies roles and responsibilities of all parties to the project. It is a well maintained, current and dynamic document. It is easily navigated and logically ordered to reflect the stages of project management. It operates as a communication tool.</p>

Section B - Step 4: Data Audit

The following section details the data audit that was carried out for the **Kilderry Bends (N70) Improvement Scheme**. It evaluates whether appropriate data is available for the future evaluation of the project/programme.

Data Required	Use	Availability
Number travelling on the road	assess impact of project on road usage & accessibility of Dingle Peninsula	yes - traffic count can be carried out
Time taken to travel from Milltown to Killorglin	assess impact of project on travelling time	yes - journey times can be measured
No. of accidents on the road	assess impact of project on road safety	These statistics are compiled by road safety authority. There is a time delay to their publication which means that they may not be available at the time of carrying out the formal Post Project review for NRA.
Customer feedback	to assess quality of life improvement - improved services, accessibility, impact on business & tourism	Yes - from electoral area meetings, public representatives, local business and customer contacts.

Data Availability and Proposed Next Steps

Information required to assess the effectiveness of the project in the realisation of project objectives can be obtained from quantitative analysis of journey duration, volume of traffic or, if available at the time of carrying out the post project review for the NRA, road accident statistics from RSA. Qualitative information will also be available through feedback from municipal area meetings, tourism bodies, local business community and general community (via public representatives, local business and customer contacts). Information that is within the control of KCC will be available to Kerry NRDO, when required, to review the project. Third Party information eg rate of road accidents is outside the control of KCC, there is a natural time lag to its production and it may or may not be available at the time of the formal post project review.

Section B - Step 5: Key Evaluation Questions

The following section looks at the key evaluation questions for **Kilderry Bends (N70) Improvement Scheme** based on the findings from the previous sections of this report.

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

The programme complies with the standards set out in the Public Spending Code for all stages of the project. There is strong evidence of appraisal of options, identification of risks and hazards to project implementation, consideration to project design, clear decision making, monitoring and control. The stakeholder and sponsoring agency, TII, closely monitors and approves each step of the process. Kerry NRDO maintain comprehensive records of each stage and adheres to the NRA 2010 Project Management Guidelines and the NRA Project Appraisal Guidelines which provide the framework for the planning, development, management and delivery of major national road schemes in Ireland.

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

Information required to assess the effectiveness of the project in the realisation of project objectives can be obtained from quantitative analysis of journey duration, volume of traffic or, if available at the time of carrying out the post project review for the NRA, road accident statistics from RSA. Qualitative information will also be available through feedback from municipal area meetings, tourism bodies, local business community and general community (via public representatives, local business and customer contacts) on their experiences. This information will be available to Kerry NRDO, when required, to review the project. In the opinion of internal audit, there will be information available - both formal and informal to allow a judgement to be made and the available data will be both quantitative and qualitative.

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

Internal Audit has formed the view that the project is well managed and complies with the requirement of the Public Spending Code. In accordance with the NRA 2010 Project Management Guidelines, a post project review will be conducted. IA recommends that the learning from this review should inform the management of future processes. Kerry NRDO has already demonstrated to Internal Audit where past learning informed management of current projects and maintains a Lessons Learned Log as part of it Project Execution Plan, Quality and review process.

**Quality Assurance – In Depth Check
Section A: Introduction**

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

Programme or Project Information	
Name	N86 Lispole to Ballynasare Lr & Ballygarret to Camp (KY-15-12199)
Detail	Road Widening/ re-alignment
Responsible Body	Transport Infrastructure Ireland (TII)
Current Status	Incurring Expenditure
Start Date	Dec-14
End Date	2019
Overall Cost	11.5m Euros

Project Description

In 2009, Kerry NRDO was requested to consider the feasibility of carrying out improvements on Low Volume Tourist routes on Coastal National Secondary Roads in Kerry. As a result, the design of a scheme on the Low Volume National Tourist route on the N86 Camp to Dingle was progressed. The Project N86 Lispole to Ballynasare Lr & Ballygarret to Camp Road Project forms part of the N86 Dingle to Annascaul & Gortbreagogue to Camp Road Project which was approved by An Bord Pleanála in 2014. It is expected that the approved project will be constructed in a number of phases in the coming years. This project is the first phase of the overall plan. The project comprises two discrete sections which are separated by a distance of approximately 18km. Section 1 - Lispole to Ballynasare Lr covers a distance of approx. 2.7km. Section 2 - Ballygarret to Camp covers a distance of 1.3km. The cross section of the proposed road is a type 3 single carriageway with a one-way cycle way/pedestrian facility at each side. The scheme comprises, for the most part, on-line widening/re-alignment. The scheme includes junctions with local roads and private accesses. Structures required by the scheme include machinery underpasses, watercourse crossing and retaining walls.

The scheme also includes site clearance, earthworks, drainage, pavement, fencing, signs & lining, safety barrier and accommodation works.

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 Project Name. 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
Improve two segments of road - road widening, road re-alignment	Capital Funding, Experts & Consultants, KCC Staff time, TII time, Landowner Co-operation, Land, Project Plan/Brief, Materials, Equipment,	1) Obtain TII (NRA) Approval to proceed with advance works & construction 20 Carry out site investigations 3) Tender for Advanced Works 4) Tender for Construction Contract 5) Assess tenders and Award contracts 6) Monitor progress on contracts	Improved alignment and road structure on two segments of road- Lispole to Ballynasare Lr and Ballygarrett to Camp	Reduced travel time, increased levels of service & reliability, improved safety for road users, improved access to Dingle Peninsula

Description of Programme Logic Model

Objectives: The objectives of the Lispole to Ballynasare LR and Ballygarret to Camp Road Project were to improve two segments of road - to widen & re-align the roadway and provide cycle paths. The project aims to improve the travelling experience for users of these sections of roadway, improve road safety and improve access to the Dingle peninsula.

Inputs: The primary input to the programme is the capital funding of €4.2 million which was provided for by Transport Infrastructure Ireland (TII). It is estimated that the entire project will cost €11.5m over the next 3 yrs. Other inputs include KCC staff time, TII staff time, expert advice, Consultants, technology, materials and equipment, project brief

Activities: There were a number of key activities carried out through the project including ...obtaining TII (NRA) to proceed with the project, design the project requirements, carry out site investigations prepare tender documents, organise a tender for works, assess the tenders, award contracts and manage the implementation of the project.

Outputs: Having carried out the identified activities using the inputs, the outputs of the project are for improved alignment and roadway on the two selected segments.

Outcomes: The envisaged outcomes of the project is to improve the accessibility of the Dingle Peninsula, enhance the travelling experience of road users through reduced travel time, improved safety, increased levels of service and reliability.

N86 Lispole to Ballynasare Lr Ballygarret to Camp (KY-15-12199)

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

The following section tracks the **Lispole to Ballynasare Lr & Ballygratten to Camp Road Project** from inception to conclusion in terms of major project/programme milestones

		Contract details		
		Commencement	Completion	Duration
Feasibility	2009 - 2011			
Low Volume Tourist Route Improvement Schemes Feasibility report	Jul-09			
Low Volume Tourist Route Improvement Schemes Environmental Feasibility Report	Sep-09			
N86 Tralee to An Daingean Project Brief	Mar-10			
N86 Tralee to An Daingean - Feasibility Working Cost estimate report	Apr-10			
N86 Tralee to An Daingean - Traffic Survey	Jun-10			
N86 Tralee to An Daingean - Report on Advance Ecological Surveys	Aug-10			
N86 Tralee to An Daingean - EIA Screening Report	Aug-10			
N86 Tralee to An Daingean - Preliminary Ground Investigation	Feb-11			
N86 Tralee to An Daingean - Environmental Assessment of Preliminary Alignment Options	Feb-11 *			
Design	2011 - 2013			
N86 Dingle to Annascaul/Gortbreagogue to Camp Road - EIA Screening report	May-11			
N86 Dingle to Annascaul/Gortbreagogue to Camp Road - Supplementary Traffic Counts	Sep-11			
N86 Dingle to Annascaul/Gortbreagogue to Camp Road - Due Diligence on Draft tender Documents - Staveley				
N86 Dingle to Annascaul/Gortbreagogue to Camp Road - Phase 3 Drainage Design	Nov-11			
N86 Dingle to Annascaul/Gortbreagogue to Camp Road - Quantified Risk Analysis Report	Nov-11			
N86 Dingle to Annascaul/Gortbreagogue to Camp Road - Target Cost 1 & Total Scheme Budget Report	Dec-11			
N86 Dingle to Annascaul/Gortbreagogue to Camp Road - Environmental Impact Statement	Dec-11			
N86 Dingle to Annascaul/Gortbreagogue to Camp Road - Compulsory Purchase Order	Dec-11			
N86 Dingle to Annascaul/Gortbreagogue to Camp Road - Geotechnical Interpretative Report	Jan-12			
N86 Dingle to Annascaul/Gortbreagogue to Camp Road - Project Appraisal report	Feb-12			
N86 Dingle to Annascaul/Gortbreagogue to Camp Road - Principal Structures Report	Apr-12			
N86 Dingle to Annascaul/Gortbreagogue to Camp Road - Design Process Traffic Management Plan	May-12			
N86 Dingle to Annascaul/Gortbreagogue to Camp Road - Phase 3 Design Report	Jun-12			
Advance Works, Construction Documents Preparation, Tender & Award (ph 5)	2014 - 2015			
N86 Lispole to Ballynasare Lr & Ballygarret to Camp Road - Archaeo-Geophysical Survey - Brief	Feb-14			
N86 Lispole to Ballynasare Lr & Ballygarret to Camp Road - Site Investigation Contract - Preliminary H&S Plan	Apr-15			
N86 Lispole to Ballynasare Lr & Ballygarret to Camp Road - Topographical Survey Brief	Apr-15			
N86 Lispole to Ballynasare Lr & Ballygarret to Camp Road - Provision of Archaeo-Geophysical Survey Services - assessment of proposals and award of contract (JM Leigh)	Feb - April 2015	May-15	Jun-15	2 weeks
N86 Lispole to Ballynasare Lr & Ballygarret to Camp Road - Topographical Survey - Tender Advertised, Appraised, Awarded, Approved - (APS)	May - June 2015	24/06/2015	08/07/2015	3 weeks
N86 Lispole to Ballynasare Lr & Ballygarret to Camp Road - Site Investigation - Tender Advertised, Appraised, Awarded, Approved - (G.I. Irl Ltd)	May - June 2015	Jul-15	Jul-15	360 days
N86 Lispole to Ballynasare Lr & Ballygarret to Camp Road - Archaeological Consultancy Services - Tender Advertised, Appraised, Awarded, Approved - (IAC)	Mar - June 2015	Jun-15	Jun-16	154 days
N86 Lispole to Ballynasare Lr & Ballygarret to Camp Road - Engineering Consultancy Services (phase 5)- Tender Advertised, Appraised, Awarded, Approved - (RPS) - PSDP	Jan - Mar 2015	Mar-15	Sep-15	
TII Letter notifying of increased 2015 allocation for N86 Lispole to Mountoven to €3.8m	17/12/2015			
Construction & Implementation (Ph 6)	2016 -			
N86 Lispole to Ballynasare Lr & Ballygarret to Camp Road - Service Diversion Works (Eir, ESB)	Jan- April 2016			
N86 Lispole to Ballynasare Lr & Ballygarret to Camp Road - Claims Advisor, Expert Witness, Client representation, Procurement Assurance Services - Tender Advertised, Appraised, Awarded, Approved - (Stavely Ph (5&6))	Feb - June 2016			250 hours
N86 Lispole to Ballynasare Lr & Ballygarret to Camp Road - Engineering Consultancy Services (Phase 6 & 7) - Mini Competition Tender Advertised, Appraised, Awarded, Approved - (RPS)	June - Oct 2016	Sep-16	Mar-19	130 weeks
N86 Lispole to Ballynasare Lr & Ballygarret to Camp Road - Roadwork's Contract - Tender Advertised, Appraised, Awarded, Approved - (Allman Contracts/Mid-Cork Tarmacadam)	April - November 2016	Nov-16	Aug-18	90 weeks
N86 Lispole to Ballynasare Lr & Ballygarret to Camp Road - Legal Advice (standstill Letter, Performance Bond) - Roadwork's Contract - (A&L Goodbody)	July/Sep-2016, 15-12-1999			

Indepth Review Template 2017 - PSC Lisper to Ballynasare Lr Ballygarret to Camp

Section B - Step 3: Analysis of Key Documents

The following section reviews the key documentation relating to appraisal, analysis and evaluation for the **Lisper to Ballynasare & Ballygarret to Camp Project**.

Project/Programme Key Documents			Quality of Document
Title	Details		
Feasibility			
Low Volume Tourist Route Improvement Schemes	<p>These documents were compiled as part of the process to assess the feasibility of improving the National Secondary Route Tralee to An Daingean. As a result of this process it was decided to progress the project in stages. The current project - Lisper to Ballynasare Lr & Ballygarret to Camp Road is one of those stages. Reports were compiled in accordance with the requirements of TII (NRA) Project Management Guidelines and TII (NRA) Project Appraisal Guidelines</p>	<p>Documents are clearly laid out, easy to read and professionally produced by experts who were contracted for that purpose. The reports have an index detailing contents, an executive summary and appendices supporting the methods used and findings in the report. The content of the main body of the reports are focused and evidence based. The compiled reports contained sufficient information to facilitate TII in making the decision to progress the project.</p>	
1 Feasibility report			
Low Volume Tourist Route Improvement Schemes			
2 Environmental Feasibility Report			
3 N86 Tralee to An Daingean Project Brief			
N86 Tralee to An Daingean - Feasibility Working Cost estimate report			
4			
5 N86 Tralee to An Daingean - Traffic Survey			
N86 Tralee to An Daingean - Report on Advance Ecological Surveys			
6			
7 N86 Tralee to An Daingean - EIA Screening Report			
N86 Tralee to An Daingean - Preliminary Ground Investigation			
8			
N86 Tralee to An Daingean - Environmental Assessment of Preliminary Alignment Options			
9			
Design			
N86 Dingle to Annascaul/Gortbreagogue to Camp Road - EIA Screening report	<p>These documents were compiled as part of the design process for the National Secondary Route Tralee to An Daingean to Annascaul. Gortbreagogue to Camp. As a result of this process it was decided to progress the project in stages. The current project - Lisper to Ballynasare Lr & Ballygarret to Camp Road is one of those stages. Reports were compiled in accordance with the requirements of TII (NRA) Project Management Guidelines and TII (NRA) Project Appraisal Guidelines</p>	<p>Documents are clearly laid out, easy to read and professionally produced by experts who were contracted for that purpose. The reports have an index detailing contents, an executive summary and appendices supporting the methods used and findings in the report. The content of the main body of the reports are focused and evidence based. The compiled reports contained sufficient information to facilitate TII in making the decision to progress the project in segments and to consider the progression of two segments</p>	
10			
N86 Dingle to Annascaul/Gortbreagogue to Camp Road - Supplementary Traffic Counts			
11			
N86 Dingle to Annascaul/Gortbreagogue to Camp Road - Due Diligence on Draft tender Documents - Staveley			
12			
N86 Dingle to Annascaul/Gortbreagogue to Camp Road - Phase 3 Drainage Design			
13			
N86 Dingle to Annascaul/Gortbreagogue to Camp Road - Quantified Risk Analysis Report			
14			
N86 Dingle to Annascaul/Gortbreagogue to Camp Road - Target Cost 1 & Total Scheme Budget Report			
15			
N86 Dingle to Annascaul/Gortbreagogue to Camp Road - Environmental Impact Statement			
16			
N86 Dingle to Annascaul/Gortbreagogue to Camp Road - Compulsory Purchase Order			
17			

Indepth Review Template 2017 - PSC Lispole to Ballynasare Lr Ballygarret to Camp

Title		Details	Quality of Document
18	N86 Dingle to Annascaul/Gortbreagogue to Camp Road - Geotechnical Interpretative Report	Management Guidelines and the Survey Project Appraisal Guidelines	in particular - Lispole to Ballynasare Lr. and Ballygarret to Camp Road.
19	N86 Dingle to Annascaul/Gortbreagogue to Camp Road - Project Appraisal report		
20	N86 Dingle to Annascaul/Gortbreagogue to Camp Road - Principal Structures Report		
21	N86 Dingle to Annascaul/Gortbreagogue to Camp Road - Design Process Traffic Management Plan		
22	N86 Dingle to Annascaul/Gortbreagogue to Camp Road - Phase 3 Design Report		
Advance Works. Construction Documents Preparation. Tender & Award (ph 5)			
23	N86 Lispole to Ballynasare Lr & Ballygarret to Camp Road - Archaeo-Geophysical Survey - Brief	<p>This document is the brief that will form part of the tendering process for the project.</p> <p>This is a 13 page document that was prepared to provide information to the Project Supervisor Construction stage. It provides information on the project, site restrictions, other work activities, known services, particular safety risks, measures for reducing particular risks, the safety file and compliance with general safety requirements.</p>	<p>This is an 8 page document that outlines the requirements of the proposed Archaeo-Geophysical Survey. The document was prepared by TII and authorised by an official of Kerry NRDO. It outlines the scope of works, information to be submitted with fee proposal, conditions of payment, additional information required prior to payment and a list of drawings. The report is clear and easy to read, it is well laid out and informative.</p>
24	N86 Lispole to Ballynasare Lr & Ballygarret to Camp Road - Site Investigation Contract - Preliminary H&S Plan		<p>The report is intended as an information document. It is clear and easy to read, it is well laid out and provides the required information in a clear logical format.</p>
25	N86 Lispole to Ballynasare Lr & Ballygarret to Camp Road - Topographical Survey Brief	<p>This document is the brief that will form part of the tendering process.</p>	<p>This is a 14 page document compiled by the engineering consultants who were contracted for this purpose and was completed as part of the process to progress the scheme design. The document outlines the purpose of the survey, details of the survey required, information on the project, restrictions, health & safety and pricing conditions. The document is informative, comprehensive, clearly laid out and easy to read.</p>
26	N86 Lispole to Ballynasare Lr & Ballygarret to Camp Road - Provision of Archaeo-Geophysical Survey Services - assessment of proposals and award of contract (JM Leigh)	<p>This includes the tender assessment report that was compiled by the evaluator of submissions.</p>	

Indepth Review Template 2017 - PSC Lispole to Ballynasare Lr Ballygarret to Camp

Title	Details	Quality of Document
<p>N86 Lispole to Ballynasare Lr & Ballygarret to Camp Road - Topographical Survey - Tender Advertised, Approved, Awarded, Approved - (APS)</p> <p>27</p>	<p>Tender assessment report was compiled. This report included a recommendation and was signed off by appropriate parties</p>	<p>The Topographical Survey Contract - Assessment of Fee Proposal was compiled by RPS, Engineering Consultants contracted for Phase 5. It is a 5 page report that includes an executive summary and a recommendation. It details the tender assessment undertaken. It is comprehensive, justifying its recommendation and includes details of all tenders submitted.</p>
<p>N86 Lispole to Ballynasare Lr & Ballygarret to Camp Road - Site Investigation - Tender Advertised, Approved, Awarded, Approved - (G.I. Irl Ltd)</p> <p>28</p>	<p>Documentation includes Tender Award recommendation, RFO Assessment Report (Site Investigation)</p>	<p>All documentation is clearly structured, easy to read and appropriately signed.</p>
<p>N86 Lispole to Ballynasare Lr & Ballygarret to Camp Road - Archaeological Consultancy Services - Tender Advertised, Appraised, Awarded, Approved - (IAC)</p> <p>29</p>	<p>Documents included tender documents and tender assessment report and the report compiled by the successful tenderer - Stage (I) A Testing and Stage (I) F Townland Boundary Survey.</p>	<p>The tender documents are clear and outline the purpose of the tender and the requirements. The tender assessment report provides a summary of the tender process, the tenders received and a recommendation and justification for the selection. The report was signed by the project manager. The successful tenderer compiled a detailed and technical report. It is well laid out, well presented. It details the archaeological testing methodology used, the testing results, an impact assessment and mitigation strategy. It included in the appendices the boundary survey and a catalogue of primary data that included a trench Register, catalogue of artifacts and a catalogue of samples.</p>
<p>N86 Lispole to Ballynasare Lr & Ballygarret to Camp Road - Engineering Consultancy Services (phase 5)- Tender Advertised, Appraised, Awarded, Approved - (RPS) - PSDP</p> <p>30</p>	<p>Documents included tender documentation, Tender Opening report, Assessment of Suitability Assessment Questionnaires, tender assessment & recommendation letter.</p>	<p>All documentation is clearly structured, easy to read and appropriately signed.</p>
<p>TII Letter notifying of increased 2015 allocation for N86 Lispole to Mountoven to €3.8m</p> <p>31</p>		<p>Letter dated 17/12/2015 from TII advising of increased 2016 budget allocation</p>
<p>Construction & Implementation (Ph 6)</p>		
<p>N86 Lispole to Ballynasare Lr & Ballygarret to Camp Road - Service Diversion Works (Eir, ESB)</p> <p>32</p>	<p>Invoices, Letters between Project Manager and Director of Service outlining background, negotiations with services and seeking approval, TII e-mails of approval to pay. Chief Executive Orders</p>	<p>All supporting documentation is present on file, documentation clearly outlines background and context, it contains recommendations and appropriate authorisations.</p>

Indepth Review Template 2017 - PSC Lisle to Ballynasare Lr Ballygarret to Camp

Title	Details	Quality of Document
<p>N86 Lisle to Ballynasare Lr & Ballygarret to Camp Road - Claims Advisor, Expert Witness, Client representation, Procurement Assurance Services - Tender Advertised, Appraised, Awarded, Approved - (Stavely Ph (5&6))</p> <p>33</p>	<p>The Call off Tender documents used in this phase included Instructions for submitting a tender, Conditions for Engagement for Consultancy Services (Technical), tender and schedule. There is also TII approval documented for both the call off and the award of the tender. Chief Executive Order is also on file. The Successful tenderer provided a report to KNRDO - "Minor Works Contract Designed by the Employer - Independent Review of Draft Tender Documents for KCC"</p>	<p>All documentation is present on the electronic file. It is clear & easy to read. Approvals and authorisations are documented. The documentation clearly outlines the processes and decisions.</p>
<p>N86 Lisle to Ballynasare Lr & Ballygarret to Camp Road - Engineering Consultancy Services (Phase 6 & 7) - Mini Competition Tender Advertised, Appraised, Awarded, Approved - (RPS)</p> <p>34</p>	<p>Documents include - Instruction to Mini-competition Participants, Mini-competition Tender under the Framework Agreement for Technical Consultancy Services Framework with Local Authorities and NRA acting as client, Tender, Schedule, Pricing Schedule, Standard Conditions of engagement, Invitation letters to Tender, Tender Opening Report, Tender Quality Price Assessment, Tender Award Recommendation Sheet, DOS Authorisation, TII Authorisations, contract, Tenderers acceptance of appointment and additional requested information, Chief Executive's Order.</p>	<p>All documentation supporting the progression of the tender is available on file. All relevant authorisations and approvals are documented.</p>
<p>N86 Lisle to Ballynasare Lr & Ballygarret to Camp Road - Roadworks Contract - Tender Advertised, Appraised, Awarded, Approved - (Allman Contracts/Mid-Cork Tarmacadam)</p> <p>35</p>	<p>Documentation includes Instructions to Tenderers (Open Procedure for Works Contractors), Suitability Assessment Questionnaire, Tender and Schedule, Contract Notice, Opening of tenders report, Tender Assessment Report, letters of award, reports on additional checks (insurances, tax clearance)</p>	<p>All documents are on file, they are complete and concise. Is noted that legal advice was sought in relation to awarding the contract and an expert was appointed as a clients representative who carried out due diligence checks on the tender documentation. All relevant documentation has been signed as appropriate.</p>
<p>N86 Lisle to Ballynasare Lr & Ballygarret to Camp Road - Legal Advice (standstill Letter, Performance Bond) - Roadworks Contract - (A& L Goodbody)</p> <p>36</p>	<p>Letters between Director of Service and Project Manager outlining the circumstances surrounding the appointment of legal advisors</p>	<p>The purpose of the correspondence is clear - both the action and the justification for action taken are outlined and TII approval to the proposal was obtained. Approval of DOS and CE through use of Chief Executive Order has been obtained.</p>
<p>Monitoring/Review Meetings</p> <p>37</p>	<p>Steering meetings were held between NRA, Kerry NRDO, and Consultant Engineers to review progress on 12/5/2015, 24/6/2015, 22/9/2015, 10/12/2015. Items covered include Health & Safety, Advance Contracts, Design, Construction Programme.</p>	<p>Minutes are clear and concise. They briefly outline progress made and next steps to be undertaken. Responsibility for the tasks/actions to be carried out is clearly assigned.</p>

Indepth Review Template 2017 - PSC Lisle to Ballynasare Lr Ballygarret to Camp

Title	Details	Quality of Document
NRA Progress Meeting	<p>NRA and Kerry NRDO staff attend these meetings. Progress Reports were prepared for these meetings held on 27/9/2016, 9/5/2016, 21/1/2016</p>	<p>Progress reports provide an update on all Kerry NRDO/TII capital projects including the Lisle - Ballynasare Lr/Ballygarret to Camp Road Project. The report includes a brief synopsis of progress on tendering processes and works such as surveys etc. that are underway.</p>
Progress Meetings	<p>2 Progress meetings have been held between Kerry NRDO, Roadwork's Contractor, Consultant Engineers on 7/12/2016 and 1/2/2017.</p>	<p>Minutes are clear, concise and comprehensive. Topics covered include Health & Safety, Communications, Personnel, Contractors Programme, Resident Engineers Report - Quality, Method statements, design, Consultations, Archaeology/Environmental/Financial matters. Actions to be taken are clearly noted and assigned.</p>
PSDP/PSCS Co-ordination Meetings	<p>Co-ordination meetings are held between Kerry NRDO, Consultant Engineers and Roadwork's Contractor - 10/1/2017, 24/1/2017,</p>	<p>Minutes are clear, concise and comprehensive. Topics covered include Construction Stage Health & Safety Plan, Safety Management System on Site, Temporary works, Traffic Management. Excavations, Design changes, Resources, Other works - service diversions/ demolition/ earth movement between sites etc.</p>
E-mails and correspondence between KNRDO and TII	<p>There is a regular stream of e-mail correspondence between TII and Kerry NRDO updating on current progress, seeking and forwarding information, approving next steps.</p>	<p>E-mails are brief, regular. They confirm the close working relationship between TII and Kerry NRDO in relation to the project. They indicate that TII approval is sought for every step undertaken in the project - when tender documents are being prepared, to issue tenders, to advertise, to award contracts, etc. The content of the e-mails are brief and to the point. Responses received are equally brief but clear.</p>
39 Project Execution Plan Quality & Review (PEP)	<p>This is the governing document that is used by Kerry NRDO to execute, monitor and control projects. It is an excel document that is stored on a shared drive and accessible to relevant staff with authorised access within Kerry NRDO. It also functions as a communication tool to ensure that relevant personnel are aware of the current project position.</p>	<p>This is a comprehensive document that manages a project through key project milestones. It records financial and operational progress, it sets targets and measures performance against those targets. It also clarifies roles and responsibilities of all parties to the project. It is a well maintained, current and dynamic document. It is easily read and logically ordered to reflect the stages of project management. It operates as a communication tool.</p>

Section B - Step 4: Data Audit

The following section details the data audit that was carried out for the **Lispole to Ballynasare Lr & Ballygarret to Camp Road**. It evaluates whether appropriate data is available for the future evaluation of the project/programme.

Data Required	Use	Availability
Number travelling on the road	assess impact of project on road usage & accessibility of Dingle Peninsula	yes - traffic count can be carried out
Time taken to travel from Tralee to Dingle	assess impact of project on travelling time	yes - journeys can be measured
No. of accidents on the road	assess impact of project on road safety	These statistics are compiled by road safety authority. There is a time delay to their publication which means that they may not be available at the time of carrying out the formal Post Project review for NRA.
Customer feedback	to assess quality of life improvement - improved services, accessibility, impact on business & tourism	Yes - from electoral area meetings, public representatives, local business and customer contacts.

<p>Data Availability and Proposed Next Steps</p> <p>Information required to assess the effectiveness of the project in the realisation of project objectives can be obtained from quantitative analysis of journey duration, volume of traffic or, if available at the time of carrying out the post project review for the NRA, road accident statistics from RSA. Qualitative information will also be available through feedback from municipal area meetings, tourism bodies, local business community and general community (via public representatives, local business and customer contacts). Information that is within the control of KCC will be available to Kerry NRDO, when required, to review the project. Third party information (eg level of accidents) is outside KCC control and may/may not be available at the time of the Post Project review.</p>
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Section B - Step 5: Key Evaluation Questions

The following section looks at the key evaluation questions for **Lispolle to Ballynasare & Ballygarret to Camp Road** based on the findings from the previous sections of this report.

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

The programme complies with the standards set out in the Public Spending Code for all stages of the project. There is strong evidence of appraisal of options, identification of risks and hazards to project implementation, consideration to project design, clear decision making, monitoring and control. The stakeholder and sponsoring agency, TII, closely monitors and approves each step of the process. Kerry NRDO maintain comprehensive records of each stage and adheres to the NRA 2010 Project Management Guidelines and the NRA Project Appraisal Guidelines which provide the framework for the planning, development, management and delivery of major national road schemes in Ireland.

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

Information required to assess the effectiveness of the project in the realisation of project objectives can be obtained from quantitative analysis of journey duration, volume of traffic or, if available at the time of carrying out the post project review for the NRA, road accident statistics from RSA. Qualitative information will also be available through feedback from municipal area meetings, tourism bodies, local business community and general community (via public representatives, local business and customer contacts) on their experiences. This information will be available to Kerry NRDO, when required, to review the project. In the opinion of internal audit, there will be information available - both formal and informal to allow a judgement to be made and the available data will be both quantitative and qualitative.

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

Internal Audit has formed the view that the project is well managed and complies with the requirement of the Public Spending Code. In accordance with the NRA 2010 Project Management Guidelines, a post project review will be conducted. IA recommends that the learning from this review should inform the management of future processes. Kerry NRDO has already demonstrated to Internal Audit where past learning informed management of current projects and maintains a Lessons Learned Log as part of its Project Execution Plan, Quality and review process.

Section: In-Depth Check Summary

The following section presents a summary of the findings of this In-Depth Check on the Lispole to Ballynasare Lr. & Ballygarret to Camp Project

Summary of In-Depth Check

As part of the in-depth checks on this project, Internal Audit carried out an extensive examination of documentation incl. files, reports, minutes of meetings, e-mail records, tendering and procurement documentation, monitoring and progress reports. Consideration was also given to identified risks and project management structures and processes. The review demonstrated a high level of compliance with the principles of the public spending code - appraisal, planning/design, implementation including management and oversight.

Internal Audit is satisfied that strong governance processes are in place, in conjunction with TII, that ensure management and oversight. Decisions and approvals are documented; clear procurement processes are utilised and accord with Financial Policies and Procedures of Kerry County Council; there is strong evidence of assessment and consideration of options and risks, particularly at the planning and design phase of project development; there is evidence of ongoing monitoring of progress - both financial and operational progress, there is also evidence of ongoing communication with stakeholders on developments and with the community, as part of the public consultation process on land acquisition. The records maintained by Kerry NRDO in relation to this project are substantial, clear, easily retrievable and legible.

As the project is still underway, it has not yet reached the stage of post project review. However, the aims and objectives of the project are clearly specified and the information required to complete such a review, both quantitative and qualitative, is, for the most part, readily available to Kerry County Council.

Housing Adaptation Grants 2016

Quality Assurance – In Depth Check Section A: Introduction

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

Programme or Project Information	
Name Detail	Housing Adaptation Grants 2016
Responsible Body	Department of Environment
Current Status	Expenditure being incurred
Start Date	01.01.2016
End Date	31.12.2016
Overall Cost	€2.276m (incl administration and overhead costs)

Project Description

Three grant types comprise the Housing Adaptation Scheme - Mobility Aids Grant, Housing Adaptation Grant for People with a Disability and Housing Aid for Older People Scheme. These schemes provide assistance to eligible applicants to carry out approved works render accommodation more suitable to the accommodation of a person with mobility issues, a disability or an older person to render accommodation more suitable to the accommodation of a person with mobility issues, a disability or an older person.

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 Project Name. 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
To improve the living condition of the elderly, those with mobility issues and people with a disability.	Finance, Human resource, Outside experts - General Practitioners, Occupational Therapists. Builders/ plumbers/ electricians/ suppliers of goods and services, Agresso Financial Management System, DPER system	assess applications, approve a body of works, Advise applicants of approved works and grant funding available. ensure works carried out to specifications, approve and process grant payments, recoup costs incurred from Department of Environment	Approved Body of Works carried out to required standards	Improvement to Living Conditions of Applicants. Grant Funding Utilised by year end

Description of Programme Logic Model (Note: One paragraph each here if possible)

Objectives: The objective of the Housing Adaptation Programme is to improve the living conditions of those with a disability, the elderly and those with mobility issues

Inputs: The primary input to the programme was the grant funding provided by the Department, the matching funding and the staffing resource provided by KCC. Other inputs include the DEPR system which is used to support and manage the grants process, the Agresso financial system which facilitates grant payments and recoupments, the trades people who carry out the work for applicants and medical experts who provide information used to assess and prioritise applications.

Activities: There were a number of key activities carried out through the project including logging and assessing of applications, consultation with applicants and medical experts as required, approval of a body of works, advising successful applicants of grant allocations, inspection of works carried out, approval and making grant payments to applicants, recouping cost of grants

Outputs: Having carried out the identified activities using the inputs, the outputs of the project are that approved works addressing the needs of the applicants have been carried out to acceptable standards.

Outcomes: The envisaged outcomes of the project was to fully utilise grant funding and improve the living conditions of grant applicants.

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

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

Grant allocation made available by Department of Environment	January/February
Grant Application forms Received from applicants	January - December
Grant Application forms assessed by KCC staff	January - December
Decision made on grant applications to award/ not award grant assistance	January - December
Grant Funding allocated & notified by KCC to grant applicants for specified body of works	January - December
Chief executive order confirming individual grant allocations completed	January - December
Claims for payment assessed to ensure approved works carried out	January - December
Claims for payment of grant to applicants processed in respect of completed works	January - December
Grant Expenditure incurred by KCC on Housing Adaptations Schemes is recouped from Department	January - December

Section B - Step 4: Data Audit

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

Data Required	Use	Availability
No. of Grant Applications passed for payment	identify the number of households that used grants to make improvements to their living conditions	Yes - DEPR
Value of claims submitted to department for recoupment	Confirm level of usage of grant funding	Yes - Agresso Financial system
Customer assessment of the impact of works on their quality of life	Assess if approved works meet the disabled/ elderly persons needs and improved their quality of life	No

Data Availability and Proposed Next Steps

(Summarise data availability and agree next steps with unit/division/agency to fill data gaps)

Currently, data is available from the Financial System on expenditure and recoupments under the Housing Adaptation Schemes
Data is also available from the DEPR system on volume of applications, their stage in administration process. It also provides information on commitments.

Qualitative information on the impact of the grant aided works on the grant recipients living conditions is not currently available. Some information is available from informal feedback, received from time to time, from clients, elected representatives and health professionals. Such information has not been formally sought to date by the Department or Kerry County Council.

Section B - Step 3: Analysis of Key Documents

The following section reviews the key documentation relating to appraisal, analysis and evaluation for the **Housing Adaptation Grants Scheme**.

Project/Programme Key Documents		
Title	Details	Quality of Document
Housing Aid for Older People Scheme - Administrative Guidance for Local Authorities	Guidance to assist Local Authorities in the administration for the grant scheme	The documents are compiled by the Department of Environment, Community and Local Government. They are reviewed by the Department and were last updated in february 2014. The documents are clear, comprehensive, concise and easily read. they outline the criteria under which the schemes operate, gives direction on qualifying works, prioritising of applications, means testing, recoupment, appeals, monitoring of expenditure.
Housing Adaptation Grant Scheme for People with a Disability - Administrative Guidance for Local Authorities	Guidance to assist Local Authorities in the administration of the grant scheme	
Mobility Aids Grant Scheme - Administrative Guidance for Local Authorities	Guidance to assist Local Authorities in the administration for the grant scheme	
Letter dated 26.01.2017 from Department of Environment	This is a sample of the annual letter issued from the department seeking information on the level of applications on hands to assist in determining the budget required by the local authority in 2017.	The purpose of the document is clearly outlined - the department are seeking information on the number and value of applications on hands (i) already granted approval and (ii) awaiting approval.
Internal Document - Housing Aid for Older Persons Grant Scheme - Guide to Prioritisation of Works.	Internal Document used by Housing Engineers as a guide on the prioritisation criteria used in assessing works applied for under the Housing Aid for Older Persons Scheme	Document is clear and concise. It describes the types of works that fall within the priority levels of Emergency, Priority 1,2 and 3.
Delegation orders 2016, 2017	Order of Chief Executive outlining responsibilities being devolved to named individuals.	Document is clear. It is specific to a named individual and outlines the responsibility being devolved by the manager to that individual and the governing legislation.
Letter dated 05.02.2016 from Department of Environment: 2016 Allocation - Housing Adaptation Grant Schemes for Older People and People with a Disability	Letter advises of capital allocation for payment of Housing Adaptation Schemes in 2016.	Letter clearly outlines the 2016 allocation and provides advice regarding apportionment of monies between the three schemes, the need to review allocation to identify any surplus, prioritising of works, timely recoupment.

Sample of E-mails between DOE and KCC Housing Grants Section re submission of claims and claims related information	The e-mails confirm the timely submission of claims to the DOE in October and November and the DOE control on allocation paid out to KCC and balance of allocation remaining to be drawn down,	E-mails are brief, concise & efficient. The required information was quickly transferred re submission of claims and outstanding approval forms and prompt feedback of outstanding grants to be drawn down and confirmation of receipt of claim was received.
Housing Grants Procedures Manual	Procedures manual is to be read in conjunction with DOE guidance documents for Housing	Procedures Manual is clear - it outlines the administrative steps governing receipt of application, approval, claim for payment and recoupment. The manual could be expended to clarify roles and responsibilities.
Sample of Interoffice Memorandum referring grant application to Housing Engineer Section	Purpose of memo is to request an assessment report on requested works for grant approval and a priority rating	The memo is clear and gives guidance on the priority criteria.
Operational Plan 2016	Sets out work plan for 2016 and performance measures	Document clearly sets out objective to maximise available funding
Agresso expenditure reports	Expenditure report detailing payee and amount paid within the housing grant job codes	Report provides the required information to allow the monitoring of payments and form the basis of a recoupment claim
DPER Reports	Reports are varied - financial reports, reports on the stage of the process that claims are at.	Reports are pre-defined and provide the required information. The period of the reports can be customised.
Sample of Municipal Area Meeting Minutes	Housing report on Activity	Minutes contain the Housing Update report circulated at municipal meetings. It briefly outlines the volume and value of Housing Adaptation Grant applications approved countywide and in the Municipal district.
Housing Management review - Update on Private Houses Grants	report details no and amount of grants allocated and no and value of grants paid	Report is clear and focused. It is noted and initialled by AO

Management report	This is an undated and unsigned report prepared (i) for a special housing meeting 28.1.1.2016 (ii) Audit Committee report on Housing April 2017	The report is a summary view of the position with Housing Application, Housing Allocations, Single Rural Dwellings , Adaptation works to KCC Houses and Private House Grants. The purpose of the report is to advise of the update position. In relation to grants it outlines grant applications to date, grant allocations - volume and value and grant payments - volume and value. It is an informative report and fulfills this function satisfactorily.
Minutes of Housing Expenditure review Meeting 20/ 7/ 2016	Minutes of meeting	brief minute confirming a review of Housing Expenditure and Housing Budget by Housing Management
Grant Recoupment Claims	Claims outline person paid, amount paid and amount for recoupment	Claims are in the format specified by the Department. Claims outline claimants name, grant type, Amount to be recouped.

Section B - Step 5: Key Evaluation Questions

The following section looks at the key evaluation questions for **Housing Adaptation Grants** based on the findings from the previous sections of this report.

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

The Housing Section complies with the main elements of the Public Spending Code when managing housing adaptation grants. The Housing Section uses DEPR to record and manage the administration of Housing Adaptation Grants. They are aware of the number of unapproved grants, the value of unpaid grants and the value of assessed works awaiting approval. The Housing Section advises the Department of Environment at the start of each year of grant works awaiting approval. The Department monitors progress on the drawdown of the annual grant allocation by Kerry County Council. The Section has a staffing structure with clear definition of roles regarding assessment, approval and review of claims for payment. Approval of grants is confirmed by a Chief Executive Order. The section has a risk register - the management of housing adaptation grants has not been identified as a risk area. The Grants are administered in accordance with DOE issued administrative guidance documents. The section has procedures in place. The section reports on the management of grants as part of the annual budgetary process in the Chief Executives Report, regularly updates municipal area meetings on progress with the Housing Adaptation Scheme and internally monitors Housing Grants expenditure as part of the senior management review of Housing expenditure. The section holds Financial review meetings at which reports on Housing Grant Performance is reviewed - these meetings are unminuted.

area meetings on progress with the Housing Adaptation Scheme and internally monitors Housing Grants expenditure as part of the senior management review of Housing expenditure. The section holds Financial review meetings at which reports on Housing Grant Performance is reviewed - these meetings are unminuted.

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

Yes, information is available on the number of grants approved, paid and recouped and the number of households who utilised grant funding to carry out works. Information is sourced from the Agresso Financial Management System and DEPR system. Qualitative information on the recipients assessment of the impact of the funding on their quality of life is not formally available.

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

- 1) The Housing Section should review its processes for authorising grants and approving grant payments to ensure full compliance with the financial policies and procedures of Kerry County Council. 2) While there is strong evidence to support the active administration of the grant scheme, the Housing Section should ensure that all meetings reviewing performance are documented. 3) The Housing Section should expand its procedures manual to include delineation of roles and responsibilities, incorporate its expanded criteria for prioritising Housing Aid for Older Person Grant works and expand on the engineering role (including the content of engineering reports) within the process. 4) Housing Section should give consideration to the introduction of an outcome measure eg. customer satisfaction.

Housing Adaptation Grants 2016

Section: In-Depth Check Summary

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

Summary of In-Depth Check

Internal Audit carried out an in-depth check of the Management of Housing Adaptation Grants. As part of this check, Internal Audit met and spoke with staff in the Housing Section, examined a randomly selected, representative sample of grant files and reviewed documentation (incl sample reports, delegation orders, recoupment claims) provided by the Housing Section. Internal Audit also reviewed information retained on Agresso Financial Management and DEPR systems.

Housing Department has structure in place to facilitate management and governance - Housing management team, staffing structure, clear reporting relationships, delineated roles and responsibilities, delegated responsibilities. A risk register is maintained; Administrative guidance and a funding allocation is provided to support the scheme. The section has a procedure governing the operation of the scheme and uses two systems (DEPR and Agresso) to support its' management. Management information can be extracted from the two systems as required. Housing Management reports to the Municipal Area meeting on progress on grants and compiles an overview for the CE Managers Report at year end. The DOE maintains oversight on performance against allocated budget and does, occasionally, advise on the level of grant allocation remaining to be recouped. Housing use the value of grants expended as a performance indicator.

Some areas have been identified where improvements can be made. While Housing Management has a structured approach to business and performance review and reviews financial performance regularly, reviews should be specifically documented in the records of the review meetings. The existing procedures document/manual should be reviewed and expanded to incorporate procedures governing the engineering assessment and content of engineering reports. There are formal procedures for approving grants and authorising grant payments to individuals and these are covered by delegation orders within Housing. These delegations and arrangements should be reviewed in conjunction with the Finance Department to ensure consistency with other approval limits.