

Agenda

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City Executive Board

Date: **Wednesday 21 September 2011**

Time: **5.00 pm**

Place: **Oxford Town Hall, St Aldate's, Oxford**

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City Executive Board

Membership

Chair	Councillor Bob Price	Corporate Governance and Strategic Partnerships
	Councillor Ed Turner	Finance and Efficiency
	Councillor Antonia Bance	Stronger Communities
	Councillor Colin Cook	City Development
	Councillor Van Coulter	Leisure Services
	Councillor Mark Lygo	Parks and Sports
	Councillor Joe McManners	Housing Needs
	Councillor Val Smith	Regeneration
	Councillor John Tanner	Cleaner, Greener Oxford
	Councillor Bob Timbs	Crime and Community Safety

The quorum for this meeting is three members. Substitutes are not permitted.

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AGENDA

PART ONE PUBLIC BUSINESS

Pages

1 APOLOGIES FOR ABSENCE

2 DECLARATIONS OF INTEREST

Board Members are asked to declare any personal or personal prejudicial interests they may have in any of the following agenda items. Guidance is contained at the end of these agenda pages.

3 PUBLIC QUESTIONS

When the chair agrees, questions from the public for up to 15 minutes – these must be about the items for decision at the meeting (excluding the minutes) and must have been given to the Head of Law and Governance by 9.30am two clear working days before the meeting (email executiveboard@oxford.gov.uk or telephone the person named on the front of the agenda). No supplementary questions or questioning will be permitted. Questions by the public will be taken as read and, when the Chair agrees, be responded to at the meeting.

4 SCRUTINY COMMITTEE REPORTS

5 OPERATION OF PARK AND RIDE SITES

1 - 8

Lead Member: Councillor Cook

Report of the Executive Director for City Services

To set out proposals for changes to the management of the Council's three Park and Ride sites in a way that meets the requirements of the City Council's Medium Term Financial Strategy.

6 TREASURY MANAGEMENT STRATEGY 2010/11 OUTTURN

9 - 22

Lead Member: Councillor Turner

To set out the Council's treasury management activity for 2010/2011, together with its achievement against prudential indicator targets for 2010/2011.

7	QUARTERLY REPORTING - FINANCE, PERFORMANCE AND RISK - 2011/12	23 - 64
	Lead Members: Councillors Price and Turner Reports of the Corporate Director Finance and Efficiency To report on the position for Finance, Performance and Risk during the first quarter of the financial year.	
8	LOCAL DEVELOPMENT SCHEME 2010-2013	65 - 110
	Lead Member: Councillor Cook, Turner Report of the Head of City Development To approve a three-year programme for the preparation of various planning documents that will form part of the City Council's Local Development Framework.	
9	DISCRETIONARY HOUSING PAYMENTS	111 - 132
	Lead Member: Councillor Smith Report of the Head of Customer Services To approve the request for additional Discretionary Housing Payment funding, and to approve the new Discretionary Housing Payments Policy.	
10	LEISURE CENTRE DEVELOPMENT PLANS - PHASE 2	133 - 148
	Lead Member: Councillor Coulter Report of the Head of Leisure and Parks To seek approval to progress phase two leisure centre improvement works. There is a not for publication appendix to this item.	
11	TRADING STRATEGY	149 - 172
	Lead Member: Councillor Turner Report of the Executive Director for City Services To provide an update on the approach proposed to take forward the proposal contained in the Council 2012 Strategy that the Council seeks to optimise income.	

12	GRANTS 2010-2011 - MONITORING FEEDBACK	173 - 190
	Lead Member: Councillor Bance Report of the Head of Housing and Communities To inform members of monitoring information returned by Community and Voluntary Organisations awarded a grant in 2010/2011.	
13	FUTURE ITEMS	
	This item is included on the agenda to give members the opportunity to raise issues on the Forward Plan or update the Board about future agenda items.	
14	MINUTES	191 - 196
	Minutes of the meeting held on 22 June 2011 and the special meeting held on 21 July 2011.	
15	MATTERS EXEMPT FROM PUBLICATION	
	If the Board wishes to exclude the press and the public from the meeting during consideration of any of the items on the exempt from publication part of the agenda, it will be necessary for the Board to pass a resolution in accordance with the provisions of Paragraph 21(1)(b) of the Local Authorities (Executive Arrangements) (Access to Information) (England) Regulations 2000 on the grounds that their presence could involve the likely disclosure of exempt information as described in specific paragraphs of Schedule 12A of the Local Government Act 1972. The Board may maintain the exemption if and so long as, in all the circumstances of the case, the public interest in maintaining the exemption outweighs the public interest in disclosing the information.	

DECLARING INTERESTS

What is a personal interest?

You have a personal interest in a matter if that matter affects the well-being or financial position of you, your relatives or people with whom you have a close personal association more than it would affect the majority of other people in the ward(s) to which the matter relates.

A personal interest can affect you, your relatives or people with whom you have a close personal association positively or negatively. If you or they would stand to lose by the decision, you should also declare it.

You also have a personal interest in a matter if it relates to any interests, which you must register.

What do I need to do if I have a personal interest?

You must declare it when you get to the item on the agenda headed "Declarations of Interest" or as soon as it becomes apparent to you. You may still speak and vote unless it is a prejudicial interest.

If a matter affects a body to which you have been appointed by the authority, or a body exercising functions of a public nature, you only need declare the interest if you are going to speak on the matter.

What is a prejudicial interest?

You have a prejudicial interest in a matter if;

- a) a member of the public, who knows the relevant facts, would reasonably think your personal interest is so significant that it is likely to prejudice your judgment of the public interest; and
- b) the matter affects your financial interests or relates to a licensing or regulatory matter; and
- c) the interest does not fall within one of the exempt categories at paragraph 10(2)(c) of the Code of Conduct.

What do I need to do if I have a prejudicial interest?

If you have a prejudicial interest you must withdraw from the meeting. However, under paragraph 12(2) of the Code of Conduct, if members of the public are allowed to make representations, give evidence or answer questions about that matter, you may also make representations as if you were a member of the public. However, you must withdraw from the meeting once you have made your representations and before any debate starts.

To: City Executive Board

Date: 21 September 2011

Report of: Executive Director City Services

Title of Report: Future Arrangements for the Management of the City Council's Park and Ride Sites

Summary and Recommendations

Purpose of report: To set out proposals for changes to the management of the Council's three Park and Ride sites in a way that meets the requirements of the City Council's Medium Term Financial Strategy

Key decision: Yes

Executive lead member: Councillor Colin Cook

Policy Framework: Corporate Plan and Medium Term Financial Strategy

Recommendation(s):

1. That taking into account the requirements of the Council's Medium Term Financial Strategy and the savings provided by different working arrangements the Board agrees that a parking charge of £1.50 per day is appropriate at the three Park and Ride Sites within the City of Oxford.
2. To note that the necessary steps are being taken to produce a variation Order to give effect to the changes in the method of payment as set out in paragraphs 10 – 12 and to season tickets and other concessions that might be agreed by the Director for City Services in consultation with the Board Member.
3. To RECOMMEND that Council agree a capital budget in the order of £264k for the purchase of equipment required to operate the service, financed as far as possible from Section 106 receipts and the residual from the redirection and virement of Direct Services budgets.

Appendices to report – Appendix 1 - Table showing impact of a range of fees in balancing the Council's budget position.

Background

1. Budget pressures faced by Oxford City Council and Oxfordshire County Council have led to changes in the way the City Council's Park and Ride services are to be delivered.
2. Three years ago the County Council took over the running of the City Council's three Park and Ride sites - Peartree, Redbridge and Seacourt - subsidising the City Council's costs and loss of income. The Thornhill and Water Eaton sites are outside the City boundary, managed by the County Council and are not the subject of this report.
3. Budget pressures mean that this subsidy (circa £1m) can no longer be afforded by the County Council And, as a consequence, the three Park and Ride sites in the City will return to the management of the City Council, as provided for in the original transfer agreement.
4. It remains the City Council's aspiration to provide a free Park and Ride service for people coming into the City in recognition of the economic and environmental benefits that this brings. However, it is not possible to achieve this in the context of the Council's Medium Term Financial Plan as it would require an additional £1million of savings to the current Council budget savings target of circa £10 million over the next 4 years .
5. In view of this, officers have examined the scope for making substantial savings in the operation of the park and ride sites in order to minimise the financial impact and the level of fees that have to be levied to cover costs.

Park and Ride Operation

6. The three Park and Ride sites in the City are extensive, providing parking to around 1 million commuters, shoppers and visitors a year. The extensive nature of the provision brings with it substantial operational and maintenance costs including a high staffing cost. New operational models have been examined which use new technologies and best practice from other authorities and the private sector.
7. Reflecting the innovative opportunities that these present, the management of the sites will in future be handled through a combination of automatic vehicle recognition and mobile security/enforcement patrols integrated with the rest of the Council's car parks patrol service.
8. This approach will make a significant saving in running costs and enable a lower fee to be charged than would otherwise have been necessary to meet the requirements of the Council's Medium Term Financial Strategy.
9. Reflecting best practice in the industry the charging mechanism should meet the following tests:-

- a. It should not involve pay and display which requires the motorists to purchase a ticket on foot and return to their vehicle to display the ticket;
- b. The charge should be in round numbers and involve no more than 2 coins;
- c. There should be methods of automatic payment by telephone and the internet.

10. It is proposed that the Council's successful mobile phone access to parking payments through the Ringo system should be extended to the Park and Ride sites. This system already accounts for around 120,000 payments a year and is very popular. In addition a web based system to allow single, multiple and season ticket purchases will be introduced.

11. Purchase on foot will be managed through a ticket machine which records the vehicle registration number and does not require a ticket to be displayed on the vehicle.

12. Enforcement will be carried out using Automatic Number Plate Recognition (APNR) units, fitted to patrol vehicles; these units are linked to the charging mechanisms and provide real time information on payments.

13. With these proposals to minimise the management costs of the sites the requirements of the Council's Medium Term Financial Strategy will be met through a daily parking charge of £1.50. This is very competitive with the cost of City centre parking and maintains the gradient in parking charges which falls from the City centre to the park and ride sites at the edges of the City.

Level of risk

14. With appropriate mitigation the risk is assessed as low.

No.	Risk Description Link to Corporate Objectives	Mitigation	Likelihood	Impact	Score	H= High, M= Medium L= Low
1.	Income levels not achieved leading to future budget pressures	Set fee with knowledge of "market". Include resistance in budget calculations. Careful budget monitoring.	3	3	9	M
2.	Legal impediment to charging.	Land and property and car parking law issues dealt with.	3	3	9	M
3	Conflict with bus main operator.	Consult with bus company on proposals.	1	2	2	L

4	Failure to implement new operating module leads to employment law issues.	Ensure TUPE law complied with and employment policies.	2	2	4	L
5	Encourage more use of city centre car parks and cause congestion.	Take great care in balancing budget needs of Council with wider implications. Monitoring after charges introduced.	2	2	4	L
6	Discourage economic activity through change.	Take great care in balancing budget needs of Council with wider implications. Monitoring after charges introduced.	2	2	4	L
7	Changes to operational model leads to increased crime.	Ensure sufficient randomly distributed patrols to deter crime. Enhance surveillance using modernized CCTV. Liaise with police re charges. Monitor crime levels and respond accordingly.	2	2	4	L

Financial Implications

15. The table set out in Appendix A compares the full year effect of a range of potential fee levels compared with the Council's budget and the requirements of the Medium Term Financial Strategy. The Strategy provides for an additional £250k above the amount (£250k) that is included in the base budget that was to have been received from the County Council with effect from 1st April 2012. Hence if no charge is made for parking the deficit to the Council against its Medium Term Financial Plan would be in the order of £1.2million ie. the £500k lost income from the County Council plus the estimated additional cost of operating the services of £674k. A charge of £1 or £1.20 leaves a deficit of around £492k and £357k respectively. A charge of £2 would more than cover the impact on the Council's Medium Term Financial Plan. A charge of £1.50 does not fully recover all costs (of providing the service) but meets the Medium Term Financial Plan requirement, as the costs not being recovered are essentially corporate and departmental overheads which are already borne by the Council; the residual balance of approximately £65k for 2012/13 and the £30k for 2011/12 can be funded through Section 106 income and dilapidations chargeable through the lease to the County Council. A fee of £1.50 would be the lowest level of charging at a convenient round number which will deliver the requirements of the Medium Term Financial Plan and is therefore recommended as the optimum price to be charged.

The £1.50 fee derives from modelling costs and income and relies on the following key assumptions:-

- The costs allow for changes in the method of operation which is likely to lead to a reduction in staffing and subsequent redundancy cost of up to £100k which could be met from the severance budget head.
- The revised method of operation uses Automatic Number Plate Recognition (ANPR) and CCTV technology. With new pay and display machines the estimated capital costs will be around £264k which is not currently included within the Council's Capital Programme. This will be funded via the S106 Monies as these items are Improvements to the Park and Ride Facilities
- The County Council currently hold Section 106 receipts which were previously transferred from the City Council when the car parks were transferred. The estimated amount is likely to be in the region of £788k. It may be possible to use some of these receipts to mitigate running costs such as repairs and maintenance that have been identified to deal with water pooling problems and drainage.
- If the new methods of operation are to be brought into effect there are still a number of employee consultations which need to be undertaken which will take time to complete. Should these not be completed before December then the existing staff structure would continue leading to a financial pressure on the 2011/12 budget of around £50k. Officers would need to mitigate this pressure in other areas of the budget .

Given these uncertainties Council officers will need to review the budget position and consider appropriate action as necessary. .

Climate change / environmental impact

16. The introduction of a charge may result in a minority of people to travel into the City centre or parking on street adjacent to park and ride sites or transferring to public transport rather than paying to park at the park and ride sites. This is difficult to estimate however but the adverse effects are judged to be minimal.

Equalities impact

17. As with all of our parking facilities disabled persons parking will continue to be available. It is not anticipated that there will be any differential impact based on race, gender, disability, sex, age, or religion due to this policy.

Action taken under officer delegated powers

18. There is a Parking Place Order already in force for the sites as the Order was not cancelled when the sites were transferred to the County Council. Car park charges can be altered by issuing a 21 day 'notice of intent' to change the charge. Acting under delegated authority, officers have issued a notice of intent to change the existing charge from zero to £1.50 (and a

related charge of £100 reduced to £50 for prompt payment in respect of non-display of a ticket or overstaying the time purchased. Whilst we have set out the proposed methods of payment in paragraphs 10 – 12, the current Order (which was made in 1998) does not provide for those methods of payment. It simply requires the motorist to purchase a ticket from the ticket machine and to display it on the vehicle. Alterations need therefore to be made to the Order. These alterations cannot be made by notice of intent. Again acting under delegated authority officers have advertised the variation to the Order to introduce the changes in the method of payment.

Legal Implications

19. There is no impediment in the lease or covenants relating to this land which would prevent the introduction of the changes to car park controls referred to in this report.

20. TUPE legislation will apply to the transfer of staff to the City Council. Relevant legislation and Council policy in respect of such matters will be followed and the proposed changes can be accommodated within those.

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List of background papers: The City of Oxford (Park and Ride Parking Places) Order 1998

Version number: 4

Appendix 1

Table showing impact of a range of fees in balancing the Council's budget position in a full year based on 2012/13

PARK & RIDE

Charging Options	@ £1.00	@ £1.20	@ £1.50	@ £2.00
Income				
Charge incl VAT	1.00	1.20	1.50	2.00
Charge Net of VAT	0.83	1.00	1.25	1.67
Total Income (£)	681,287	816,704	973,665	1,189,102
Expenditure (£)				
Direct Costs (employee, premises, transport, supplies)	539,551	539,551	539,551	539,551
Support services and other overheads	134,031	134,031	134,031	134,031
Sub Total Direct Costs	673,582	673,582	673,582	673,582
Lost Income	500,000	500,000	500,000	500,000
Net Position Compared to MTFS Deficit/(Surplus)	492,295	356,877	199,916	(15,521)

Table Showing impact of range of fees in balancing council's budget position for 2011/12

Park & Ride

Charging Options	@ £1.00	@ £1.20	@ £1.50	@ £2.00
Income				
Charge incl VAT	1.00	1.20	1.50	2.00
Charge Net of VAT	0.83	1.00	1.25	1.67
Total Income (£)	336,105	402,486	479,428	585,034
Expenditure (£)				
Direct Costs (employee, premises, transport, supplies)	382,917	382,917	382,917	382,917
Support services and other overheads	67,015	67,015	67,015	67,015
Sub Total Direct Costs	449,932	449,932	449,932	449,932
Lost Income	125,000	125,000	125,000	125,000
Net Position Compared to MTFS Deficit/(Surplus)	238,827	172,445	95,504	(10,102)

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To: City Executive Board
Date: 21 September 2011
Report of: Corporate Director of Finance and Efficiency
Title of Report: Treasury Management Annual Report 2010/2011

Summary and Recommendations

Purpose of report: The Treasury Management Annual report sets out the Council's treasury management activity for 2010/2011, together with its achievement against prudential indicator targets for 2010/2011

Key decision No

Executive lead member: Councillor Ed Turner

Report approved by:

Finance: Nigel Kennedy

Legal: Jeremy Thomas

Policy Framework:

Recommendation:

To note the Treasury Management Annual Report for 2010/2011

Executive Summary

1. The financial year 2010/2011 was another challenging year for the treasury management function. The combined effect of the low interest rates due to the Bank of England's Base Rate remaining at an all time low and restricted lending options due to continuing counterparty risk resulted in low returns on our investments.
2. Icelandic investments remain an issue for the Council. During the year a further £0.45m of our original investment was returned to the Council, leaving the year end balance outstanding at approximately £3.0 million.

3. The Council had outstanding debt of approximately £6.0 million as at 31st March 2011, approximately £4.4 million of this is held with the Public Works Loan Board (PWLB) at fixed interest rates and £1.6 million is held with South Oxfordshire District Council (SODC). The total interest paid on this debt during 2010/2011 was £561k.
4. The Council also had investments totalling approximately £27.0 million as at 31st March 2011, this includes approximately £3.0 million of outstanding Icelandic bank investments. The remaining investments balance is held with highly rated financial institutions, such as other Local Authorities, banks, building societies and Money Market Funds (MMF) for periods less than 90 days. The total interest earned on these investments was approximately £200k.
5. The primary principle governing the Council's investment criteria is the security of its investments, although the yield or return is also a key consideration. After this main principle the Council will ensure:
 - I. It has sufficient liquidity in its investments; and that
 - II. It maintains a policy covering both the categories of investment and criteria for choosing investment counterparties.
6. In relation to the Council's debt strategy the factors taken into account are prevailing interest rates, the debt profile of the Council's portfolio and the type of asset being financed.
7. The Council fully complied with its Treasury Management Strategy in relation to investment management in 2010/2011. However, due to slippage in the capital programme and the high cost of carry (the difference between borrowing rates and investment returns), the Council decided not to fund new debt through external borrowing of £10 million as stated in the Mid Year Review of 2010/11 Strategy. This debt has been funded by internal balances and the need to borrow externally has been deferred until interest rates become more attractive.
8. The Council has a statutory duty to set, monitor and report on its prudential indicators in accordance with the Prudential Code, which aims to ensure that the capital investment plans of authorities are affordable, prudent and sustainable.
9. The prudential indicators detailed in the body of this report look back at the results for 2010/2011, and are designed to compare the Council's outturn position against the target set.

The Council's Capital Expenditure and Financing 2010/2011

10. The Council undertakes capital expenditure on long-term assets. These activities may be financed by either:

- I. capital receipts, capital grants, other external funding;
- II. Revenue contribution; or
- III. borrowing.

11. Part of the Council's treasury function is to address any borrowing need, either through borrowing from external bodies, or utilising temporary cash resources within the Council. The wider treasury activities also include managing the Council's cash flow, its previous borrowing activities and the investment of surplus funds. These activities are structured to manage risk foremost, and then optimise performance.

12. Actual capital expenditure forms one of the required prudential indicators. Table 1 below shows actual spend and how it has been financed compared to what was originally planned.

Table 1

Capital Expenditure	2009/10 Actual £'000	2010/11 Estimate £'000	2010/11 Actual £'000
Non-HRA Capital Expenditure	8,283	14,653	9,952
HRA Capital Expenditure	9,024	21,732	14,930
Total Capital Expenditure	17,307	36,385	24,882
Resourced by:			
Capital Receipts	1,948	20,039	1,497
Capital Grants	9,686	7,729	12,292
Revenue	1,607	2,183	2,455
Total Capital Resources	13,241	29,951	16,488
Unfinanced Capital Expenditure (Additional need to borrow)	4,066	6,434	8,394

The Council's Overall Borrowing Need

13. The underlying need to borrow or Capital Financing Requirement (CFR) is a gauge of the Council's debt position. It represents all prior years' net capital expenditure which has not been financed by other means (revenue, capital receipts, grants etc.).

14. The CFR can be reduced by:

- I. The application of additional capital resources, such as unapplied capital receipts; or
- II. By holding a voluntary revenue provision (VRP) or depreciation against it.

15. Table 2 below shows the Council's CFR position, this is a key prudential indicator

Table 2.

CFR	31st March 2010 Actual £'000	31st March 2011 Estimate £'000	31st March 2011 Actual £'000
Opening Balance	10,386	14,387	14,219
Plus Unfinanced Capital Expenditure	4,066	6,434	8,394
Minus MRP / VRP	(233)	(244)	(244)
CFR Closing Balance	14,219	21,677	22,613

Treasury Position at 31st March 2011

16. Whilst the Council's gauge of its underlying need to borrow is the CFR, the treasury function manages the Council's actual borrowing position by either:

- I. Borrowing to the CFR;
- II. Choosing to utilise some temporary cash flow funds, which will reduce our investment balance, instead of borrowing (under borrowing);
- III. Borrowing for future increase in the CFR (borrowing in advance of need)

17. It should be noted that accounting practice requires financial instruments (debt, investments, etc.) to be measured in a method compliant with National Financial Reporting Standards. The figures in this report are based on the actual amounts borrowed and invested and therefore may differ slightly to those in the Statement of Accounts.

18. During 2010/2011 no new debt was taken out. At the end of 2010/2011 the Council's total debt was £6.1m. The debt relates wholly to the Housing Revenue Account (HRA) and repayment of it is provided for within our Housing Subsidy. This means there is no financial benefit to the Council in repaying the debt early, as any premiums associated with early repayment are not covered by housing subsidy and will be a charge on the General Fund.

19. The Council's treasury position as at the 31st March 2011 compared with the previous year is set out in Table 3 below:

Table 3

Treasury Position	31 st March 2010		31 st March 2011	
	Principal £'000	Average Rate %	Principal £'000	Average Rate %
<u>Borrowing</u>				
Fixed Interest Rate Debt	5,056	11.25	4,376	11.31
Other Long-term Liabilities	1,657	0.72	1,657	0.72
Variable Interest Rate Debt	0	0.00	0	0.00
Total Debt	6,713	8.65	6,033	8.40
<u>Investments</u>				
Fixed Interest Investments	31,376	1.52	26,997	0.57
Variable Interest Investments	0	0.00	0	0.00
Total Investments	31,376	1.52%	26,997	0.57
Net Borrowing Position	(24,663)		(20,964)	

Prudential Indicators and Compliance Issues

20. Some of the prudential indicators provide either an overview or specific limits on treasury activity. These are detailed below:

21. Net Borrowing and the CFR – in order to ensure that borrowing levels are prudent, over the medium-term the Council's external borrowing, net of investments, must only be for a capital purpose. Net borrowing should not therefore, except in the short-term exceed the CFR. Table 4 below highlights the Council's net borrowing position against the CFR, and shows that it is well below the limit.

Table 4.

Net Borrowing & CFR	31 st March 2010 Actual £'000	31 st March 2011 Actual £'000
Total Debt	6,713	6,033
Total Investments	31,376	26,997
Net Borrowing Position	(24,663)	(20,964)
CFR	14,387	22,613

22. The Authorised Limit – the authorised limit is the ‘affordable borrowing limit’ required by S3 of the Local Government Act 2003. The Council does not have the power to borrow above this level unless it explicitly agrees to do so. Table 5 below demonstrates that during 2010/2011 the Council has maintained gross borrowing within its authorised limit. The authorised limit allows the Council to borrow to the future CFR if required, and this has been reflected in the limit itself, with a little headroom built in.

Table 5

Authorised Borrowing	31 st March 2010		31 st March 2011	
	Estimate £'000	Actual £'000	Estimate £'000	Actual £'000
Borrowing	10,000	5,056	25,000	4,376
Other Long-Term Liabilities	1,900	1,657	1,700	1,657
Total Borrowed	11,900	6,713	26,700	6,033
Amount Under Limit	5,187		20,667	

23. The operational Boundary – the operational boundary limit is the expected borrowing position of the Council during the year. It is possible to exceed the operational boundary limit providing that the authorised borrowing limit is not breached.

Table 6

Operational Boundaries	31 st March 2010 Estimate £'000	31 st March 2011 Estimate £'000
Borrowing	8,000	23,000
Other Long-Term Liabilities	1,900	1,700
Totals	9,900	24,700

24. Actual financing costs as a proportion of net revenue stream – this indicator identifies the trend in the cost of capital (borrowing and other long term costs net of investment income) against the net revenue stream.

Table 7

Actual Finance Costs	2009/10 £'000	2010/11 £'000
<u>Indicators</u>		
Original Indicator – Authorised Limit	11,900	26,700
Original Indicator – Operational Boundary	9,900	24,700
<u>Actuals</u>		
Minimum Gross Borrowing Position	6,713	6,033
Maximum Gross Borrowing Position	9,069	6,713
Average Gross Borrowing Position	0	0
Financing Costs As A Proportion Of Net Revenue Stream – General Fund	1.50%	1.90%
Financing Costs As A Proportion Of Net Revenue Stream - HRA	5.20%	4.50%

Economic Background for 2010/2011

25. 2010/11 proved to be another watershed year for financial markets. Rather than a focus on individual institutions, market fears moved to sovereign debt issues, particularly in the peripheral Euro zone countries. Local authorities were also presented with changed circumstances following the unexpected change of policy on Public Works Loan Board (PWL) lending arrangements in October 2010. This resulted in an increase in new borrowing rates of 0.75 – 0.85%, without an associated increase in early redemption rates. This made new borrowing more expensive and repayment relatively less attractive.
26. UK growth proved mixed over the year. The first half of the year saw the economy outperform expectations, although the economy slipped into negative territory in the final quarter of 2010 due to inclement weather conditions. The year finished with prospects for the UK economy being decidedly downbeat over the short to medium term while the Japanese disasters in March, and the Arab Spring, especially the crisis in Libya, caused an increase in world oil prices, which all combined to dampen international economic growth prospects.
27. The change in the UK political background was a major factor behind weaker domestic growth expectations. The new coalition Government struck an aggressive fiscal policy stance, evidenced through heavy spending cuts announced in the October Comprehensive Spending Review, and the lack of any “giveaway” in the March 2011 Budget. Although the main aim was to reduce the national debt burden to a

sustainable level, the measures are also expected to act as a significant drag on growth.

28. Gilt yields fell for much of the first half of the year as financial markets drew considerable reassurance from the Government's debt reduction plans, especially in the light of Euro zone sovereign debt concerns. Expectations of further quantitative easing also helped to push yields to historic lows. However, this positive performance was mostly reversed in the closing months of 2010 as sentiment changed due to sharply rising inflation pressures. These were also expected (during February / March 2011) to cause the Monetary Policy Committee to start raising Bank Rate earlier than previously expected.
29. The developing Euro zone peripheral sovereign debt crisis caused considerable concerns in financial markets. First Greece (May), then Ireland (December), were forced to accept assistance from a combined EU / IMF rescue package. Subsequently, fears steadily grew about Portugal, although it managed to put off accepting assistance till after the year end. These worries caused international investors to seek safe havens in investing in non-Euro zone government bonds.
30. Deposit rates picked up modestly in the second half of the year as rising inflationary concerns, and strong first half growth, fed through to prospects of an earlier start to increases in Bank Rate. However, in March 2011, slowing actual growth, together with weak growth prospects, saw consensus expectations of the first UK rate rise move back from May to August 2011 despite high inflation. However, the disparity of expectations on domestic economic growth and inflation encouraged a wide range of views on the timing of the start of increases in Bank Rate in a band from May 2011 through to early 2013. This sharp disparity was also seen in MPC voting which, by year-end, had three members voting for a rise while others preferred to continue maintaining rates at ultra low levels.
31. Risk premiums were also a constant factor in raising money market deposit rates beyond 3 months. Although market sentiment has improved, continued Euro zone concerns, and the significant funding issues still faced by many financial institutions, mean that investors remain cautious of longer-term commitment. The European Commission did try to address market concerns through a stress test of major financial institutions in July 2010. Although only a small minority of banks "failed" the test, investors were highly sceptical as to the robustness of the tests, as they also are over further tests now taking place with results due in mid-2011.

Icelandic Banks

32. During the Financial Year 2008/09 the Council invested £4.5 million with two of the now failed Icelandic banks, of which £3 million was

deposited with Heritable Bank and £1.5 million with Glitnir Bank. These investments, together with accrued interest, are overdue repayment. As at the 31st July 2011, we had received approximately £1.8 million of our original Heritable Bank investment, this equates to approximately 60% of the original investment. Current guidance indicates that the repayment of the Heritable deposits will continue with an eventual total repayment of approx 85% of the original deposits by the end of 2012. The Authority has not received any repayment of the deposit with Glitnir Bank. The matter is currently being processed through the Icelandic courts.

33. This issue is being dealt with nationally by the Local Government Association, who consider that prospects for recovery are good. The Authority impaired these deposits in 2009/10 and has used a capitalisation direction to spread the costs in accordance with accounting practice. A prudent approach has been adopted in 2010/11 as a consequence of:

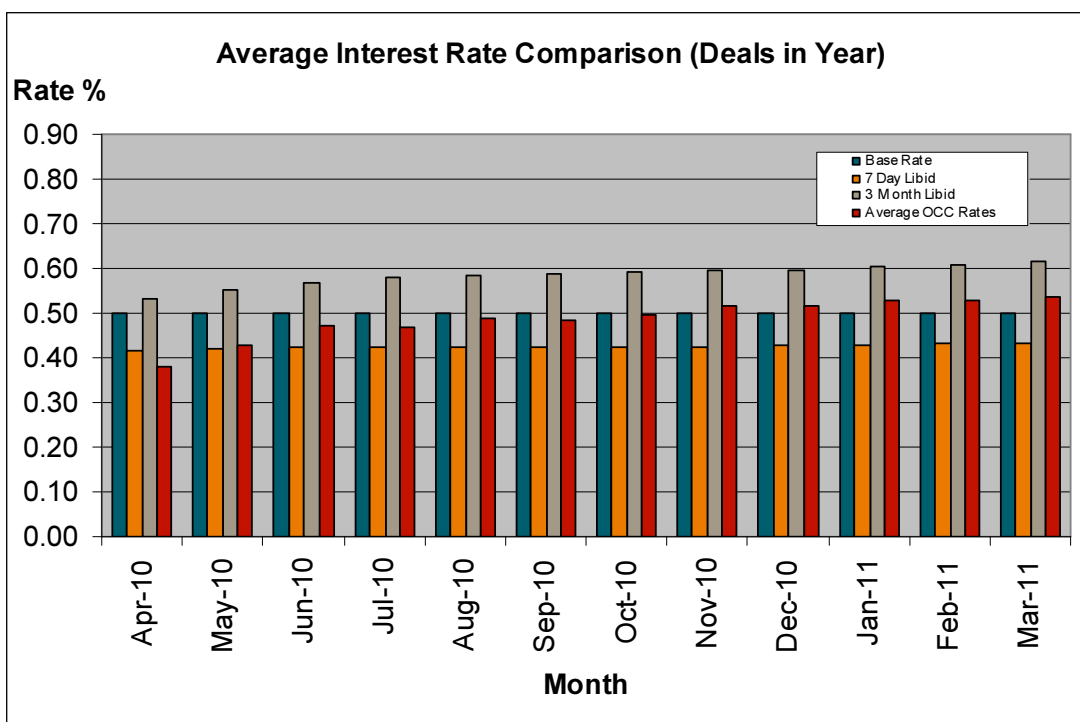
- The preferential creditor status being challenged
- the advice of the Council's Treasury Management advisors, Sector.

34. Consequently, the Council has not followed the accounting treatment recommended by LAAP Bulletin 82 Update 4 released by CIPFA in May 2011.

35. A prudent approach dictates that no revaluation of the financial instrument will take place until a final settlement has been determined and received. This will preserve the benefit of a £1.944 million capitalisation directive to the Authority, until a final settlement is agreed and paid.

Investment Income

36. The following graph shows the Council's achievement of average interest rate in comparison to the base rate and also in comparison to the benchmarks of 3-month Libid and 7-day Libid.



The graph above shows that the average monthly rates for the Councils return were above our benchmark rates, the average Sterling 7 Day LIBID rates.

Table 8 below shows comparator rates and how they fluctuated during the year

Table 8

	INVESTMENT RATES 2010/11					
	Overnight	7 day LIBID	1 Month	3 Month	6 Month	1 Year
01/04/10	0.41%	0.41%	0.42%	0.52%	0.76%	1.19%
31/03/11	0.44%	0.46%	0.50%	0.69%	1.00%	1.47%
High	0.44%	0.46%	0.50%	0.69%	1.00%	1.47%
Low	0.41%	0.41%	0.42%	0.52%	0.76%	1.19%
Average	0.43%	0.43%	0.45%	0.61%	0.90%	1.35%
Spread	0.03%	0.04%	0.07%	0.17%	0.24%	0.28%
High date	31/12/10	30/03/11	31/03/11	31/03/11	31/03/11	31/03/11
Low date	01/04/10	01/04/10	01/04/10	01/04/10	01/04/10	01/04/10

37. Internally Managed Investments – the Council manages its investments in-house and invests with the institutions listed in the Council’s approved lending list. The Council invests for a range of periods from overnight to 90 days, dependant on the Council’s cash flows, its interest rate view, the interest rates on offer and durational limits set out in the approved investment strategy.

38. During 2010/2011 the Council maintained an average investment balance of £40.6 million and received an average return of 0.51%. This compares favourably with the average 7-day LIBID target, which was 0.43%.
39. The original budget for interest receivable in 2010/2011 was £400k. A forecast reduction of £200k was made, with a final forecast of £200k at the end of the year. The Council achieved its final forecast £200k interest.

Counterparty Changes Through out The Year

40. The Mid Year Review amended the approved 2010/11 strategy to allow limited investment in building societies with an asset base of greater than £9 billion. As a result, the following counterparties were added to the approved treasury management lending list:
- i. Yorkshire Building Society
 - ii. Leeds Building Society
 - iii. Coventry Building Society
 - iv. Skipton Building Society
41. The lending duration limits were also increased up to 364 days for the most highly credit rated institutions.
42. During the year all investments were made in full compliance with this Council's treasury management policies and practices.
43. Treasury bills – in order to access high security AAA rated UK Government investments offering higher rates than the Government's Debt Management Office DMADF account, the Council is considering the use of Treasury Bills.

New Guidance

44. In March 2009 the CIPFA Treasury Management Panel issued a bulletin of guidance notes (to be used in conjunction with the CIPFA Treasury Management Code of Practice) for local authorities' treasury management activities after the Icelandic banks collapse. The bulletin suggests that the following should be incorporated:
- I. Diversification between counterparties, countries, sectors and instruments
 - II. The involvement of Councillors in the decision making process, regular updates and reviews of the activities and function
 - III. Formally reporting on treasury activities, at a minimum twice a year (annual treasury report and treasury strategy) and preferably quarterly
 - IV. All three rating agencies should be used, with decisions based on the lowest ratings. The ratings should be kept under regular review and 'ratings watch' notices acted on accordingly

- V. Should also systematically review other sources of information. These could include quality financial press, market data and information on government support for banks
 - VI. Should be clear on the status of service they are receiving from their advisors and satisfy themselves of its appropriateness for their needs
 - VII. Training of staff should address all of the procedures, practices and processes which are relevant to the Council's treasury management arrangements
45. The Council had already incorporated a number of these recommendations into its treasury management function immediately after the collapse of the Icelandic banks in October 2008. Work has continued to incorporate the remaining recommendations.
46. Prior to the guidance the Council was already using the three major rating agencies and the lowest common denominator (LCD) method, and reviewed the ratings on a daily basis. As well as reviewing individual counterparty limits (amount and period limits) the following limits were also introduced
- I. Counterparty limit of 20% - investments placed with any one counterparty must not exceed 20% of the total amount invested
 - II. Country limits: UK – there is no limit in place for the UK
 - III. Country limits: Ireland – investments placed with Irish institutions must not exceed 10% of the total amount invested and can only be placed with those institutions covered by the guarantee
 - IV. Country limits: Rest of World – currently no investments can be placed with institutions outside the UK or Ireland
47. Councillors have been involved in the decision making process for the strategy for 2010/2011 and 2011/2012, and have received regular reports and updates on key issues as necessary during the year. A training seminar was also held for members in January 2011 to aid understanding of the treasury management function.

Regulatory Framework, Risk and Performance

48. The Council's treasury management activities are regulated by a variety of professional codes and statutes and guidance:
- The Local Government Act 2003 (the Act), which provides the powers to borrow and invest as well as providing controls and limits on this activity;
 - The Act permits the Secretary of State to set limits either on the Council or nationally on all local authorities restricting the amount of borrowing which may be undertaken, no restrictions were made in 2007/2008;
 - Statutory Instrument (SI) 3146 2003, as amended, develops the controls and powers within the Act;

- The SI requires the Council to undertake any borrowing activity with regard to the CIPFA Prudential Code for Capital Finance in Local Authorities;
- The SI also requires the Council to operate the overall treasury function with regard to the CIPFA Code of Practice for Treasury Management in the Public Services;
- Under the Act the DCLG has issued investment guidance to structure and regulate the Council's investment activities
- Under section 238(2) of the Local Government and Public Involvement in Health act 2007 the Secretary of State has taken powers to issue guidance on accounting practices. Guidance on Minimum Revenue Provision was issued under this section on 8th November 2007.

49. The Council has complied with all of the above relevant statutory and regulatory requirements, which limit the levels of risk associated with its treasury management activities. In particular its adoption and implementation of both the Prudential Code and the Code of Practice for Treasury Management means both that its capital expenditure is prudent, affordable and sustainable, and its treasury practices demonstrate a low risk approach.

50. The report meets the requirements of both the CIPFA Code of Practice on Treasury Management and the CIPFA Prudential Code for Capital Finance in Local Authorities. The Council is required to comply with both codes through regulations issued under the Local Government Act 2003

51. The primary requirements of the Code are as follows:

- I. Creation and maintenance of a Treasury Management Policy Statement which sets out the policies and objectives of the Council's treasury management activities.
- II. Creation and maintenance of Treasury Management Practices which set out the manner in which the Council will seek to achieve those policies and objectives.
- III. Receipt by the Full Council of an annual treasury management strategy report (including the annual investment strategy report for the year ahead, a midyear review report (as a minimum) and an annual review report of the previous year.
- IV. Delegation by the Council of responsibilities for implementing and monitoring treasury management policies and practices and for the execution and administration of treasury management decisions.
- V. Delegation by the Council of the role of scrutiny of treasury management strategy and policies to a specific named body which in this Council is the Value and Performance Scrutiny Committee.

Risk

52. A risk analysis has been carried out and there are no risks to report

HRA Reform

53. During 2010/11 the Government consulted with local authorities on the removal of the Housing Subsidy scheme. The outcome of the consultation was that local authorities will be required to convert to self-financing and buy themselves out of the current scheme on or around 1st April 2012. It is estimated that the Council will be required to pay the Government £200 million. The majority of these funds will need to be borrowed externally and repaid in line with the 30 year Housing Business Plan. The Council is currently investigating funds options.

1. A revised strategy for 2011/12 will need to be produced for approval by Council, to enable us to borrow the funds required to finance the transition to self-financing.

David Cripps
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Background papers:
Treasury Management Strategy 2010/11 – Executive Board March 2010
Treasury Management Mid Year Review Report – Executive Board December 2010

To: City Executive Board
Date: 21 September 2011
Report of: Head of Finance
Title of Report: Budget Monitoring as at 30 June 2011

Summary and Recommendations

Purpose of report: This report sets out the forecast outturn position for the Council's Capital and Revenue budgets as at 30th June 2011 compared to the approved 2011-12 budget. In addition it provides information on key financial indicators in order to provide an assessment of the overall financial health of the organisation

Recommendation(s): That the City Executive Board notes this report.

APPENDICES TO REPORT – Appendix 1 – GF Full Savings Pressures List

EXECUTIVE SUMMARY

1. This report represents Quarter 1 of the financial year; it highlights major variances to the approved budget in the form of outturn variances.
2. The current month's outturn shows a favourable variance of £68k to the 2011-12 approved budget.
3. The Council's budget contained major savings and efficiency proposals, totalling some £4.3 million for this financial year, and with a contingency set aside in case these were not achieved. In addition, the Council faces some major financial challenges, stemming from cuts to housing benefit, rising fuel costs, and income pressures due to the recession. As a consequence, good progress is being made in keeping the budget on-track, although there are some issues highlighted below.
4. Discussions with Cost Centre Managers and Heads of Service have identified a number of pressures and opportunities related to the full year outturn that will need to be managed during the year:

Major pressures identified – General Fund (2011-12 Outturn)

- Waste and recycling £120k
- Car Parking – Worcester Street £90k
- Customer Services – Fundamental Service Review £33k

5. At this stage services are working through mitigation actions for these variances. They have been included within the outturn as they currently represent a risk to the overall budget. Finance will work with service areas to ensure mitigation plans are put in place to offset these risks. Once robust plans are in place to cover these potential overspends the forecast outturn will be amended as appropriate.

Major Opportunities identified – General Fund

- A favourable St Aldates rent review decision will result in a one off release of provision @ £100k, plus an going favourable variance driven by a lower than anticipated annual rent settlement. This will be factored in to the outturn once the agreement has been signed.
- New Homes Bonus £472k which was not budgeted for
- Investment income is expected to be £40k favourable to approved budget due to the implementation of a more proactive approach to treasury management.

6. Appendix A provides an analysis of the forecast General Fund revenue outturn broken down by directorate. Table 1 below provides a summary.

Table 1 – General Fund Forecast Outturn as at 30th June 2011

	Approved Budget 11/12	Latest Budget	Projected Outturn @30th June 2011	Outturn Variance to Latest Budget
	£000's	£000's	£000's	£000's
Directorates:				
Chief Executive	3,964	3,925	4,000	75
City Regeneration	5,200	4,999	4,999	0
City Services	8,958	8,848	8,881	33
Finance & Efficiency	6,107	6,458	6,458	0
Total Excluding SLAs And Capital Charges	24,229	24,230	24,338	108
Capital Charges and other Non Controllable Costs	(1,746)	(1,746)	(1,746)	0
Total of Corporate and other associated Budgets	2,478	2,478	2,438	(40)
Transfer to Balances	816	816	816	0
Net Budget Requirement	25,777	25,778	25,846	(68)
Funding				
External Funding	13,399	13,399	13,399	0
Council Tax	12,355	12,355	12,355	0
Collection Fund surplus	24	24	24	0
Total Funding Available	25,778	25,778	25,778	0
(Surplus) / Deficit for Year	(0)	(0)	(68)	(68)

Working Balance

1st April 2011	4,428
Transfers in	816
31st March 2012	5,244

7. The difference between the approved budget and the latest budget at service level is explained by virements of ICT maintenance budgets and movement in the budget for Markets.

8. The approved budget contains £606k of contingency to mitigate unachieved savings. In addition the council has received £472k in respect of New Homes Bonus which will either be transferred to reserves at year end, utilised to support the capital programme or other revenue expenditure as yet to be decided.

General Fund Outturn

9. At this stage the forecast outturn is £68k favourable to the 2011-12 approved budget. The main variations in service areas are outlined below:

- **Chief Executive is projecting a £75k adverse variance to the 2011-12 approved budget**, this is driven by People & Equalities and is due to the annual support costs for the iTrent system not being identified as a budget pressure during the 2010 refresh of the MTFs. This risk will be flagged as a budget pressure in the 12/13 budget process, and the service area will at this stage contain the over spend with existing budgets.

Law and Governance is reporting a £10k adverse variance relating to a partial unachievable saving due to alternative restructuring proposals within democratic services.

- **City Services is highlighting a £33k adverse variance to the 2011-12 approved budget,**

- **Direct Services**

Waste & Recycling Service is £120k adverse

The approved budget was based on the level of Service set out in the Fundamental Service Review (FSR). This Service started on 19 October 2010.

Whilst the waste service continues to deliver within the approved financial envelope following the market testing, a number of issues have arisen which impact on the overall cost of the service to the Council.

These include modifications to the trade waste service in the city centre as part of the Cleaner Greener campaign, which have not been met through increased income, legislative changes to the definition of domestic and trade waste in relation to Schedule 2 has an impact of an additional cost of £184k. This is made up of: -

- £44k related to Flats and schedule 2 waste, current legislation does not allow for waste to be collected in one vehicle. Bin Weigh has now been ordered and it is anticipated this will mitigate this additional cost from Q3 onwards.
- £100k for an additional evening collection to support cleaner greener Oxford
- £40k additional Saturday collections to support cleaner greener Oxford

Fuel continues to drive cost pressures within the service, prices have risen by 26% from the date the approved budget was agreed to 31st March 2011. As a result an additional £90k of fuel costs is anticipated during 2011/12, this is based on fuel prices as at 31st March. Work has taken place on route optimisation and is showing a potential £30k saving against the anticipated increase above.

Long Term Sickness Agency Cover is at present estimated to be £82k for 2011-12. This was not included in the approved budget as a potential pressure.

Service Provisions in relation to the additional Royal Wedding Bank Holiday catch up is £14k, once again this is not included in the approved budget.

Training, and respective cover for this is estimated to be £30k in 2011-12, A new scheme of Time Banking is being introduced to assist in reducing this cost.

An additional contribution of £50k in relation to excess mileage has now been negotiated with OWP for 2011-12.

The introduction of the Trade Waste Food Service from the 1st October 2011 is expected to contribute to a reduction in Tipping Charges of £40k.

Garden Waste is expected to make additional year one savings of £30k, if all of the Garden Waste Bins are Capitalised.

Off- Street Car Parking is £60k adverse

Income to date is in line with budget. An area of concern is that the rent payable to Nuffield College in relation to Worcester Street Car Park will increase by £90k since it is linked directly to income (every £1 taken results in rent payable £0.5769.) Rent Payment is currently budgeted at £680k but based on budgeted income of £1.3m the rent payable to Nuffield College is likely to be £770k.

The new charges for Parking in the Parks were profiled for income from the 1st July 2011. Complying with the consultation and traffic order processes has slightly delayed this and the profile income for July is consequently likely to be less than Budget.

The delay in the closure of St Clements Car Park will contribute an additional income of £30k

- **Engineering £180k favourable**

The Engineering team has negotiated further S42 works which will contribute an additional £180k this year.

Therefore the current projected year end position is that it is anticipated that Direct Services will achieve the Approved Budget position.

- **Customer Services**

As at 30th June 2011 the service is highlighting a £33k projected overspend against the approved 2011/12 budget. This is a result of £40k of unbudgeted spend associated with backfill of staff who are working on the Fundamental Service Review (FSR). Offset by an expected favourable with supplies and services £7k.

The service is currently bidding for transformation funding to support the backfill associated with the FSR. If successful this projected overspend will be funded from a release from earmarked reserves.

ACHEIVEMENT OF SAVINGS AND EFFICIENCIES

10. The approved budget for 2011/12 includes service reductions and efficiencies of £4.3m.

11. Table 2 below sets out the savings position as at 30th June 2011

Table 2 – Savings Status

	<u>Efficiencies</u>				<u>Service Reductions</u>			
	Approved Savings £000's	Projected outturn £000's	Var £000's	Savings made to date £000's	Approved Savings £000's	Projected outturn £000's	Var £000's	Savings made to date £000's
People & Equalities	(260)	(260)		(65)	(18)	(18)		(5)
Law & Governance	(39)	(39)		(38)	(111)	(101)		(13)
PCC	(102)	(102)		(10)	(65)	(65)		(16)
Chief Executive	(401)	(401)		(113)	(194)	(184)		(34)
Finance	(107)	(107)		(18)	(49)	(49)		(9)
ICT	(100)	(100)		(24)				
Business Trans	(83)	(83)		(20)				
Finance and Efficiency	(290)	(290)		(62)	(49)	(49)		(9)
Direct Services	(680)	(680)		(588)				
City Leisure	(511)	(511)		(121)	(12)	(12)		(0)
Customer Services	(241)	(241)		(27)				
Environmental Development	(110)	(85)	25	(25)	(110)	(110)		(21)
City Services	(1,542)	(1,517)	25	(762)	(122)	(122)		(22)
City Development	(123)	(123)		(15)	(136)	(136)		(34)
Housing and Communities	(624)	(624)		(117)	(449)	(449)		(206)
Corporate Assets	(317)	(317)		(20)	(9)	(9)		(2)
City Regeneration	(1,064)	(1,064)		(151)	(594)	(594)		(242)
Total	(3,296)	(3,271)	25	(1,051)	(959)	(949)		(306)

12. As at 30th June 2011 services are reporting no issues associated with savings with the exception of Environmental Development and Law and Governance.

13. In the case of Environmental Development the proposed saving was predicated on the existence of the fuel poverty budget. In this case the funding ended in 10-11 and did not roll in to the 2011-12 base as a result it is not possible to make a savings against this budget line, however the service will find these savings though under spends in the year.

14. Law and Governance is reporting a £10k adverse variance relating to a partial unachievable saving due to alternative restructuring proposals within democratic services.

15. Finance will continue to monitor progress against savings and report progress on a monthly basis.

CONTINGENCIES, RESERVES AND BALANCES

16. To date there have been no movements in working balances. The 2011-12 approved budget provides for a £816k transfer to reserves.

HOUSING REVENUE ACCOUNT

17. The HRA position as at 30th June 2011 is set out in Table 3. The HRA is forecasting a surplus of £500k, this is in line with the approved budget

Table 3 – HRA Outturn as at 30th June 2011

	Annual Budget £'000	Forecast Outturn at 31 March 2012 £'000	Variance £'000
Income & Expenditure Account			
Income from Rent & Service Charges	(37,085)	(37,085)	0
Other income	(1,097)	(1,097)	0
Expenditure on Repairs & Maintenance	10,083	10,083	0
Other Expenditure	18,151	18,151	0
Subsidy, Finance & Appropriations	9,448	9,448	0
Deficit/(Surplus)	(500)	(500)	0

18. Year to date performance includes an under spend of £491k on repairs and maintenance. This expenditure is mostly derived from recharges made by Direct Services to the HRA. In the first three months of the year, Direct Services had reduced output due to a large number of staff vacancies. These have now been filled and Direct Services expects to undertake significantly more work during the remainder of the year.

19. As a result of a change in accounting treatment approximately £741k of overheads will remain in the HRA revenue account. As a result the capital programme will be £741k under spent at the year end against the original budget although there will be less revenue contributions to compensate. Overall between capital and revenue the Housing Service will be in balance. The funding shortfall in the HRA revenue account will be met by a reduction in the contribution to the decent homes reserve at the end of the year

20. On this basis the forecast outturn has been left unchanged but this will be closely monitored during the remainder of the year.

CAPITAL PROGRAMME

General Fund and HRA Capital Programme

21. The budget approved for the General Fund and HRA Capital Programme for 2011/12 is shown in summary in Table 3 below. Appendix B attached shows the Capital Programme on a scheme by scheme basis.

22. As at the 30th June the Capital Programme is showing a favourable variance of £1.5m. The reasons for this are set out below the table

Table 4 – Capital Programme as at 30th June 2011

Capital Scheme	Budget 2011/12	Spend as at 30th June 2011	% Spend Against Budget	Spend projection for 11/12	Variance to Budget 11/12
General Fund					
City Development	1,063,682	46,220	4%	1,063,682	0
Environmental Development	724,449	64,870	9%	724,449	0
Communities and housing	2,937,269	498,662	17%	2,941,256	3,987
Corporate Assets	6,026,940	865,138	14%	5,991,842	(35,098)
Customer Services	179,000	0	0%	179,000	0
City Leisure	11,375,886	300,088	3%	9,766,483	(800,000)
City Works	1,171,400	175,724	15%	783,400	0
Business Transformation	300,000	0	0%	300,000	0
GF Total	23,778,626	1,950,702	8%	21,750,112	(831,111)
HRA					
Adaptations for disabled	900,000	382,443	0%	810,000	(90,000)
Major Voids	900,000	175,162	19%	810,000	(90,000)
Kitchens & Bathrooms	3,500,000	737,073	21%	3,250,000	(250,000)
Heating	1,000,000	385,649	0%	920,000	(80,000)
Windows	900,000	75,068	8%	810,000	(90,000)
Grantham House - Refurbishment	1,601,000	0	0%	1,601,000	0
Other	2,399,884	174,648	7%	2,258,884	(141,000)
Housing Revenue Account	11,200,884	1,930,043	17%	10,459,884	(741,000)
Grand Total	34,979,510	3,880,745	11%	32,209,996	(1,572,111)

23. **City Leisure is showing a £800k favourable variance compared to the 2011-12 approved capital programme.** This relates to a deletion of an item of spend of £800k on Play Barton which is funded externally. .

24. **The HRA capital programme is on track to deliver in year however a change to the accounting treatment of overhead costs is driving a £741k favourable variance.**

25. As a result of a change in accounting treatment approximately £741k of overheads will remain in the HRA revenue account. As a result the capital programme will be £741k under spent at the year end against the original budget although there will be less revenue contributions to compensate. Overall between capital and revenue the Housing Service will be in balance. The funding shortfall in the HRA revenue account will be met by a reduction in the contribution to the decent homes reserve at the end of the year.

26. Other than the above the HRA capital programme is on track to deliver as approved.

PERFORMANCE INFORMATION

27. There are a number of key performance indicators which when combined with budgetary performance information will give an overall picture of the financial health of the organisation. These indicators are as follows:

The Level of Debtors

Table 7 – General Fund Debtors as at 30th June 2011

30/06/2011	Sundry Debtors	Periodic Income & Service Charges	Housing Benefit Overpayments	Grand Total
31-90 Days	218,478	(44,467)	0	174,011
91-180 Days	(109,692)	60,653	0	(49,039)
< 1 Year	82,141	77,951	513,612	673,704
< 2 Years	67,016	7,041	1,112,666	1,186,723
< 3 Years	38,457	(15,744)	688,957	711,670
< 4 Years	32,212	192	506,174	538,578
< 5 Years	5,339	(486)	304,482	309,335
< 6 Years	15,988	346	212,260	228,594
Over 6 Years	8,037	2,614	636,254	646,905
Total	357,977	88,100	3,974,405	4,420,482

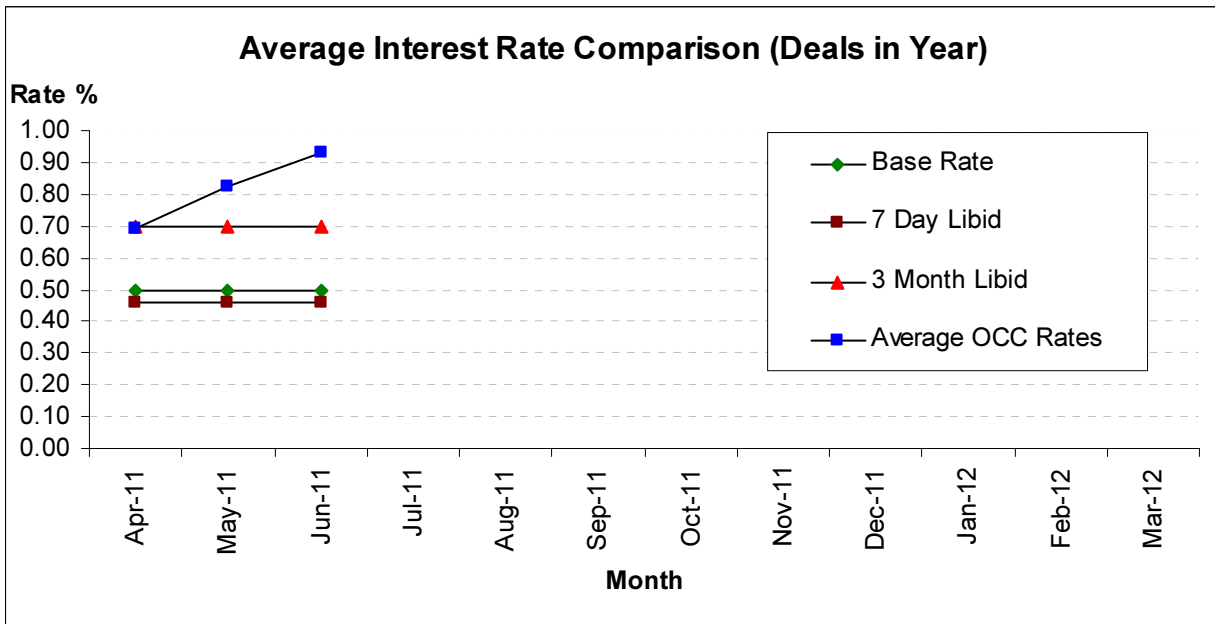
28. The Council's total General Fund debt i.e. debt aged 31 days or more, stands at £4.4m.

29. As at 31st May 2011 57% of debt is aged 3 years or over. Housing Benefit overpayments represent 96% of the debt aged over 3 years.

30. Whilst Housing Benefit overpayments are actively managed, recovery is slow, and adequate bad debt provisions are maintained against this debt.

31. As at the end of June £2.3m of Housing Benefit overpayments have recovery arrangements in place

Investment Performance

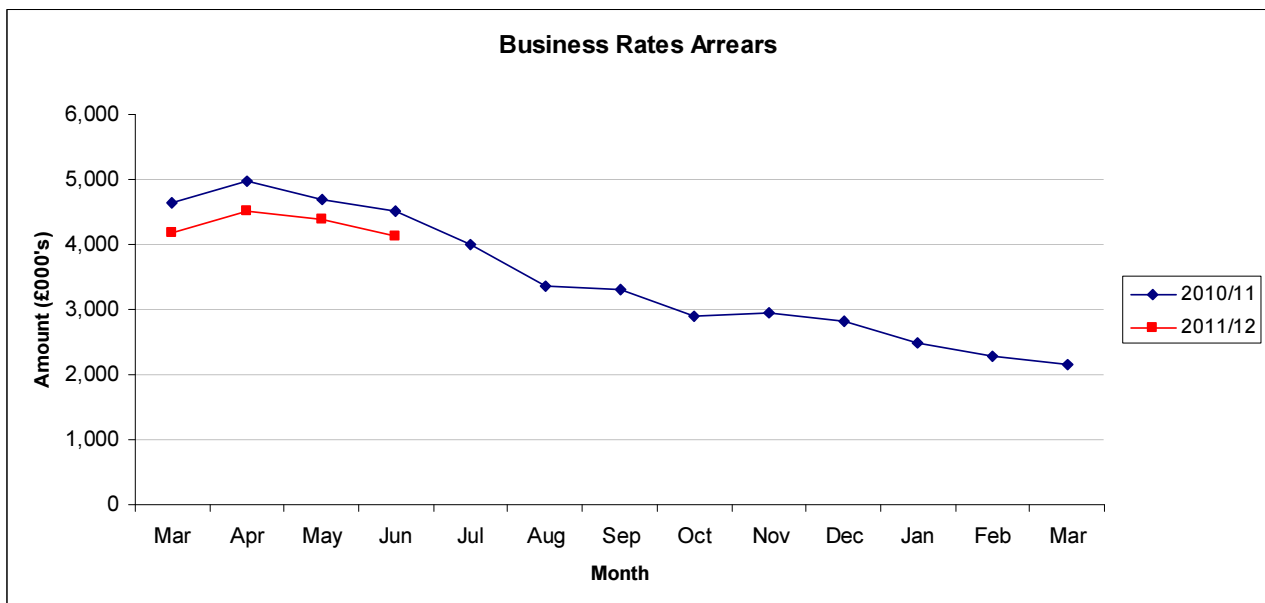


32. The cumulative average rate of return on investments for quarter 1 was 0.8257%. The cumulative return has increased by approximately 6.5 basis points from May, which was 0.7588%. This is largely due to realising the full month effect of the investment portfolio changes implemented in May 2011.

33. The uplift in return has been achieved through restructuring our short term investment portfolio; by utilising high interest rate notice bank accounts and ensuring that short term deposit interest rates achieve a higher return than our money market funds.

34. The year end outturn has been increased by £40k as a result.

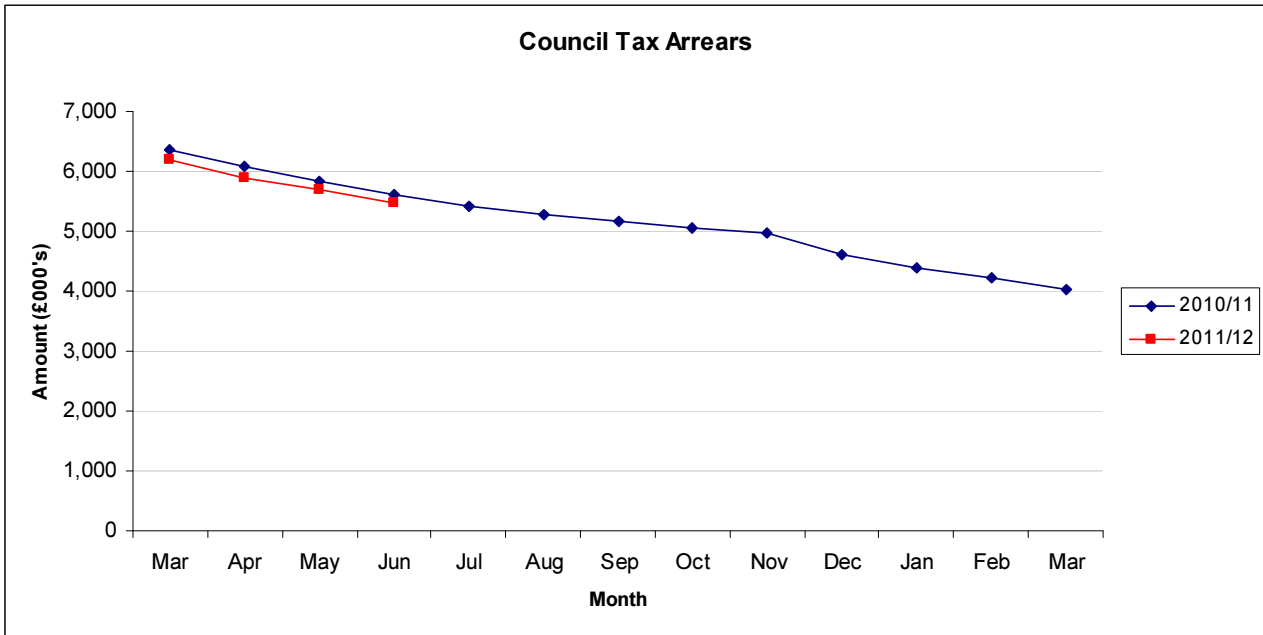
Business Rates



35. The value of arrears as at June 30th 2011 is in line with the March 31st level. During the period to date arrears have risen and then fallen again. This rise is driven

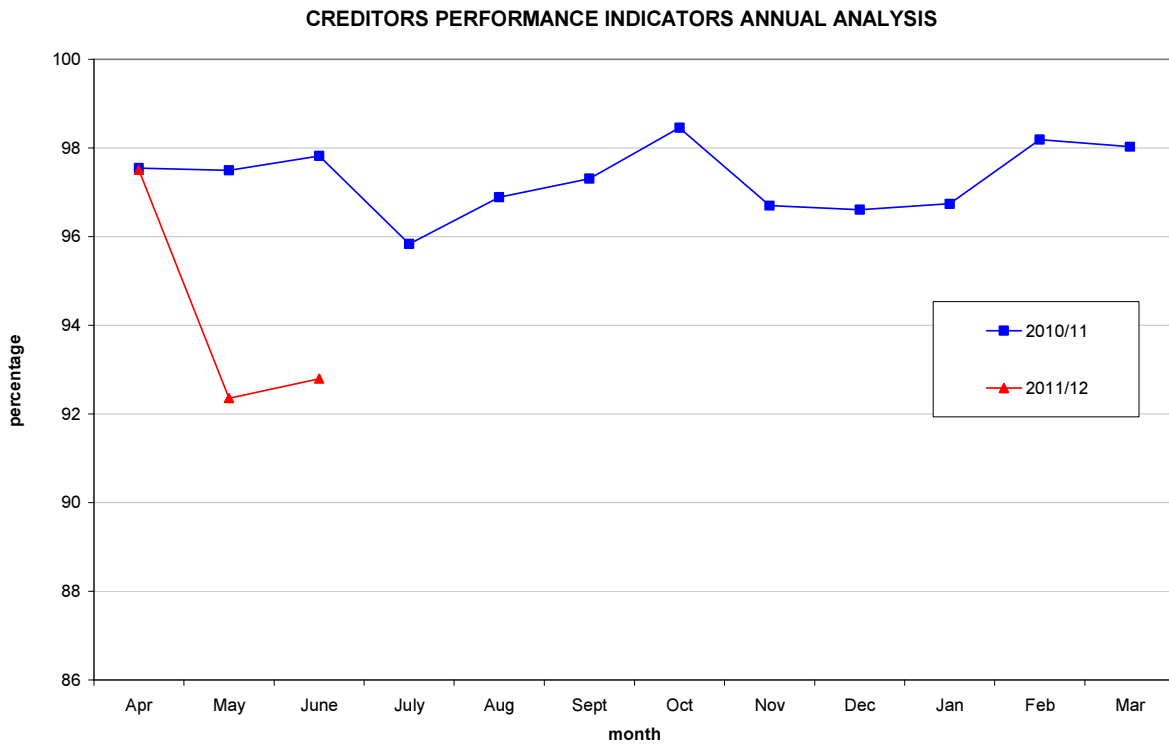
by an increase in backdated rate reviews. The same pattern occurred in 2010 (see graph above).

Council Tax Arrears Collection



36. Council Tax arrears have reduced by £600k in the period from 31st March 2011. Arrears are down 2.4% compared the same period last year.

Creditor Payment Times



37. During June 2011 creditor invoices paid on time stood at 92.8%. This is significantly below the target of 97%.

38. The Finance team have issued guidance to Services to reinforce the appropriate processes and procedures that need to be adhered to in order to address this issue and will continue to monitor on a regular basis.

<http://occweb/files/seealsodocs/92849/Purchase%20Orders%20and%20Invoice%20Processing%20Guidance.pdf>

The table below sets out the June 2011 and Year to Date results by Service area

Service Area	Total Invoices	Over 30 Days	% Over	% On time	Total Invoices YTD	Over 30 Days YTD	%Over YTD	%On time YTD
S24 HRA	689	74	10.96%	89.04%	2281	162	7.38%	92.62%
S23 Direct Services	456	15	3.29%	96.71%	1851	41	2.22%	97.78%
S11 City Development	203	7	3.47%	96.53%	631	40	6.35%	93.65%
S13 Community Housing & Development	203	11	5.50%	94.50%	590	36	6.17%	93.83%
S22 City Leisure	122	4	3.54%	96.46%	416	20	5.03%	94.97%
S14 Corporate Assets	110	20	18.18%	81.82%	535	38	7.17%	92.83%
S21 Customer Services	66	4	6.06%	93.94%	178	17	9.55%	90.45%
S32 Finance	58	6	11.11%	88.89%	187	20	10.93%	89.07%
S12 Environmental Development	41	2	4.88%	95.12%	178	5	2.94%	97.06%
S33 People & Equality	41	1	2.44%	97.56%	155	15	9.74%	90.26%
S31 ICT	36	1	2.86%	97.14%	89	4	4.55%	95.45%
S34 Law & Governance	22	0	0.00%	100.00%	83	0	0.00%	100.00%
S01 Policy, Culture & Communications	5	0	0.00%	100.00%	26	1	3.85%	96.15%
S02 Executive Support	2	1	50.00%	50.00%	15	1	6.67%	93.33%
S03 Business Transformation	1	0	0.00%	100.00%	1	0	0.00%	100.00%
	2055	146	7.20%	92.80%	7216	400	3.24%	96.76%

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11/12 Fees and Charges

Service Area	Description	RAG	11/12 Budgeted Saving £000s	11/12 Savings Delivered £000s	11/12 Projected Outturn £000s
City Development	Increase in pre-application income		(20.0)	(5.1)	(20.0)
City Development	Increase in Lawful Use applications		(10)	(1.5)	(10.0)
City Development	Increase in Discharge of Conditions applications		(10)	(1.5)	(10.0)
City Development	Charging for and trading of Conservation and Heritage expertise		(42)	(10.5)	(42.0)
Policy, Culture & Comms	Selling advertising space on the OCC website		(1)	(0.1)	(0.5)
Policy, Culture & Comms	Carfax Tower Annual fee increase		(1)	(0.3)	(1.1)
Policy, Culture & Comms	Income driven by increasing the utilisation of Town Hall space		(128)	(32.0)	(128.0)
Policy, Culture & Comms	Extra revenue generated by increased marketing activity		(5)	(1.3)	(5.0)
Housing and Communities	Area Based Grants/PVE		(59)	(14.7)	(59.0)
Business Transformation	Marketing and charging of services by the Business Improvement team		(10)	(2.5)	(10.0)
Environmental Development	New charge for pest control		(28)	(3.0)	(28.0)
Environmental Development	Income from specialised HMO enforcement services.		(33)		(32.5)
Environmental Development	Income from new agency services		(17)		(16.5)
Direct Services	Introduction of parking charges in parks		(59)		(59.0)
Direct Services	Increase in Off-street Parking Income		(165)		(165.0)
Direct Services	Charges for green waste		(149)		(149.0)
City Leisure	Commission Sports Development		(1)	(0.3)	(1.0)
Law & Governance	Income from Legal Hub		(25)	(7.2)	(25.0)
			(762)	(80)	(762)
	City Development		(82)	(18.6)	(82.0)
	Policy, Culture & Comms		(135)	(33.7)	(134.6)
	Business Transformation		(10)	(2.5)	(10.0)
	Environmental Development		(77)	(3.0)	(77.0)
	Direct Services		(373)		(373.0)
	Law & Governance		(25)	(7.2)	(25.0)
	Housing and Communities		(59)	(14.7)	(59.0)
	City Leisure		(1)	(0.3)	(1.0)
			(762)	(80)	(762)

11/12 Efficiencies

Service Area	Description	FTE Related	RAG	11/12	11/12	11/12
				Budgeted Saving £000s	Savings Delivered £000s	Projected Outturn £000s
City Development	Closure of Ramsay House reception	Yes		(12)		(12.0)
City Development	Reduction in staff handling customer phone calls			(19)	(4.8)	(19.0)
City Development	Mapping and Land Charges Technician retired	Yes		(40)	(10.0)	(15.0)
City Development	Management savings in Spatial Development	Yes		(52)		(52.0)
Policy, Culture & Comms	PCC Management restructure and reorganisation	Yes		(91)		(90.7)
Policy, Culture & Comms	Reduce Data Observation costs & Small Profile Budgets			(7)	(5.4)	(6.9)
Policy, Culture & Comms	Reduce photography costs across OCC by 66%			(3)	(4.8)	(3.0)
Policy, Culture & Comms	Reduction in Xmas lights Budget			(1)	(0.3)	(1.0)
Corporate Assets	Blue Boar Street Vacation RM & Repairs			(5)	(1.4)	(5.4)
Corporate Assets	Blue Boar Street Vacation Service Maintenance			(8)	(2.0)	(8.0)
Corporate Assets	Blue Boar Street Vacation Electricity			(18)		(18.0)
Corporate Assets	Blue Boar Street Vacation Gas			(6)		(6.0)
Corporate Assets	Blue Boar Street Vacation BR/CTax			(71)		(71.0)
Corporate Assets	Blue Boar Street Vacation Buildings Insurance			(1)		(1.2)
Corporate Assets	Museum - supplies & services			(7)		(7.0)
Corporate Assets	Parks Houses			(4)	(1.0)	(4.0)
Corporate Assets	Sports Centres - residual works			(14)		(14.0)
Corporate Assets	Countryside properties			(2)	(0.5)	(2.0)
Corporate Assets	23/25 Broad Street Additional revenue			(35)	(8.8)	(35.0)
Corporate Assets	Cleaning & Caretaking			(24)	(6.0)	(24.0)
Corporate Assets	Grade 8 posts in Support Services	Yes		(94)		(94.0)
Corporate Assets	Grade 6 post in Support Services	Yes		(27)		(27.0)
Housing and Communities	Supplies and services for Communities & Neighbourhoods Team.			(10)	(2.5)	(10.0)
Housing and Communities	Running costs of Community Centres and two sports facilities			(10)	(2.5)	(10.0)
Housing and Communities	Deletion of PA/ Administrator post.	Yes		(42)	(10.5)	(42.0)
Housing and Communities	Deletion of Supplies & Services Budget			(10)	(2.5)	(10.0)
Housing and Communities	Formation of a Social Enterprise Company			(15)	(3.8)	(15.0)
Housing and Communities	Agreement with Oxford University			(39)	(9.8)	(39.0)
Housing and Communities	Reduce S&S & Subsidy for Active Communities management			(8)	(2.0)	(8.0)
Housing and Communities	Increased income from external re charging			(30)	(7.5)	(30.0)
Housing and Communities	Restructuring of Admin and Support.	Yes		(18)	(4.5)	(18.0)
Housing and Communities	Council 2012 restructure	Yes		(84)	(21.0)	(84.0)
Housing and Communities	Trend in temporary accommodation use continues			(29)	(7.3)	(29.0)
Housing and Communities	Reduction in directly leased temporary accommodation			(262)	(26.2)	(262.0)
Housing and Communities	Line by Line review of Housing Need spend			(67)	(16.8)	(67.0)
Finance	Roll out of Direct Debits on Agresso			(50)	(4.2)	(50.0)
Finance	Reduction in IA programme back to 250 days			(20)	(5.0)	(20.0)
Finance	Eureka contract ended			(5)	(1.4)	(5.5)
Finance	Reduced external audit fees as Improve controls & risk profile			(8)	(1.9)	(7.5)
Finance	Reduced fees for Audit of grant claims			(4)	(0.9)	(3.6)
Finance	Reduce management overheads in investigations			(20)	(5.0)	(20.0)
Business Transformation	Further prompt payment savings			(20)	(5.0)	(20.0)
Business Transformation	Procurement work plan for 2011.			(20)	(5.0)	(20.0)
Business Transformation	Introduce a nominal charge for supplier training			(1)	(0.3)	(1.0)
Business Transformation	Saving in printer and print costs			(35)	(8.8)	(35.0)
Business Transformation	Online tendering and quoting system			(5)	(0.8)	(5.0)
ICT	Disaster recovery budget			(15)	(3.8)	(15.0)
ICT	Recover the cost contractual inflation			(16)	(2.7)	(16.0)
ICT	Leasing budget is not required			(60)	(15.0)	(60.0)
ICT	Reduce Bailey maintenance contracts for the centre, OCH and CW			(4)	(1.0)	(4.0)
ICT	Reduction in telephone bill			(2)	(0.5)	(2.0)
Business Transformation	Review supply arrangements for contracted services			(2)	(0.5)	(2.0)
ICT	Cancel NTL Line to Leisure centres			(3)	(0.8)	(3.0)
Environmental Development	Restructure to provide smaller/ flexible service	Yes		(9)		(9.3)

11/12 Efficiencies

Service Area	Description	FTE Related	RAG	11/12	11/12	11/12
				Budgeted Saving £000s	Savings Delivered £000s	Projected Outturn £000s
Environmental Development	Saving on corporate energy & utilities management.			(4)	(1.0)	(4.0)
Environmental Development	New work on environmental assessments from CD			(10)	(2.4)	(9.5)
Environmental Development	Absorb Environmental Services Manager duties			(24)	(6.0)	(23.9)
Environmental Development	New Commercial Safety team			(63)	(15.8)	(63.0)
Direct Services	Car parks and Shopmobility restructure.			(35)	(5.8)	(35.0)
Direct Services	Fundamental Service Review			(570)	(570.0)	(570.0)
Direct Services	Annualized hours for the Grounds Maintenance Staff			(50)	(12.5)	(50.0)
Direct Services	Reduction in Oxford Waste Partnership Programme			(25)		(25.0)
Customer Services	Phase 1 restructure - Customer Services Manager post.			5	5.3	5.3
Customer Services	Phase 1 restructure - Head of Service support			31	31.1	31.1
Customer Services	Efficiencies from combined contact centre			(85)	(21.3)	(85.4)
Customer Services	Estimate of reduction to postage and mailing costs			(13)		(12.5)
Customer Services	Efficiency from a Fundamental Service review			(115)	(28.9)	(115.4)
Customer Services	Estimate of reduction to postage and mailing costs			(13)		(12.5)
Customer Services	Phase One restructure - deletion of P&I Manager post			(52)	(13.0)	(52.0)
City Leisure	Reduction in contract fee paid to Fusion			(192)	(48.0)	(192.2)
City Leisure	Reduced commissioning of the OSP			(3)	(0.5)	(3.0)
City Leisure	Reduce Cemeteries management costs			(15)	(3.8)	(15.0)
City Leisure	Redesign and reallocation of parks work			(90)	(22.5)	(90.0)
City Leisure	Grounds maintenance service review.			(50)	(8.3)	(50.0)
City Leisure	Delete vacant Ranger post	Yes		(34)	(8.5)	(34.0)
City Leisure	Delete vacant Park supervisor post	Yes		(40)	(10.0)	(40.0)
City Leisure	Reduction in nursery costs			(24)	(4.0)	(24.0)
City Leisure	Oxford in Bloom Remove budget			(3)	(0.8)	(3.0)
City Leisure	Reduce use of skips.			(20)	(5.0)	(20.0)
City Leisure	Reduced utilities			(10)	(2.5)	(10.0)
City Leisure	Supplies and services budget no longer needed			(30)	(7.5)	(30.0)
People & Equalities	Centralisation HR			(60)	(15.0)	(60.0)
People & Equalities	HR Restructure			(60)	(15.0)	(60.0)
People & Equalities	Reduced provision of Sitesafe training			(30)	(7.5)	(30.0)
People & Equalities	Revise pensionable status of variable pay elements			(80)	(20.0)	(80.0)
People & Equalities	Revise mileage rates down to HMRC rates			(30)	(7.5)	(30.0)
Law & Governance	Electronic committee management system. Staff related	yes		(37)	(37.0)	(37.0)
Law & Governance	Election Services On line registration			(1)	(0.3)	(1.0)
Law & Governance	Reduction in mileage allowance for members			(1)	(0.3)	(1.0)
					(3,296)	(1,051.03)
						(3,271.09)
CREG	City Development			(123)	(14.8)	(123.0)
CHEX	Policy, Culture & Comms			(102)	(10.5)	(101.6)
CREG	Corporate Assets			(317)	(19.6)	(316.6)
CREG	Housing and Communities			(624)	(116.7)	(624.0)
CSUP	Finance			(107)	(18.3)	(106.6)
CSUP	Business Transformation			(83)	(20.3)	(83.0)
CSUP	ICT			(100)	(23.7)	(100.0)
CSEER	Environmental Development			(110)	(25.1)	(109.7)
CSEER	Direct Services			(680)	(588.3)	(680.0)
CSEER	Customer Services			(241)	(26.8)	(241.4)
CSEER	City Leisure			(511)	(121.4)	(511.2)
CHEX	People & Equalities			(260)	(65.0)	(260.0)
CHEX	Law & Governance			(39)	(0.5)	(39.0)
					(3,296)	(1,051.03)
						(3,296.09)

11/12 Service Reductions

Service Area	Description	FTE Related	RAG	11/12	11/12	11/12
				Budgeted Saving	Savings Delivered	Projected Outturn
				£000s	£000s	£000s
City Development	Replace tourist information service			(160)	(160)	(160)
City Development	Reduce DMO grant funding by 10% p.a.			160	160	160
City Development	E consultation			(20)	(5)	(20)
City Development	Deletion of Senior Planner post	Yes		(37)	(37)	(37)
City Development	Reduce 1 post in Technical Services	Yes		(25)	(25)	(25)
City Development	Reduce Subscription to TV ecological Records Centre			(2)	(1)	(2)
City Development	Cancel subscription to OEP, TV energy, E/W Rail			(10)	(3)	(10)
City Development	Deletion of vacant regeneration post	Yes		(42)	(42)	(42)
Policy, Culture & Comms	Reduce Your Oxford publication			(14)	(13)	(14)
Policy, Culture & Comms	Restructure of Policy and Comms Team	Yes		(51)	(46)	(51)
Corporate Assets	14 Osney Lane Reduce RM budget			(1)	(0)	(1)
Corporate Assets	Atrium licence fee			(2)	(0)	(2)
Corporate Assets	Reduce Cuttleslowe Park Office Budgets			(1)	(0)	(1)
Corporate Assets	Travellers & Gypsies Contingency budget			(5)	(1)	(5)
Community Housing & Development	Removal of revenue funding.			(103)	(26)	(103)
Housing and Communities	Delete post as no longer receives external funding	Yes		(27)	(27)	(27)
Housing and Communities	Loss of External funding end of 10/11 - Sure Start			20	20	20
Housing and Communities	Grants reductions across selected areas			(120)	(30)	(120)
Housing and Communities	Restructure of the Street Wardens Service			(27)	(7)	(27)
Housing and Communities	Removal of funding for PCSOs	Yes		(62)	(15)	(62)
Housing and Communities	Cessation of Shelter contract for independent housing advice & Reinstate independent Housing advice			(13)	(3)	(13)
Housing and Communities	Closure of Elderly Services			(117)	(117)	(117)
Housing and Communities	Redevelopment of Northway Community Centre					
Finance	No Comprehensive Area Assessment			(9)	(2)	(9)
Finance	Reduction in Audit Commission Fees			(40)	(6)	(40)
Environmental Development	Energy advice and Fuel poverty programme			(84)	(59)	(59)
Environmental Development	Terminate discretionary target hardening programme			(26)	(26)	(26)
City Leisure	Reduce Free Swim payment to Fusion			(113)	(113)	(113)
City Leisure	No Free swimming income from central gov			100	100	100
City Leisure	Implementation of Limited Free Swim Service			27	27	27
City Leisure	Dispose of mini bus			(11)		(11)
City Leisure	Introduce long grass areas within cemeteries			(10)	(10)	(10)
City Leisure	Stop free works on land			(5)	(5)	(5)
People & Equalities	Stop Access and Disability role in City Development			(35)	(35)	(35)
People & Equalities	Reinstate part time access officer			17	17	17
Law & Governance	Area committees and SDCC being abolished	Yes		(22)		(12)
Law & Governance	Venue hire changes to area committees			(5)	(5)	(5)
Law & Governance	Loss of Trainee post within the elections office	Yes		(21)		(21)
Law & Governance	Loss of Trainee post - diminution of service	Yes		(25)		(25)
Law & Governance	Deletion of scrutiny research budget			(14)	(14)	(14)
Law & Governance	Reduction in payment of Special Responsibility Allowances for Members			(12)	(12)	(12)
Law & Governance	Reduction in cost of producing agendas and minutes			(13)		(13)
				(958)	(522)	(923)
City Development				(136)	(112)	(136)
Policy, Culture & Comms				(65)	(59)	(65)
Corporate Assets				(9)	(2)	(9)
Housing and Communities				(449)	(206)	(449)
Finance				(49)	(9)	(49)
Environmental Development				(110)	(85)	(85)
City Leisure				(12)	(1)	(12)
People & Equalities				(18)	(18)	(18)
Law & Governance				(111)	(53)	(101)

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To: City Executive Board
Date: 21 September 2011
Report of: Head of Business Improvement
Title of Report: April to July 2011/12 - Corporate Plan Performance Report

Summary and Recommendations

Purpose of report: To provide the City Executive Board with an update of the Council's progress against the twenty Corporate Plan targets for the period April to July 11.

Key decision? No

Executive lead member: Cllr Bob Price

Policy Framework: Corporate Plan 2011-15: Corporate Priority - An efficient and effective Council.

Recommendation(s): The City Executive Board is asked to note:

1. The progress being made in the first four months of 2011 against the Corporate Plan targets set for 2011/12.

1. Introduction

- 1.1 This report provides the City Executive Board with an update on the Corporate Plan performance targets for the first four months of 2011/12. The first quarter report is able to be produced to provide an update covering four months (April to July) as reporting can be produced in a more timely way as a result of using CorVu.

2. Progress to date

- 2.1 The Council has twenty Corporate Plan targets, four targets for each of the five corporate priorities.
- 2.2 As at July 2011 the overall summary position against each of the corporate priorities is as follows:

Priority	Red	Amber	Green
A vibrant and sustainable economy	0	0	4
Meeting housing needs	1	0	3
Strong and active communities	0	0	4
Cleaner, greener Oxford	0	0	4
An efficient and effective Council	0	1	3

- 2.3 The detailed Appendix to this report provides members with an explanation in relation to each performance target.
- 2.4 City Executive Board members will be able to view this report via CorVu at the meeting.

3. Financial implications

- 3.1 The Council's corporate indicators are based on a number of qualitative and quantitative indicators. Some of the indicators will have more of a direct financial impact than others. Those worthy of note would include:
- **NI 156:** The number of households in Oxford in temporary accommodation - This indicator shows a rising trend in the number of homelessness cases which if it continues will have an adverse effect on the Council's financial situation. It is noted that there is a major homelessness review over the coming months which will hopefully mitigate this.
 - **NI 191:** The Kg of waste sent to landfill per household – This indicator shows a decrease in the kilograms of waste sent to landfill, which will have a positive effect on the budget through reduced transport charges to landfill and increased income from recycling.
 - **FN 001:** The cost per resident for delivering Council services – The cost per resident indicator is based on the latest forecast outturn position. At the end of June this is forecast to be around £68k under budget.
 - **FN 002:** The delivery of the Council's efficiency savings – A report elsewhere on the committee agenda highlights a small reduction in the £3.296m efficiency savings which are forecast to be achieved. To the extent that some of these savings are not covered by contingencies this will have an adverse effect on the budget although at this stage this is considered to be minimal.

4. Legal Implications

- 4.1 There are no legal implications in this report.

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Service Area/Department: Business Improvement

Tel: 01865 252218:

Version 1

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Performance Summary for Oxford

Green = target met
Amber = within tolerance
Red = outside tolerance

Strategic Performance Summary

Jul-2011

Trends compare relative performance with
Prd: previous month
Prev Year End: previous March
Year on Year: the same period from the previous year

Objective	Measure		Owner	Result 2010/11	Latest Data		Year End Target 2011/12	Trends			Comments
	Ref	Description			Target	Result		Prd	Prev Year End	Year on Year	
Vibrant and Sustainable Economy											
Vibrant and Sustainable Economy	BI001	BI001: The % of Council spend with local business	Jane Lubbock	34.00%	40.00%	41.00%	40.00%	↑	↑	↑	This is based on 09/10 spend analysis undertaken and verified by Spikes Cavell. Our previous reported figures were on an earlier year's analysis. The procurement team continue to proactively encourage local businesses to apply for our work.
	BI002	BI002: The number of apprenticeships, jobs and training created through Council investment projects and other activities.	Jane Lubbock	Not Recorded	0.00 Number	9.00 Number	47.00 Number	→	↑	↑	The current number of apprentices are all new apprentices with Oxford City Council. Wilmott Dixon will employ additional new apprentices once the work on the new competition pool commences.
	CD001	CD001: The Number of visitors to the Oxford TIC	Michael Crofton -Briggs	531,000 visits	209,231 visits	228,846 visits	500,000 visits	↑	↑	↑	Number of visitors has increased by 6.86% on July last year.
	CD002	CD002: The % of top 20 employers who agree that the Council is business friendly	Michael Crofton -Briggs	Not Recorded	0.00%	0.00%	75.00%	↓	↑	↑	As agreed earlier this is an annual target. The proposal is to survey the top 20 employers in Jan 12 to provide a figure before the end of the financial year.
Meeting Housing Need											
Meeting Housing Need	CA001	CA001: Delivering a programme of new homes at Barton	Steve Sprason	Not Recorded	2.00 Milestone	2.00 Milestone	3.00 Milestone	→	↑	↑	Slightly behind target , LLP being set up . Final negotiations being concluded AAP on target .

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Performance Summary for Oxford

Green = target met
 Amber = within tolerance
 Red = outside tolerance

Strategic Performance Summary

Jul-2011

Trends compare relative performance with
 Prd: previous month
 Prev Year End: previous March
 Year on Year: the same period from the previous year

Objective	Measure		Owner	Result 2010/11	Latest Data		Year End Target 2011/12	Trends			Comments
	Ref	Description			Target	Result		Prd	Prev Year End	Year on Year	
Meeting Housing Need											
48	ED001	ED001: The number of individual HMO's subject to agreed licence provisions	John Copley	Not Recorded	610.00 Number	610.00 Number	1100.00 Number	↓	↑	↑	424 applications have been received since March. Of the 240 with valid applications, 161 have been inspected and licences will be issued shortly. Progress in the first full year will depend on the level of co-operation from landlords and agents. Enforcement activity is currently high (e.g. an Interim Management Order has been used to take over an HMO) CMT has reduced the year-end target to 1100 and adjusted the profile to take account of the deferred start.
	HC001	HC001: The % of Council tenants satisfied with landlord services	Graham Stratford	Not Recorded	0.00%	0.00%	80.00%	→	↑	↑	This will be measured by a survey in quarter 4 2011/12 and will be reported at the end of the financial year.

Performance Summary for Oxford

Green = target met
 Amber = within tolerance
 Red = outside tolerance

Strategic Performance Summary

Jul-2011

Trends compare relative performance with
 Prd: previous month
 Prev Year End: previous March
 Year on Year: the same period from the previous year

Objective	Measure		Owner	Result 2010/11	Latest Data		Year End Target 2011/12	Trends			Comments
	Ref	Description			Target	Result		Prd	Prev Year End	Year on Year	
Meeting Housing Need											
49	NI 156	NI 156: The number of households in Oxford in temporary accommodation	Graham Stratford	156.00 Number	147.00 Number	163.00 Number	130.00 Number	↓	↓	↓	There has been a massive downturn in the availability of the private rented market to us, with many landlords no longer willing to take Housing Benefit clients, and with a very buoyant private rental market, with many households renting instead of joining the property ladder. There were 72 Home Choice new starts April to June 2010, and only 28 in the same period this year. We've also had slightly less permanent units of accommodation to let to, compared to 2010/11, with fewer new build units delivered so far this year for new lets. Homeless presentations and placements remain steady, with family exclusions and the ending of private tenancies remaining the main reasons for homelessness.
	Strong and Active Communities										
Strong and Active Communities	HC002	HC002: The number of young people attending our Holiday Activity Programme	Graham Stratford	1505.00 Number	200.00 Number	670.00 Number	1000.00 Number	↑	↓	↑	

Performance Summary for Oxford

Green = target met
Amber = within tolerance
Red = outside tolerance

Strategic Performance Summary

Jul-2011

Trends compare relative performance with
Prd: previous month
Prev Year End: previous March
Year on Year: the same period from the previous year

Objective	Measure		Owner	Result 2010/11	Latest Data		Year End Target 2011/12	Trends			Comments
	Ref	Description			Target	Result		Prd	Prev Year End	Year on Year	
Strong and Active Communities											
50	NI 8	NI 8 The % increase in the number of adults taking part in sport as measured by Sport England's Active People Survey	Ian Brooke	27.6%	27.0%	27.6%	28.0%				Interim Results were released on the 16th June 2011 based on the 14 months April 09 - April 11. On this result we are placed 9th in the country out of all English districts, which is a fantastic achievement to remain in the top ten with Winchester, Rushmoor, Cheltenham, West Oxford, Richmondshire, Uttlesford, Waverley and East Devon. In respect of the result for the County as a whole this was 26% and places us joint top with Gloucestershire in the country.
	PC001	PC001: The % of the population of Oxford volunteering	Peter McQuitty	26.60%	26.60%	26.60%	27.00%				Current data is based on the weighted findings from the Council's Talkback Citizen's panel carried out in December 2010. The next result will be reported in December 2011.
	PC018	PC018: Satisfaction with our neighbourhoods	Peter McQuitty	87.0%	87.0%	87.0%	88.0%				Current data is based on the weighted findings from the Council's Talkback Citizen's panel carried out in December 2010. The next result will be reported in December 2011.
Cleaner Greener Oxford											
Cleaner Greener Oxford	DS010	DS010: Satisfaction with our street cleaning	Graham Bourton	70.00%	0.00%	0.00%	65.00%				The next survey is taking place in October / November 2011 via talkback

Performance Summary for Oxford

Green = target met
Amber = within tolerance
Red = outside tolerance

Strategic Performance Summary

Jul-2011

Trends compare relative performance with
Prd: previous month
Prev Year End: previous March
Year on Year: the same period from the previous year

Objective	Measure		Owner	Result 2010/11	Latest Data		Year End Target 2011/12	Trends			Comments
	Ref	Description			Target	Result		Prd	Prev Year End	Year on Year	
Cleaner Greener Oxford											
51	ED002	ED002: The reduction in the city council's carbon footprint	John Copley	819.00 Number	50.00 Number	105.00 Number	300.00 Number	↓	↓	↑	Strong performance reflects the earlier than anticipated closure of Blue Boar Street offices.
	ED003	ED003: The number of enforcements carried out as a result of environmental offences	John Copley	1139.00 Number	220.00 Number	690.00 Number	660.00 Number	↓	↓	↑	Strong performance reflects enforcement work in East Oxford around waste and recycling as part of the Cleaner Greener Oxford programme.
	NI 191	NI 191 The Kg of waste sent to landfill per household	Graham Bourton	437.62 Kgs	156.00 Kgs	140.99 Kgs	464.00 Kgs	↑	↓	↑	Performance remains within target. July's result is 35.78Kg
An Efficient and Effective Council											
An Efficient and Effective Council	CS001	CS001: The % of customers satisfied at their first point of contact across all access channels (web, telephone, face to face)	Helen Bishop	Not Recorded	0.00%	0.00%	90.00%	→	↑	↑	Measurement of this indicator will commence when the tracking software is implemented.
	FN001	FN001: The cost per resident for delivering Council services	Nigel Kennedy	Not Recorded	171.50 Number	172.70 Number	171.50 Number	↓	↑	↑	June outturn showed an adverse variance to budget of £186k.
	FN002	FN002: The delivery of the Council's efficiency savings	Nigel Kennedy	Not Recorded	1015000.00 Number	1015000.00 Number	3296000.00 Number	↓	↑	↑	As per July monitoring services are expected to deliver all but £5k of efficiency savings.

Performance Summary for Oxford

Green = target met
 Amber = within tolerance
 Red = outside tolerance

Strategic Performance Summary

Jul-2011

Trends compare relative performance with
 Prd: previous month
 Prev Year End: previous March
 Year on Year: the same period from the previous year

Objective	Measure		Owner	Result 2010/11	Latest Data		Year End Target 2011/12	Trends			Comments
	Ref	Description			Target	Result		Prd	Prev Year End	Year on Year	
An Efficient and Effective Council											
	PE001	PE001: Achievement and retention of IIP	Simon Howick	Not Recorded	1.00 Milestone	1.00 Milestone	1.00 Milestone				Oxford City Council successfully achieved IIP accreditation in June 2011.

To: City Executive Board
Date: 21 September 2011
Report of: Head of Finance
Title of Report: Risk Management Quarterly Reporting: Quarter 1 2011-12

Summary and Recommendations

Purpose of report: To provide a summary of the changes to the Corporate Risk Register (CRR) and Service Risk Registers (SRR) submitted as part of the Quarter 1 update.

Key decision No

Executive lead member: Councillor Ed Turner

Policy Framework: Efficient and Effective Council

Recommendation(s):

a) City Executive Board are asked to note that Risk registers are being regularly monitored, and actions to reduce risk are taking place.

Appendix B - Risk Evaluation matrix

Summary

1. This report represents the first quarter review of the Corporate Risk Register (CRR) and the Service Risk Register (SRR).
2. There are 8 Corporate Risk Register risks being reported this quarter. Two of these risks have a residual risk status of red (as determined under the Risk Management Strategy adopted on the 1st April 2010)
3. Following discussion with CMT there are no risks to be escalated from the service risk register.

Background

Monitoring Process

- 4 Since 31st May 2011 the Council has been using its performance management software CORVU , to monitor both service and corporate risks. Whilst the overall process to risk monitoring remains essentially the same the introduction of Corvu
 - Enables the monitoring of risks to be more streamlined and efficient
 - Enables automatic e-mail reminders to be sent to risk owners to remind of the need to update risks in their area
 - Enables the Risk Manager to track progress on risk updating
 - Provides a more efficient media with which CMT and Members can view risks

- 5 On 30th August CMT undertook its first 'paperless' review of corporate and Service Risks in order to provide an update to Members on the overall Corporate Risks currently effecting the authority. It is anticipated that the system will be used to update members in a similar fashion at their meeting of the 21st September 2011.

- 6 The Council's Risk Management Strategy requires that the Risk Management Group meets monthly and reports quarterly on its activities together with an updated Corporate Risk Register to the City Executive Board (CEB). The updates to the Corporate Risk Register are a consequence of the Corporate Management Teams review of both the current Corporate Risk Register and risks escalated by the Risk Management Group from Service Risk Registers.

Service Risk Registers

- 7 Service Risk Registers have been reviewed at the end of quarter 1 (30th June 2011) for all service areas. As part of the update the risk owners have been asked to review their current risks, review progress against action plans and to report on their status.

- 8 The action plans to deal with each risk are not published in detail in this report but actions are progressing as expected and there are no concerns to report to CEB.

- 9 CMT have reviewed all Service risks and have concluded that there are no risks in this quarter that need escalating to the Corporate Risk Register

Corporate Risk Register

- 10 The report focus is on risks which have a red status for residual and current risk status. The assessment of the risk score and consequently the overall risk is determined by a RAG status which is shown in Appendix A.

- **A red or high risk** is deemed to occur where the product score of the impact and probability is 12 or greater and the impact is 4 or greater.
- **An amber or medium risk** is deemed to occur where the product score of the impact and probability for is between 5 and 9
- **A green or low risk** is deemed to occur where the product score of the impact and probability for is deemed to be below 5

11 Three calculations are undertaken for each area of risk as follows :

- **Gross Risk** – The risk without any controls in place
- **Current Risk** – The risk with existing controls in place
- **Residual risk** – The risk with existing and further mitigating controls in place

12 CMT have reviewed these risk and at this stage consider that all new risks raised from Service Risk Registers should remain on the Corporate Risk Register

13 There are 8 risks on the CRR in Q1 2011/12. There are :

- 5 risks where the current risk is 12 or above
- 3 risks where the residual risk is 12 or above
- No risks transferred from the service risk registers for this quarter but

OTHER ISSUES RISK AND INSURANCE OFFICER

14 For the past 12 months the Councils Risk Manager has been on maternity leave. On 14th September this person will return to work, on 3 days per week. The role of the Risk Manager has changed significantly over this period and Heads of Service are required to take more of a proactive approach in Risk Management for their service. In addition, the Council has commenced using CORVU, its performance monitoring software to monitor risk across the council, updating the monitoring from its previous email and spreadsheet labour intensive system. This has produced a number of efficiencies and the role of the Risk Manager will change to more of an advisory rather than 'hands on' one. Other activities for the role will include :

- To oversee the councils insurance cover and review insurance claims procedures
- To attend and reinstate the Councils Risk Management Group
- To undertake periodic training on Risk Management for Council Officers
- To introduce e-learning courses for risk management

- To review risk management procedures and processes 'on the ground'
- To spread 'good practice' on risk management arising from ALARM and other authorities

INSURANCE

- 15 One mitigation of risk is insurance. The Council has standard insurance policies with excesses for different policies ranging from zero to £100,000. Claims above these excesses are recharged by the insurance company back to the Council and charged to the Councils Insurance Fund, which as at 31st March 2011 stood at £1,373,000, £146,000 having been charged to the fund in 2010/11. The fund is reviewed periodically by actuaries having regard to past and potential insurance claims. The last time the fund was reviewed was 2005 and plans are currently in place to undertake the review once again using actuaries from the Councils brokers Jardine Lloyd Thompson
- 16 For historical reasons the Council has not previously insured for terrorism but has reviewed this policy in the light of recent riots across England. As a result the Council is looking to provide cover on its Commercial and Industrial Properties and General Properties. Where the cover is in respect of council properties that are leased it will be possible to recover the cost of insurance for such risk from the tenant and therefore the net cost to the council, will be reduced to around £20,000, which will be an ongoing budget pressure. Going forward it may be possible to mitigate this further as there is an active insurance market specifically for this type of cover and officers will be pursuing this option.

DATA SECURITY

- 17 Following the completion of an internal audit report on data loss prevention by Price Waterhouse Cooper LLP (PWC) in March 2011 and a subsequent internal report prepared by the interim FM Manager at Oxford City Council (OCC) in May 2011, EC Harris (the consultants) were appointed to lead a review of the physical security arrangements at St. Aldates Chambers (SAC) and The Town Hall (TH).
- 18 The report prepared by PWC identified a number of areas where some level of improvement was considered necessary, which can be categorised as follows:
- Management of paper based information
 - Physical security
 - Contact centre workstations
 - Information security training and awareness
 - Web based e-mail
 - Access to USB devices
 - Back up tapes

- Protective marking
- User account validation review
- Other general issues covering physical, procedural and training issues

19 A subsequent report to Corporate Management Team in June 2011, concluded that Corporate Assets should be responsible for progressing the following accepted recommendations:

- Access control; the proximity remit & card reader option should be sought and a centralised computer system to eliminate leavers should be considered;
- Perimeter entry controls;
- Additional intruder detection system;
- CCTV (for protection, rather than prosecuting reasons)

In addition a recommendation was also made to ensure visitors sign in, wear a visitors badge (detailing name, reason for visit and the date) and are escorted to and from reception.

Works to the Town Hall totalling around £100k have subsequently been commissioned and are currently in progress

Financial Implications

20 There are no financial implications relevant to this report,

Legal Implications

21 There are no legal implications relevant to this report.

Name and contact details of author:-

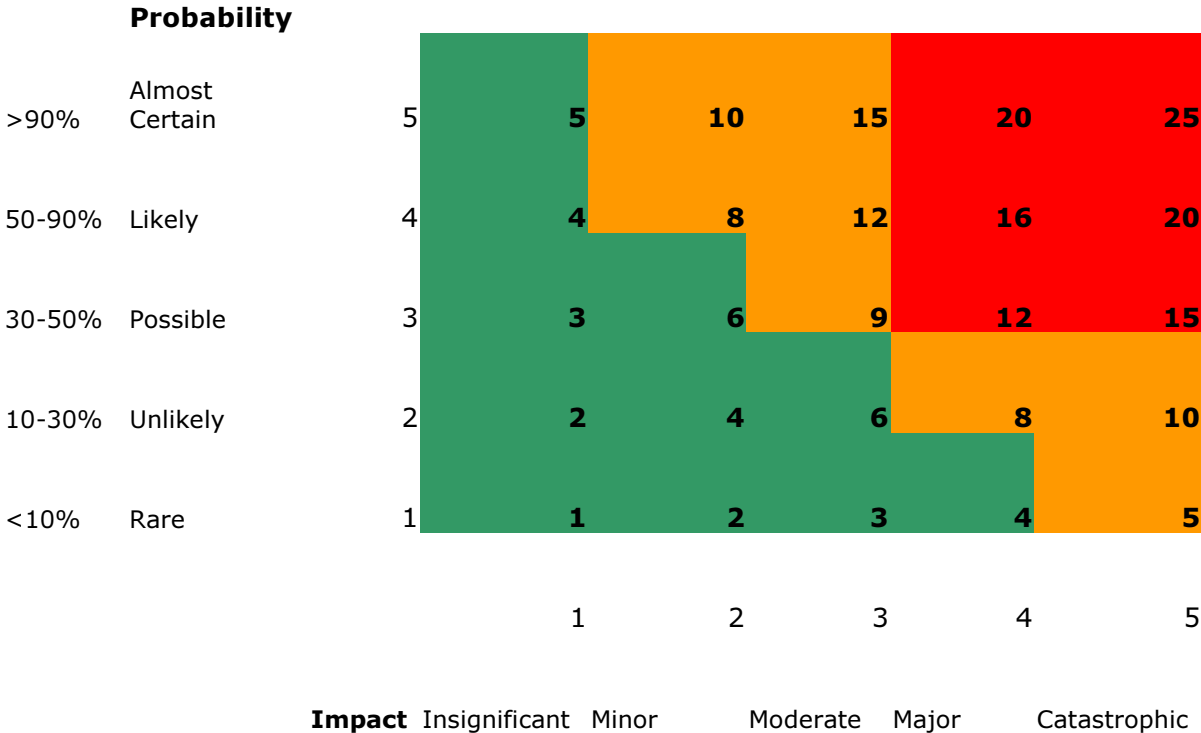
Name: Nigel Kennedy
Job title: Head of Finance
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Tel: 01865 252807 e-mail: nkennedy@oxford.gov.uk

List of background papers:

Version number

APPENDIX A

RISK MATRIX



Corporate Risk Register Summary

(Oxford)

As at: Jul-2011

RAG Rating:

Red- the current total score is 12 or greater and the impact is 4 or greater

Amber- the current total score is greater than 6 or 11 (or equal to 12 but with an impact of less than 4)

Green- the current score is 6 or under

Ref	Risk			Current Status	Score		Comments	Controls		
	Description	Category	Owner		Current	Residual		Description	Owner	Progress
CRR-004 59	People and the council are not developed sufficiently to make risk based decisions, carry out options appraisals. Decision making can be poor. Innovation is not encouraged, low risk appetite.	Delivery of key projects = ability to deliver cross cutting projects	Jacqui Yates	Probability: Possible (3) Impact: Minor (2)	6	6		CMT act as mentors within boards to encourage innovation and a culture where decisions are taken based on a robust options appraisal	CMT	65%
								Develop clear roles, responsibilities and job descriptions/expectations for managers, heads of, directors	Simon Howick	70%
								Development of a business partner model to project management using centre of knowledge within the Project Management office	Jane Lubbock	100%
								Development of corporate approach to project management via a corporate project management office.	Jane Lubbock	100%
								Development of options appraisal methodology for capital projects	Steve Sprason	100%

Current Risk Score

This is the risk score at the time that the risk is reviewed. When the risk is first identified it will be the same as the gross risk score. The current risk score is tracked to ensure that progress is being made to manage the risk and reduce the Council's exposure.

Residual Risk Score

This is the risk score after mitigating actions have taken place. The residual risk score shows how effective your action plans are at managing the risk.

Corporate Risk Register Summary

(Oxford)

As at: Jul-2011

RAG Rating:

Red- the current total score is 12 or greater and the impact is 4 or greater

Amber- the current total score is greater than 6 or 11 (or equal to 12 but with an impact of less than 4)

Green- the current score is 6 or under

Ref	Risk			Current Status	Score		Comments	Controls		
	Description	Category	Owner		Current	Residual		Description	Owner	Progress
CRR-005	Accounts qualified	Financial Reporting	Jacqui Yates	Probability: Possible (3) Impact: Major (4)	12	10		Ensure reconciliations are undertaken on a regular basis	Nigel Kennedy	80%
								Ensure savings are monitoring and adverse variances are acted upon	Nigel Kennedy	80%
								Identify issues within previous years audits and resolve them	Nigel Kennedy	100%
								Improve transparency of financial reporting and quality of information to CMT and Members	Nigel Kennedy	80%
CRR-006	Ability of the council to manage large contracts and to obtain best value from those contracts	Supplier Management	Jacqui Yates	Probability: Unlikely (2) Impact: Moderate (3)	6	3		Develop the procurement team as a centre of excellence for relationship management.	Jane Lubbock	100%
								Development and approval of procurement strategy. Ensure consistent approach towards supplier management across the organisation.	Jane Lubbock	100%

Current Risk Score

This is the risk score at the time that the risk is reviewed. When the risk is first identified it will be the same as the gross risk score. The current risk score is tracked to ensure that progress is being made to manage the risk and reduce the Council's exposure.

Residual Risk Score

This is the risk score after mitigating actions have taken place. The residual risk score shows how effective your action plans are at managing the risk.

Corporate Risk Register Summary

(Oxford)

As at: Jul-2011

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Amber- the current total score is greater than 6 or 11 (or equal to 12 but with an impact of less than 4)

Green- the current score is 6 or under

Ref	Risk			Current Status	Score		Comments	Controls		
	Description	Category	Owner		Current	Residual		Description	Owner	Progress
G1								Implement a mentoring/work shadowing programme where expertise can be shared with new contract managers.	Jane Lubbock	50%
								Implement standard contract documentation and approach (based on 4Ps approach to contract management)	Jane Lubbock	100%
CRR-007	Existence of operational risks (relating to internal as well as public concerns - property not vehicle)	Health & Safety	Dave Edwards	Probability: Likely (4) Impact: Moderate (3)	12	6		Create 'one view' of all corporate assets (issues, status of building, budget, work required, timescales). 'One view' being everything documented in consistent and understandable format which can be shared across organisational boundaries.	Steve Sprason	50%
								Develop a corporate approach towards health and safety	Steve Sprason	100%

Current Risk Score

This is the risk score at the time that the risk is reviewed. When the risk is first identified it will be the same as the gross risk score. The current risk score is tracked to ensure that progress is being made to manage the risk and reduce the Council's exposure.

Residual Risk Score

This is the risk score after mitigating actions have taken place. The residual risk score shows how effective your action plans are at managing the risk.

Corporate Risk Register Summary

(Oxford)

As at: Jul-2011

RAG Rating:

Red- the current total score is 12 or greater and the impact is 4 or greater

Amber- the current total score is greater than 6 or 11 (or equal to 12 but with an impact of less than 4)

Green- the current score is 6 or under

Ref	Risk			Current Status	Score		Comments	Controls		
	Description	Category	Owner		Current	Residual		Description	Owner	Progress
								Establish Corporate Asset Management Group to create a joined up approach towards management of Corporate Assets	Steve Sprason	50%
CRR-012	Inability to achieve savings in budget	Failure to achieve budget reductions over four year period	Jacqui Yates	Probability: Possible (3) Impact: Moderate (3)	9	9		Detailed monitoring, early intervention	Nigel Kennedy	50%
CRR-013	Changes in housing benefit and universal housing benefit increase homelessness	Impact on homelessness of changes in Housing Benefit	Dave Edwards	Probability: Possible (3) Impact: Major (4)	12	12		Monitoring and intervention, ensure takeup of benefits	Helen Bishop	50%
CRR-014	That the self financing regime is difficult to administer and the 30 year cashflow is not favourable to the council	Management of HRA reform and self-financing	Jacqui Yates	Probability: Likely (4) Impact: Major (4)	16	12		Establish Board, engage consultants, agree debt profile, write asset management plan and business plan	Graham Stratford	10%

Current Risk Score

This is the risk score at the time that the risk is reviewed. When the risk is first identified it will be the same as the gross risk score. The current risk score is tracked to ensure that progress is being made to manage the risk and reduce the Council's exposure.

Residual Risk Score

This is the risk score after mitigating actions have taken place. The residual risk score shows how effective your action plans are at managing the risk.

Corporate Risk Register Summary

(Oxford)

As at: Jul-2011

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Red- the current total score is 12 or greater and the impact is 4 or greater

Amber- the current total score is greater than 6 or 11 (or equal to 12 but with an impact of less than 4)

Green- the current score is 6 or under

Ref	Risk			Current Status	Score		Comments	Controls		
	Description	Category	Owner		Current	Residual		Description	Owner	Progress
CRR-017	The County Council and other public sector bodies are cutting their services due to the CSR cuts and this may have an impact on the services that we provide	Impact of other public sector bodies cutting their services	Peter Sloman	No Controls Assigned Probability: Possible (3) Impact: Major (4)	12	12				

63

Current Risk Score

This is the risk score at the time that the risk is reviewed. When the risk is first identified it will be the same as the gross risk score. The current risk score is tracked to ensure that progress is being made to manage the risk and reduce the Council's exposure.

Residual Risk Score

This is the risk score after mitigating actions have taken place. The residual risk score shows how effective your action plans are at managing the risk.

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To: City Executive Board
Date: 21 September 2011
Report of: Head of City Development
Title of Report: Oxford Local Development Scheme 2011-14

www.oxford.gov.uk



Summary and Recommendations

Purpose of Report: To approve a three-year programme for the preparation of various planning documents that will form part of the City Council's Local Development Framework

Key decision? No

Executive lead member: Councillors Ed Turner and Colin Cook

Policy Framework: The preparation of a Local Development Scheme is a statutory requirement. The programme of planning policy documents set out in this Local Development Scheme will help to deliver many of the objectives of Oxford City Council's Corporate Plan, the Regeneration Framework, and the Oxford Sustainable Community Strategy.

Recommendation(s): The City Executive Board is asked to:

1. Approve the Oxford Local Development Scheme 2011-14 for submission to the Secretary of State;
2. Agree that the Local Development Scheme 2011-14 will take effect four weeks after submission unless the Secretary of State intervenes and requests more time or more work to be done; and
3. Authorise the Head of City Development to make any necessary editorial corrections to the document prior to submission to the Secretary of State.

Appendix 1: Local Development Scheme 2011-14

Introduction

1. The purpose of this report is for City Executive Board to consider Oxford City Council's Local Development Scheme (LDS). The LDS is a project plan and does not constitute a policy document. It explains how, and when, the City Council will be producing the various documents that make up the Local Development Framework.
2. City Executive Board is asked to approve the LDS for submission to the Secretary of State and to authorise the Head of City Development

to make any editorial corrections necessary prior to submission. It should be noted that the Localism Bill proposes to remove the requirement to submit the LDS to the Secretary of State, but until the Bill is enacted that requirement remains.

3. The LDS will come into effect four weeks after being submitted unless the Secretary of States intervenes and requests more time or more work to be done. When the LDS takes effect copies will be made available for inspection and it will be published on the City Council's website. The 2011-14 LDS will then supersede the existing 2008-11 LDS.

Background and context

4. Under the Planning & Compulsory Purchase Act 2004, the previous system of county structure plans and district local plans were replaced by regional spatial strategies and district-level local development frameworks. These contain a range of documents to guide decisions on the development or use of land, including statutory Development Plan Documents (DPD's) and non-statutory Supplementary Planning Documents (SPD's).
5. The LDS is a project plan for preparing documents and provides the starting point for the local community to find out what the City Council's current planning policies are for the area. It includes 'milestones' to inform the public and stakeholders about opportunities to get involved with the plan making process and to let them know the likely dates for involvement.
6. Oxford City Council has made good progress with its Local Development Framework, with the following documents having been adopted:
 - Core Strategy 2026 DPD (March 2011)
 - West End Area Action Plan DPD (June 2008)
 - Affordable Housing SPD (November 2006)
 - Natural Resource Impact Analysis SPD (November 2006)
 - Parking Standards, Transport Assessments and Travel Plans SPD (February 2007)
 - Planning Obligations SPD (April 2007)
 - Telecommunications SPD (September 2007)
 - Balance of Dwellings SPD (January 2008)
 - Statement of Community Involvement (October 2006)
7. A number of further Local Development Framework documents are needed to implement the strategic policies in the recently adopted Core Strategy. The length of the Core Strategy examination has slowed down progress on some of these other documents compared to the timescales envisaged when the last LDS was prepared in 2008. Nevertheless, the Barton Area Action Plan and the Sites and Housing Development Plan Document are well advanced, both having

undergone extensive public consultation as options have been developed.

8. A new LDS is now needed to replace the existing 2008-11 LDS. This new LDS has been prepared against a background of fresh planning reforms as discussed below.

Implications of planning reforms

9. This LDS has been prepared in the context of some uncertainty about the future form of development plans in England. The Government is in the process of significant planning reforms, including the abolition of all regional strategies through the Localism Bill and the streamlining of national planning guidance into a single document of approximately 50 pages in length.
10. The Government published a draft National Planning Policy Framework (NPPF) and draft local planning regulations for consultation in July 2011. The draft NPPF makes clear that local planning authorities should plan positively for new development and that planning should be genuinely plan-led. It proposes a presumption in favour of sustainable development in relation to both plan-making and decision taking. The draft NPPF emphasises that up-to-date plans should be in place as soon as practical, and indicates that planning permission should be granted “where the plan is absent, silent, indeterminate or where relevant policies are out of date”.
11. The Government uses the term ‘Local Plan’ rather than ‘Local Development Framework’ in its emerging planning guidance. In essence, this is simply a change of terminology since there are no plans to revise the primary legislation, which refers in the 2004 Act to the preparation of ‘local development documents’ in the plural. The draft National Planning Policy Framework and the draft local planning regulations both allow for more than one Development Planning Document (DPD) to be prepared by local planning authorities. Thus the term ‘Local Plan’ is the sum of DPD’s for each area, whether a single document or more than one.
12. Notwithstanding the above, it is clear that Ministers would like local planning authorities to move towards a single Local Plan document in principle, as part of what they see as a simplification of the system for users. The draft regulations remove the requirement for a separate Core Strategy and Area Action Plans, the intention of which is to give local planning authorities the flexibility to decide what they want to include in their Development Plan Documents. It is likely that some local planning authorities that have not yet produced a Core Strategy may now prepare a single plan.
13. The draft National Planning Policy Framework also states that Supplementary Planning Documents should only be necessary where their production can help to bring forward sustainable development at

an accelerated rate, and must not be used to add to financial burdens on development.

14. The Localism Bill includes proposed powers for neighbourhood forums and parish councils to be able to establish general planning policies for the development and use of land in a neighbourhood through the preparation of a 'neighbourhood development plan.' Such plans would sit within the context of development plan documents produced by the local planning authority, and would not take effect unless there was a majority of support in a referendum of the neighbourhood. The local planning authority will have a duty to provide 'technical advice and support' to communities preparing neighbourhood plans.
15. Officers have considered the implications of these reforms for Oxford. The City Council has had experience through the West End Area Action Plan (AAP) and now the Barton AAP of the value of AAP's as the best way to drive regeneration in partnership with other stakeholders. It is considered that there is a strong rationale for continuing to produce area-based AAP's as separate documents.
16. In respect of citywide policies, the City Council now has an up-to-date adopted Core Strategy against which to consider development proposals. However, our intention was always to produce a relatively succinct Core Strategy that would be sharply focused, providing the strategic context for more detailed follow-up documents. Hence it was intended to replace the majority of Local Plan policies with subsequent Development Management and Site Allocations Development Plan Documents.
17. Having already started work on site allocations, it was decided last year to combine this with an early review of housing policies because of various local and national factors that necessitate an early review, for instance the introduction of new planning controls over small Houses in Multiple Occupation in February 2012. It is considered that this document, titled the Sites and Housing Development Plan Document, should be adopted as soon as possible in order to help bring forward much-needed housing and regeneration on a number of sites, as well as to update housing policies.
18. In light of the Government's planning reforms, there is a potential choice to be made about whether to continue to produce a separate Development Management Development Plan Document (DPD) to sit alongside the Core Strategy and Sites and Housing DPD's; or whether to combine strategic and detailed planning policies into a single document (a City Development Plan). However, given that work on the Development Management DPD will follow on from Sites and Housing and that the outcome of the Government's reforms are not yet known, officers consider that it is not appropriate to make that choice at this particular time.

19. It also remains to be seen how much demand there will be for neighbourhood planning across the city, and what form that might take. It is therefore likely that this LDS will need to be reviewed within 12-18 months once the City Council has had an opportunity to digest the full implications of the national planning reforms and to engage with local communities to understand what interest there is in preparing their own neighbourhood plans or in working more closely with the City Council on a fresh Local Plan (City Development Plan).

Local Development Scheme 2011-14

20. The proposed new LDS is attached as Appendix 1. It sets out a programme for the following documents to be produced (or commenced) during the period 2011-14:
- Barton Area Action Plan DPD
 - Sites and Housing DPD
 - Community Infrastructure Levy (CIL) Charging Schedule
 - Northern Gateway Area Action Plan DPD
 - Development Management DPD
 - Section 106 and Affordable Housing SPD
 - Low Carbon (including Natural Resource Impact Analysis) SPD
21. Section 2 of the LDS provides a brief description of the purpose and role of each of these documents, while the appendices to the LDS set out detailed profiles and timelines for the individual documents. The gantt chart at Appendix 5 of the LDS provides an overall picture of the work programme.
22. The Development Plan Documents listed in the above work programme all flow on from the adopted Core Strategy. In line with the advice in the draft National Planning Policy Framework, the number of new Supplementary Planning Documents (SPD's) is proposed to be kept to a minimum. The SPD's proposed in this LDS are considered to be necessary to reflect changing circumstances, for instance the introduction of a Community Infrastructure Levy will necessitate a review of existing guidance on 'Section 106' planning obligations.
23. Introduction of a Community Infrastructure Levy will enable the City Council to raise money from new building projects that can be used to fund a wide range of infrastructure needed as a result of development. Although the levy is voluntary, if it is not in place by April 2014 then the regulations restrict the use of Section 106 planning obligations for pooled contributions that may be funded by the levy. Since most developments in Oxford are relatively small in scale, it is often necessary to pool contributions to fund infrastructure projects. Such a restriction would therefore be likely to have a significant impact on the ability of the City Council and the County Council to deliver vital new infrastructure. Because of the introduction of a Community Infrastructure Levy, it is no longer proposed to adopt a separate

Supplementary Planning Document relating to Streamlined Contributions in the West End.

24. Members should note that the Barton Area Action Plan (AAP) and the Sites and Housing Development Plan Document are on the same timeline and are both scheduled to go to Council on December 19th this year. It would make efficient use of resources to consult on both documents at the same time (in January/February 2012) and to submit them to the Secretary of State at the same time. However, one document would clearly need to go ahead of the other in terms of the examination timetable. It is proposed in this LDS that we would ask the Planning Inspectorate to deal with the Barton AAP first.
25. Some possible future projects have not been included in this LDS because it has not yet been determined how best to take them forward in terms of the planning process. Examples of this are potential masterplan documents to guide development at Blackbird Leys and at Cowley Centre.
26. Officers have consulted the Planning Inspectorate and other Oxfordshire local authorities on the proposed work programme and any views received will be reported to City Executive Board.

Level of risk

27. A full risk assessment has been undertaken and is included at Section 3 of the LDS itself. There are many factors that could affect the timetable set out in this LDS. Some of these may be outside the City Council's control, such as changes in national policy or reliance on work undertaken by external bodies. However, a range of mitigation measures have been identified as set out in the risk assessment.

Climate change/environmental impact

28. This report has no direct climate change or environmental impacts since it merely sets out a work programme. The consideration of environmental impacts will be integrated into the development of each of the Development Plan Documents themselves through the identification and refinement of options and the formulation of policies. Sustainability Appraisal will be an integral part of this process.

Equalities impact

29. This report has no direct equalities impacts since it merely sets out a work programme. An Equalities Impact Assessment will be undertaken in respect of the Development Plan Documents themselves to assess the impact of the proposed policies.

Financial and staffing implications

30. The production of the documents set out in this LDS will require the staff resources of the Planning Policy team. The timetable is very challenging, and while it is considered to be achievable there will be little spare capacity within the team for other projects.
31. Preparation of statutory planning documents also requires the gathering of a robust evidence base. The nature of the evidence base should be proportionate to the role and complexity of the document being produced. The Core Strategy had a very extensive evidence base, and it not envisaged that other follow-up documents will require the same level of evidence.
32. While in-house resources will be maximised wherever possible, there will be cases where specialist expertise needs to be purchased from a consultancy or other outside body. For instance, robust viability testing will be important to establish the most appropriate charging rate for the Community Infrastructure Levy. Where appropriate, the City Council will require landowners and developers to fund evidence base studies that are required to establish the suitability of particular sites or development proposals.
33. The examination of Development Plan Documents requires the Council to pay for the Planning Inspector and Programme Officer. These costs will depend upon the length of the examination hearings, which in turn will be affected by the number and the nature of the representations received. The attached timetable anticipates three examinations in the 2012-13 financial year, but funding has been identified to cover these costs.
34. In preparing this LDS, officers have sought to maximise efficiencies and resource savings for the Council, for instance by proposing to combine a review of the Affordable Housing and Planning Obligations Supplementary Planning Documents into a single document and by combining consultations in some instances.
35. Another factor to be considered is that the costs associated with producing statutory planning documents may be offset against savings in other parts of the City Development budget. As mentioned earlier in this report, the Government has made clear that development proposals should be approved where there is no up-to-date plan in place. The lack of up-to-date policies is therefore liable to encourage landowners and developers to submit speculative planning applications, with the likely consequence that there would be an increase in appeals and a knock-on increase in costs for local planning authorities in defending those appeals.

Legal challenge to Core Strategy

36. Members should be aware that there is an outstanding legal challenge to the Core Strategy in relation to an alleged failure to comply with the European Habitats Directive and the domestic Conservation of Habitats and Species Regulations, specifically in relation to the alleged impacts of the Northern Gateway development on the Oxford Meadows Special Area of Conservation. The claimant is seeking to quash the Core Strategy.

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Version number: 1

Oxford City Council

Local Development Scheme 2011 - 2014



OXFORD CITY COUNCIL LOCAL DEVELOPMENT SCHEME 2011- 2014

Foreword

The Local Development Scheme (LDS) sets out the work programme and resources required for the preparation of documents to be included in the Oxford Local Development Framework (LDF). This document supersedes the Oxford 2008-2011 LDS.

The Oxford LDF currently comprises:

- Core Strategy 2026 DPD
- Local Plan 2001-2016 'saved policies'
- West End Area Action Plan DPD
- Affordable Housing SPD
- Natural Resource Impact Analysis SPD
- Parking Standards, Transport Assessments and Travel Plans SPD
- Planning Obligations SPD
- Telecommunications SPD
- Balance of Dwellings SPD
- Statement of Community Involvement
- Annual Monitoring Report (produced annually)
- Proposals Map (updated as each DPD is adopted)
- Local Development Scheme

This LDS sets a programme for the following documents (or commenced) in the period up to the end of 2014:

- Barton Area Action Plan DPD
- Sites and Housing DPD
- Community Infrastructure Levy (CIL) Charging Schedule
- Northern Gateway Area Action Plan DPD
- Development Management DPD
- Section 106 and Affordable Housing SPD
- Low Carbon (including Natural Resource Impact Analysis) SPD

The Government is in the process of significant reforms to the planning system. It is likely that this LDS will therefore be reviewed within 12-18 months when the City Council has had an opportunity to digest the implications of these reforms and to engage with local neighbourhoods to understand what interest there is in preparing their own neighbourhood plans or in working more closely with the City Council on a fresh Local Plan (City Development Plan).

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1. Local Development Framework Documents

- 1.1 The **Local Development Framework** (LDF) contains a range of documents to guide development within Oxford. The framework includes documents that make up the Development Plan as well as various supporting documents. The statutory Development Plan continues to be the starting point in the consideration of planning applications for the development or use of land unless material considerations indicate otherwise.
- 1.2 The statutory **Development Plan** currently consists of:
- South East Plan (proposed to be abolished through the Localism Bill)
 - Saved policies of the Oxford Local Plan
 - Oxford Core Strategy
 - West End Area Action Plan
- 1.3 This **Local Development Scheme** is a three year project plan for preparing documents and provides the starting point for the local community to find out what the City Council's current planning policies are for the area. It includes 'milestones' to inform the public about opportunities to get involved with the plan making process and to let them know the likely dates for involvement. The LDS is published on the City Council's website at www.oxford.gov.uk/lds.
- 1.4 There are two main types of document in the LDF: **Development Plan Documents** and **Supplementary Planning Documents**. DPD's and SPD's are different types of 'local development documents'. Appendix 1 contains a schedule of all DPD's and SPD's in Oxford's LDF.

Development Plan Documents (DPD's)

- 1.5 DPDs are documents that form part of the statutory development plan. DPD's are subject to extensive community and stakeholder involvement, and an independent examination by an Inspector to ensure that the necessary legal requirements for the preparation of the document have been met and the document is 'sound'. All DPD's will be subject to the European Strategic Environment Assessment Directive and will incorporate a sustainability appraisal to ensure that they accord with the principles of sustainable development.
- 1.6 DPD's must be in accordance with national planning guidance and in general conformity with the Regional Spatial Strategy. The Regional Spatial Strategy for the South East is the South East Plan, which covers the period from 2006-2026. The Government has announced plans to abolish regional strategies, but until such time as the due legal process is complete the South East Plan continues to form part of the Development Plan.

Supplementary Planning Documents (SPD's)

- 1.7 SPD's provide further details and guidance to supplement policies within DPD's or 'saved' Local Plan policies. SPD's are adopted by the City Council following public consultation, and are not part of the statutory Development Plan.
- 1.8 In addition to adopted SPD's, the City Council has a small number of adopted Supplementary Planning Guidance (SPG) documents, which support policies and proposals in the adopted Local Plan. Appendix 4 identifies how existing SPGs are linked to 'saved' Local Plan policies. Such SPGs will be a material consideration while the relevant Local Plan policies remain saved.

Saved Local Plan policies

- 1.9 DPDs will progressively replace the policies contained in the Oxford Local Plan 2001-2016. The policies of the Local Plan are 'saved' until they are replaced by other DPD's, and as such form part of the Development Plan. Appendix 3 sets out the saved policies of the Oxford Local Plan 2001-2016.
- 1.10 The Oxfordshire Structure Plan 2016 has now been abolished, except for three saved policies that are not directly relevant to Oxford: service areas (T7); Upper Heyford (H2); and sand and gravel workings (M2).

Planning reforms

- 1.11 The current Government is tending to use the term 'Local Plan' rather than 'Local Development Framework' in its emerging planning guidance. In essence, this is simply a change of terminology since there are no plans to revise the primary legislation, which refers in the 2004 Planning and Compulsory Purchase Act to the preparation of 'local development documents' in the plural. The Government published a draft National Planning Policy Framework (NPPF) and draft local planning regulations for consultation in July 2011, both of which allow for more than one DPD to be prepared by local planning authorities. Thus the term 'Local Plan' is the sum of DPD's for each area, whether a single document or more than one.
- 1.12 Notwithstanding the above, it is clear that Ministers would like local planning authorities to move towards a single Local Plan document in principle, as part of what they see as a simplification of the system for users. The draft Regulations remove the requirement for a separate Core Strategy and Area Action Plans, the intention of which is to give local planning authorities the flexibility to decide what they want to include in their DPD's. The implications of these reforms for Oxford are addressed in Section 2 of this document.

Statement of Community Involvement

1.13 The Statement of Community Involvement sets out how the City Council intends to involve communities and stakeholders in the preparation and review of its LDF. It sets out the activities that the Council will undertake to reach stakeholders and the public during the various stages of preparation of LDF documents. Oxford adopted its Statement of Community Involvement in 2006. It can be viewed on the City Council's website at www.oxford.gov.uk/sci.

Annual Monitoring Report

1.14 Each year the City Council produces an Annual Monitoring Report, which is submitted for approval to the City Executive Board in the winter. The Annual Monitoring Report has the following main functions:

- to monitor how the Council is performing against the timescales set out in the LDS, and measure progress made in respect of the documents being prepared;
- to review the effectiveness of the adopted planning policies;
- to monitor the extent to which policies and targets in adopted documents are being achieved against a range of indicators.

1.15 All of the Annual Monitoring Report's produced by the City Council can be viewed on the City Council's website at www.oxford.gov.uk/amr.

Proposals Map

1.16 The Proposals Map illustrates graphically the policies and proposals of the LDF. The Proposals Map will be revised and updated as new DPD's are adopted.

Evidence base

1.17 The DPD's and SPD's establish the City Council's planning policies. They are prepared using background evidence from a wide range of sources, both from within the City Council and from external partners. Background evidence is published in the form of background papers or technical reports, and will be publically available at the same time as any DPD or SPD which relies on their contents for justification.

1.18 The City Council's website is continually updated with living lists of background evidence used to inform the various LDF documents. The background evidence is published on the same web page as the relevant document, such as the Core Strategy, Barton Area Action Plan etc. For more information, please contact the Planning Policy team.

2. Work Programme for 2011-2014

2.1 The City Council has made good progress to date in the preparation of the Oxford LDF. The following documents have been adopted by the City Council:

- Core Strategy 2026 DPD (March 2011)
- West End Area Action Plan DPD (June 2008)
- Affordable Housing SPD (November 2006)
- Natural Resource Impact Analysis SPD (November 2006)
- Parking Standards, Transport Assessments and Travel Plans SPD (February 2007)
- Planning Obligations SPD (April 2007)
- Telecommunications SPD (September 2007)
- Balance of Dwellings SPD (January 2008)
- Statement of Community Involvement (October 2006)

2.2 The length of the Core Strategy examination slowed down progress on some other documents within the LDF compared to the timescales envisaged when the last LDS was prepared. Nevertheless, the Barton Area Action Plan and the Sites and Housing DPD are well advanced, both documents having undergone extensive public consultation as options have been developed.

2.3 During the period covered by this LDS, the City Council will produce (or commence) the following documents from within existing budgets:

Barton Area Action Plan DPD

2.4 The Core Strategy identifies former safeguarded land to the west of Barton as a strategic site for the delivery of 800-1,200 new homes, together with supporting infrastructure and amenities. The Barton Area Action Plan will provide the planning policy framework for the development of this site and its relationship with the surrounding area. Consultation on Preferred Options took place in May/June 2011. The completion and adoption of this document is a key corporate priority.

Sites and Housing DPD

2.5 This document has two strands; the allocation of sites for development (for all types of land uses) and a review of the detailed policies that planning applications for housing development will be considered against. Consultation on Preferred Options took place in June/July 2011.

2.6 Site allocations are important because they help local people understand what may happen in their neighbourhood in the future and give guidance to developers and landowners. They are a positive policy towards redevelopment of the site and help ensure the right type of development takes place.

- 2.7 The review of housing policies has been brought forward of the review of other existing Local Plan policies because there are a number of local and national factors that necessitate a review. For instance, the City Council will gain new planning controls over the conversion of single dwellings into small Houses in Multiple Occupation from February 2012; there have been local concerns about the concentration of students in certain parts of the city; and there have been some changes to national policy, such as in relation to development on private residential gardens.

Community Infrastructure Levy (CIL) Charging Schedule

- 2.8 CIL came into force on 6th April 2010 through the Community Infrastructure Levy Regulations 2010 as amended. It allows local authorities to raise funds from developers undertaking new building projects in their area. The money raised can be used to fund a wide range of infrastructure that is needed as a result of development. Although CIL is voluntary for local authorities, after a transitional period of four years (6th April 2014) the regulations restrict the use of 'Section 106 Agreements' for pooled contributions that may be funded by the levy.
- 2.9 Oxford City Council has successfully bid to participate in the CIL Front Runners 2 Project set up by the Government to pilot and share experience with other authorities on the preparation of the CIL. The CIL charging schedule will produce a 'tariff-based' levy for new development that will make a significant contribution towards the provision of infrastructure to support new development. The charging schedule will be subject to viability testing to ensure that it is not set at a level which prevents development from coming forward.
- 2.10 The charging schedule will be subject to an independent examination, although the procedures for its preparation are different to those that apply to DPD's. Once adopted, it will be part of the LDF.

Northern Gateway Area Action Plan DPD

- 2.11 The Core Strategy identifies land at the 'Northern Gateway' near the Peartree junction of the A34 as a strategic location to provide employment-led development. This will comprise primarily office development, together with complementary uses that could include an emergency services centre, 200 new homes, small retail units and a hotel. The Northern Gateway Area Action Plan (AAP) will provide the framework for the master planning of the area.
- 2.12 Work on this AAP is programmed to commence in January 2012. Before proceeding to the Preferred Options consultation stage, it will be important to establish with the development consortium, the County Council and the Highways Agency that there are deliverable solutions to the transport impacts of this development which can be tested through the AAP process. There will also need to be an agreement with the development consortium about the funding of some of the work required for the AAP.

Development Management DPD

- 2.13 This document will review all the remaining saved Local Plan policies across a whole range of topic areas. While the Core Strategy replaced the former Local Plan policies of a more strategic nature, there are sections of the Local Plan where all or nearly all of the policies have been saved. Given the Government's commitment to streamline national planning guidance and to abolish regional strategies, it will be important to ensure that this document provides a comprehensive and robust set of planning policies against which to consider future planning applications.

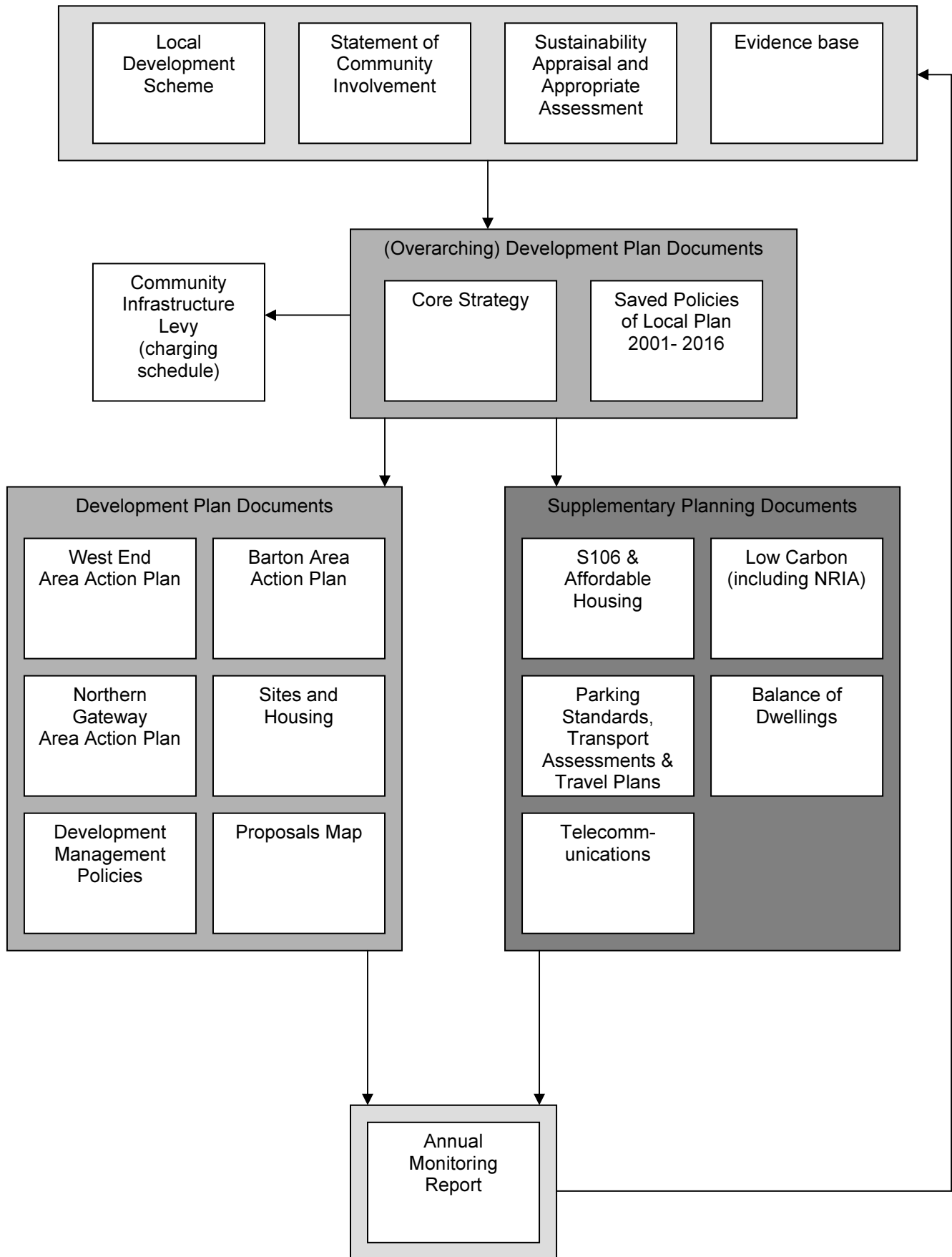
Section 106 and Affordable Housing SPD

- 2.14 The City Council currently has adopted SPD's in relation to affordable housing and planning obligations. The introduction of the Community Infrastructure Levy (CIL) will have a significant impact on the existing planning obligations regime and will necessitate a review and updating of the current planning obligations SPD. Likewise, the preparation of new policies on affordable housing within the Sites and Housing DPD will require a review and update of the existing SPD on affordable housing.
- 2.15 The preparation of a single SPD on these two issues will enable developers and landowners to access all the relevant information about how non-CIL based contributions will be calculated and collected within one document. It will also achieve resource efficiencies for the City Council. This SPD is programmed to be adopted at the same time as CIL because of the inter-relationship between the two projects.

Low-carbon (including NRIA) SPD

- 2.16 The City Council currently has an adopted SPD in relation to Natural Resource Impact Analysis. While this has been a successful tool in promoting the sustainability of new developments, changes in technology, policy and legislation at a national level mean that there is a need to update the existing SPD.
- 2.17 In addition, it would be useful to widen the scope of this guidance to deal with low carbon issues more generally, including the potential use of carbon off-setting measures. This would help to ensure effective linkages between the planning process and related City Council activities, such as administering the building regulations and tackling climate change through the Low Carbon Oxford programme.
- 2.19 Figure 1 below shows in diagrammatic form how the documents in the Oxford LDF will fit together.

Figure 1: Relationships between Oxford's LDF documents



- 2.20 Appendix 2 contains a summary profile for each of these documents providing:
- key stakeholders a brief synopsis of its content;
 - details of the area to which it relates;
 - the status of the document;
 - the chain of conformity;
 - details of the resources required for production
 - details of the management arrangements for production;
 - key milestones in preparation; and
 - the approach to involving and the community.

2.21 In addition to the above projects, the Annual Monitoring Plan will continue to be produced annually.

Other possible future work

2.22 Some possible future projects have not been included in this LDS because it has not yet been determined how best to take them forward in terms of the planning process. Examples of this are potential masterplan documents to guide the development of a district centre at the heart of Blackbird Leys, and to support the vitality and vibrancy of both parts of Cowley Centre (i.e. the shopping centre and the retail park). The Core Strategy designates Blackbird Leys as a district centre in order to act as a catalyst and focal point for regeneration. The Core Strategy also elevates the status of Cowley Centre to a primary district centre, recognising its capacity to accommodate further growth in retail and other uses and its wide catchment area.

Supporting local communities with ‘neighbourhood development plans’

2.23 The Localism Bill includes a proposal whereby neighbourhood forums and parish councils would be able to establish general planning policies for the development and use of land in a neighbourhood through the preparation of a 'neighbourhood development plan.' Such plans would sit within the context of development plan documents produced by the local planning authority, and would not take effect unless there was a majority of support in a referendum of the neighbourhood.

2.24 At the present time, it is not known how many neighbourhoods in Oxford (if any) would wish to bring forward such a plan and within what timescale they would envisage doing this. The City Council will be seeking to engage with local communities over the next 12-18 months to establish the likely level of interest in the city for preparing neighbourhood development plans. While the intention of the Localism Bill is for neighbourhood development plans to be bottom-up plans emerging from the community, it is likely that the neighbourhood forums or parish councils would seek some degree of support and guidance from the Council's planning officers in preparing such plans.

3. Risk Analysis

Risk & Description	Gross Risk Score		Mitigation Measures	Net Risk Score	
	Impact	Probability		Impact	Probability
Unexpected delays to timetable	3	3	Careful project management; early identification and mitigation	2	3
External agencies or consultants unable to fit in with timetable	3	3	Consult with such organisations as early as possible; careful project management of consultants	2	3
Documents found unsound	4	3	Work closely with key stakeholders at all stages; invest in community engagement and evidence base	4	2
New national policy or guidance produced	3	5	Keep abreast of changes; try to future-proof emerging documents	3	5
Changes in local political leadership or viewpoint	3	3	Work closely with the relevant Board Members and share the emerging documents with the Shadow Board Member of the opposition parties	2	3
Unhelpful timing of committee meetings	2	3	Consider meeting schedules in document timetables, call special meetings if absolutely necessary	1	3
Staff member leaving	4	3	Involve others as far as possible in project team; more than one officer familiar with the project	3	3
Shortage of financial resources	4	3	Seek funding from a range of sources; project manage to minimise costs	3	3
Changes in corporate priorities	3	2	Reports sent to Corporate Management Team at each stage to ensure co-ordination and early warning	2	2
Negative stakeholder and/or public reaction to some emerging proposals	3	4	Involve groups such as Strategic Partnership at appropriate stages, keep partners involved; on-going community involvement	3	3
Core Strategy quashed in whole or in part as a result of legal challenge	4 (if wholly quashed), 3 (if partly quashed)	3	Care has been taken to meet the procedural requirements; Council to make robust defence at the High Court	4 or 3	2

Glossary

- AMR** **Annual Monitoring Report:** This document assesses the implementation of the Local Development Scheme and the extent to which the aims of the policies are being achieved. This report is prepared annually.
- CIL** **Community Infrastructure Levy:** A levy which allows local authorities to raise funds from developers undertaking new building projects. The money can be used to fund a wide range of infrastructure that is needed as a result of development.
- DPD** **Development Plan Document:** These documents will replace the policies in the adopted Local Plan, and together with the RSS (until it is abolished) will form the Development Plan for Oxford.
- LDF** **Local Development Framework:** A term used to describe the portfolio of documents. It consists of Development Plan Documents, Supplementary Planning Documents, a Statement of Community Involvement, the Community Infrastructure Levy charging schedule, Local Development Scheme and Annual Monitoring Report.
- LDS** **Local Development Scheme:** A project plan for the preparation of documents.
- LSP** **Local Strategic Partnership:** A group of significant stakeholders, including public, private and voluntary sectors, who produce the Community Strategy.
- NDP** **Neighbourhood Development Plan:** A proposal in the Localism Bill whereby neighbourhood forums and parish councils would be able to establish general planning policies for the development and use of land in a neighbourhood through the preparation of a 'neighbourhood development plan.' Such plans would sit within the context of development plan documents produced by the local planning authority, and would not take effect unless there was a majority of support in a referendum of the neighbourhood.
- Neighbourhood planning will be taken forward by two types of body - town and parish councils or 'neighbourhood forums'. Neighbourhood forums will be community groups that are designated to take forward neighbourhood planning in areas without parishes. It will be the role of the local planning authority to agree who should be the neighbourhood forum for the neighbourhood area.
- NPPF** **National Planning Policy Framework (Draft):** This draft document prepared by Government will provide concise national guidance on planning policy issues and replace existing Planning Policy Statements (PPS's) and Planning Policy Guidance notes (PPG's)
- PEM** **Pre-examination Meeting:** To be held by the Inspector no later than two months in advance of the opening day of an examination to discuss the management of the examination.
- PINS** **The Planning Inspectorate:** Inspectors that are appointed on an individual basis to determine planning appeals and chair Examinations into Development Plan Documents.
- PPG** **Planning Policy Guidance notes:** National planning policy produced by the Government. Most, but not all, were replaced by PPSs. The remaining PPG's will be replaced by the National Planning Policy Framework.
- PPS** **Planning Policy Statement:** National planning policy produced by the Government. PPS's will be replaced by the National Planning Policy Framework.
- RSS** **Regional Spatial Strategy:** The type of planning policy produced at the regional level that forms part of the statutory development plan. These strategies are proposed to be abolished through the Localism Bill.

- SA Sustainability Appraisal:** A document that examines the impact of the policies and proposals on economic, social and environmental (including on natural resources) factors.
- SCI Statement of Community Involvement:** This document sets out the local planning authority's policy for involving communities in the preparation and revision of local development documents and considering planning applications.
- SEA Strategic Environmental Assessment:** Under European Union legislation, any plan which has a major impact on the environment, needs to be subject to a Strategic Environmental Assessment. This is an ongoing process intended to make the environment central to the decision making process, and to ensure that the process is transparent. In the UK this is combined with the Sustainability Appraisal (SA).
- SEP South East Plan:** The Regional Spatial Strategy (RSS) for South East England. This Plan was adopted in May 2009, and is now proposed to be abolished through the Localism Bill.
- SPD Supplementary Planning Documents:** A type of Local Development Document that supplements and elaborates on policies and proposals in Development Plan Documents (DPD). SPD does not form part of the statutory Development Plan.
- SPG Supplementary Planning Guidance:** Guidance documents to support specific policies in the Local Plan under the previous planning system, although they do not form part of the Development Plan itself.

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Appendix 1:

Schedule of all documents in the Oxford LDF

N.B. Milestones in italics have been met.

Document & LDD Status	Commence-ment	Publish draft	Submission to SoS	Hearing sessions	Adoption
Oxford Local Plan 2001 – 2016	N/A	N/A	N/A	N/A	November 2005
Statement of Community Involvement	<i>April 2005</i>	<i>September 2005</i>	<i>February 2006</i>	<i>June 2006</i>	September 2006
Core Strategy (DPD)	<i>January 2006</i>	<i>Preferred Options March 2007 Further Preferred Options March 2008 Proposed submission Sept 2008</i>	<i>November 2008</i>	<i>July and Sept 2009 Sept 2010</i>	March 2011
West End Area Action Plan (DPD)	<i>September 2005</i>	<i>Preferred Options September 2006</i>	<i>June 2007</i>	<i>January 2008</i>	June 2008
Barton Area Action Plan (DPD)	<i>June 2010</i>	<i>Preferred Options May 2011 January 2012</i>	<i>March 2012</i>	<i>Estimated July 2012</i>	<i>December 2012</i>
Northern Gateway Area Action Plan (DPD)	<i>January 2012</i>	<i>Sept 2013</i>	<i>November 2013</i>	<i>Estimated March 2014</i>	<i>July 2014</i>
Sites and Housing (DPD)	<i>November 2010</i>	<i>Preferred Options June 2011 January 2012</i>	<i>March 2012</i>	<i>Estimated Sept 2012</i>	<i>February 2012</i>
Development Management (DPD)	<i>Oct 2012</i>	<i>May 2014</i>	<i>July 2014</i>	<i>Estimated Nov 2014</i>	<i>April 2015</i>
Community Infrastructure Levy	<i>Sept 2011</i>	<i>July 2012</i>	<i>Sept 2012</i>	<i>Estimated Jan 2013</i>	<i>April 2013</i>
Affordable Housing (SPD)	<i>July 2005</i>	<i>February 2006</i>	N/A	N/A	November 2006
Natural Resource Impact Analysis (SPD)	<i>July 2005</i>	<i>February 2006</i>	N/A	N/A	November 2006
Parking Standards, Transport Assessments & Travel Plans (SPD)	<i>January 2006</i>	<i>October 2006</i>	N/A	N/A	February 2007
Planning Obligations (SPD)	<i>January 2006</i>	<i>October 2006</i>	N/A	N/A	April 2007
Telecommunications (SPD)	<i>Sept 2006</i>	<i>April 2007</i>	N/A	N/A	September 2007
Balance of Dwellings (SPD)	<i>Sept 2006</i>	<i>July 2007</i>	N/A	N/A	January 2007
S106 and Affordable Housing (SPD)	<i>April 2012</i>	<i>October 2012</i>	N/A	N/A	<i>April 2013</i>
Low carbon (including NRIA) (SPD)	<i>April 2013</i>	<i>October 2013</i>	N/A	N/A	<i>April 2014</i>
Proposals Map	N/A	Updated with each DPD	Updated with each DPD	Updated with each DPD	March 2011
Annual Monitoring Report	N/A	Aim to publish December each year	N/A	N/A	N/A

Appendix 2:

Profiles for the preparation of each Local Development Document (2011-2014)

N.B. dates in bold are milestones, dates in italics have been met.

LDD PROFILE

Document Title	Core Strategy		
Lead Section	Planning Policy team		
Scope	City Wide	Status	DPD
Synopsis	<p>A statement of vision and core policies and a spatial strategy that:</p> <ol style="list-style-type: none"> 1. enables the delivery of sustainable development objectives; 2. reflects the most current planning policy; 3. enables delivery of the housing allocation for the set period; 4. guides effective determination of planning applications; 5. sets out in a key diagram the broad spatial strategy for the area; 6. updates the Proposals Map. 		
Chain of Conformity	<ul style="list-style-type: none"> ▪ Consistent with national planning policy and PPSs. ▪ In general conformity with the South East Plan. ▪ Influenced by the 'saved' Local Plan, and the Sustainable Community Strategy. ▪ All LDDs to be in conformity with Core Strategy. 		
Timetable			
Key Milestones		Timescale	
Commencement.	Evidence gathering and pre-production including early stakeholder and community engagement (including: Issues & Options Report published June 2006)	January – June 2006	
Consultation on Preferred Options Report & SA Report	(6 weeks) (PO doc published March 2007)	March – May 2007	
Consideration of representations on proposals and discussions with community and stakeholders		<i>March – August 2007</i>	
Produce further preferred options		<i>September 2007- Feb. 2008</i>	
Consultation on further preferred options		<i>March – April 2008</i>	
Consideration of representations on further PO doc.		<i>March – May 2008</i>	
Publication of proposed-submission document		September – October 2008	
Consideration of representations		<i>October 2008 – Nov. 2008</i>	
Submission of DPD to Secretary of State		November 2008	
Pre-hearing meeting		<i>June 2009</i>	
Hearing sessions		<i>July and September 2009, September 2010</i>	
Receipt of Inspector's final report		<i>December 2010</i>	
Date of adoption		March 2011	
Management arrangements	Head of City Development → Members Steering Group → Portfolio Holder → Executive Board → Council		
Resources	<ul style="list-style-type: none"> ▪ Internal: The Planning Policy team (excludes time devoted to other team core activities). ▪ Also internal administration and technical support. ▪ LDF budget to cover consultation, printing and design costs, examination costs. ▪ Other City Council officers and members time and input. ▪ External resources: Specific LDF budget allows for possible use of consultants for other aspects of preparation. ▪ Stakeholder Resources: LSP to provide additional link to the community. ▪ Representatives of stakeholder groups to attend meetings, contribute to preparation etc. ▪ Development Industry expertise. 		
Approach to involving stakeholders and community	Wide stakeholder and community involvement using a range of consultation methods to described in the adopted SCI.		

LDD PROFILE

Document Title	Barton AAP		
Lead Section	Planning Policy team		
Scope	Area based	Status	DPD
Synopsis	<p>A document that sets out:</p> <ol style="list-style-type: none"> 1. a vision for the land at Barton; 2. a series of principles and concepts to guide development; 3. specific policies and infrastructure requirements; 4. site specific and area based proposals to stimulate regeneration; 5. updates the Proposals Map 		
Chain of Conformity	<ul style="list-style-type: none"> ▪ Conformity with adopted Core Strategy ▪ Consistent with national planning policy. ▪ In general conformity with the South East Plan (until the South East Plan is abolished) ▪ Influenced by saved Local Plan policies and the Sustainable Community Strategy 		
Timetable			
Key Milestones		Timescale	
Commencement. Evidence gathering and pre-production including early stakeholder and community engagement (including Issues document published June 2010)		June 2010	
Publish consultation document		<i>May 2011</i>	
Publication of the DPD		January 2012	
Submission of DPD to Secretary of State		March 2012	
Pre-hearing meeting		May 2012	
Hearing sessions		July 2012	
Receipt of final Inspector's report		September 2012	
Estimated date of adoption		December 2012	
Management arrangements	Head of City Development → Members Steering Group → Board Member → City Executive Board → Council		
Resources	<ul style="list-style-type: none"> ▪ Internal: The Planning Policy team (excludes time devoted to other team core activities). ▪ Also internal administration and technical support. ▪ LDF budget to cover consultation, printing/design costs, examination costs. ▪ Other City Council officers and members time and input. ▪ External resources: Specific LDF budget allows for possible use of consultants for other aspects of preparation. ▪ Stakeholder Resources: LSP to provide additional link to the community. ▪ Representatives of stakeholder groups to attend meetings, contribute to preparation etc. ▪ Development Industry expertise. 		
Approach to involving stakeholders and community	Wide stakeholder and community involvement using a range of consultation methods to described in the adopted SCI. Includes Barton and Northway Working Group		

LDD PROFILE

Document Title	Sites and Housing DPD		
Lead Section	Planning Policy team		
Scope	City Wide	Status	DPD
Synopsis	<p>A document that:</p> <ol style="list-style-type: none"> 1. sets the framework for realising, managing and implementing sites; 2. addresses the need to create sustainable communities with supporting infrastructure; 3. sets the framework to identify sites to meet the housing allocation; 4. updates the development control (management) policies of the Local Plan relating to housing 5. updates the Proposals Map. 		
Chain of Conformity	<ul style="list-style-type: none"> ▪ Consistent with national planning policy. ▪ In general conformity with the South East Plan (until the South East Plan is abolished). ▪ Influenced by the 'saved' Local Plan, and the Sustainable Community Strategy ▪ All LDD's to be in conformity with the adopted Core Strategy. 		
Timetable			
Key Milestones		Timescale	
Commencement. Evidence gathering and pre-production including early stakeholder and community engagement (including call for sites Oct 2009 and pre-options consultation Nov/Dec 2010)		October 2009	
Publish consultation document		<i>June 2011</i>	
Publication of the DPD		January 2012	
Submission of DPD to Secretary of State		March 2012	
Pre-hearing meeting		July 2012	
Hearing sessions		September 2012	
Receipt of final Inspector's report		December 2012	
Estimated date of adoption		February 2013	
Management arrangements	Head of City Development → Members Steering Group → Board Member → City Executive Board → Council		
Resources	<ul style="list-style-type: none"> ▪ Internal: The Planning Policy team (excludes time devoted to other team core activities). ▪ Also internal administration and technical support. ▪ LDF budget to cover consultation, printing/design & examination costs. ▪ Other City Council officers and members time and input. ▪ External resources: Specific LDF budget allows for possible use of consultants for other aspects of preparation. ▪ Stakeholder Resources: LSP to provide additional link to the community. ▪ Representatives of stakeholder groups to attend meetings, contribute to preparation etc. ▪ Development Industry expertise. 		
Approach to involving stakeholders and community	Wide stakeholder and community involvement using a range of consultation methods to described in the adopted SCI.		

LDD PROFILE

Document Title	Community Infrastructure Levy		
Lead Section	Planning Policy team		
Scope	City Wide	Status	Part of LDF but not part of statutory development plan
Synopsis	<p>A charging schedule that:</p> <ol style="list-style-type: none"> will set out the Charging rates that will apply to different types of development and potentially within different parts of the city; will aim to strike an appropriate balance between the desirability of funding infrastructure from the levy and the potential effects of the levy upon the economic viability of development. 		
Chain of Conformity	<ul style="list-style-type: none"> Consistent with national planning policy. In conformity with the Planning Act 2008 and the Community Infrastructure Levy Regulations Influenced by the adopted Core Strategy and the infrastructure delivery plans of the City Council and its partners 		
Timetable			
Key Milestones		Timescale	
Commencement. Evidence gathering and pre-production including early stakeholder and community engagement			September 2011
Publish preliminary draft charging schedule			April 2012
Publication of draft charging schedule			July 2012
Submission of charging schedule to Secretary of State			September 2012
Pre-hearing meeting			November 2012
Hearing sessions			January 2013
Receipt of final Inspector's report			February 2013
Estimated date of adoption			April 2013
Management arrangements	Head of City Development → Members Steering Group → Board Member → City Executive Board → Council		
Resources	<ul style="list-style-type: none"> Internal: The Planning Policy team (excludes time devoted to other team core activities). Also internal administration and technical support. LDF budget to cover consultation, printing and design costs, examination costs. Other City Council officers and members time and input. External resources: Specific LDF budget allows for possible use of consultants for other aspects of preparation. Stakeholder Resources: LSP to provide additional link to the community. Representatives of stakeholder groups to attend meetings, contribute to preparation etc. Development Industry expertise. 		
Approach to involving stakeholders and community	Wide stakeholder and community involvement using a range of consultation methods to described in the adopted SCI.		

LDD PROFILE

Document Title	Northern Gateway AAP		
Lead Section	Planning Policy team		
Scope	Area based	Status	DPD
Priority	High		
Synopsis	<p>A document that sets out:</p> <ol style="list-style-type: none"> 1. a vision for the land at the Northern Gateway 2. a series of principles and concepts to guide development 3. specific policies and infrastructure requirements; 4. identifies timing and delivery mechanisms for site-specific proposals; 5. updates the Proposals Map 		
Chain of Conformity	<ul style="list-style-type: none"> ▪ Conformity with adopted Core Strategy ▪ Consistent with national planning policy. ▪ In general conformity with South East Plan (until South East Plan is abolished) ▪ Influenced by 'saved' Local Plan policies and the Sustainable Community Strategy. 		
Timetable			
	Key Milestones	Timescale	
Commencement.	Evidence gathering and pre-production including early stakeholder & community engagement	January 2012	
	Publish consultation document	January 2013	
	Publication of the DPD	September 2013	
	Submission of DPD to Secretary of State	November 2013	
	Pre-hearing meeting	January 2014	
	Hearing sessions	March 2014	
	Receipt of final Inspector's report	May 2014	
	Estimated date of adoption and publication	July 2014	
Management arrangements	Head of City Development → Members Steering Group → Board Member → City Executive Board → Council		
Resources	<ul style="list-style-type: none"> ▪ Internal: The Planning Policy team (excludes time devoted to other team core activities). ▪ Also internal administration and technical support. ▪ LDF budget to cover consultation, printing and design costs, examination costs. ▪ Other City Council officers and members time and input. ▪ External resources: Specific LDF budget allows for possible use of consultants for other aspects of preparation. ▪ Stakeholder Resources: LSP to provide additional link to the community. ▪ Representatives of stakeholder groups to attend meetings, contribute to preparation etc. ▪ Development Industry expertise. 		
Approach to involving stakeholders and community	Wide stakeholder and community involvement using a range of consultation methods to described in the adopted SCI.		

LDD PROFILE

Document Title	Development Management DPD		
Lead Section	Planning Policy team		
Scope	City Wide	Status	DPD
Synopsis	<p>A document that:</p> <ol style="list-style-type: none"> 1. updates the development control (management) policies of the Local Plan, which provides the basis of the plan-led system; 2. provides effective determination of planning applications; 3. updates the Proposals Map. 		
Chain of Conformity	<ul style="list-style-type: none"> ▪ Consistent with national planning policy. ▪ In general conformity with the South East Plan (until the South East Plan is abolished). ▪ Influenced by the 'saved' Local Plan, and the Sustainable Community Strategy. ▪ All LDDs to be in conformity with adopted Core Strategy. 		
Timetable			
Key Milestones		Timescale	
Commencement. Evidence gathering and pre-production including early stakeholder and community engagement		October 2012	
Publish consultation document		October 2013	
Publication of the DPD		May 2014	
Submission of DPD to Secretary of State		July 2014	
Pre-hearing meeting		September 2014	
Hearing sessions		November 2015	
Receipt of final Inspector's report		February 2015	
Estimated date of adoption		April 2015	
Management arrangements	Head of City Development → Members Steering Group → Board Member → City Executive Board → Council		
Resources	<ul style="list-style-type: none"> ▪ Internal: The Planning Policy team (excludes time devoted to other team core activities). ▪ Also internal administration and technical support. ▪ LDF budget to cover consultation, printing and design costs, examination costs. ▪ Other City Council officers and members time and input. ▪ External resources: Specific LDF budget allows for possible use of consultants for other aspects of preparation. ▪ Stakeholder Resources: LSP to provide additional link to the community. ▪ Representatives of stakeholder groups to attend meetings, contribute to preparation etc. ▪ Development Industry expertise. 		
Approach to involving stakeholders and community	Wide stakeholder and community involvement using a range of consultation methods to described in the adopted SCI.		

LDD PROFILE

Document Title	Section 106 and Affordable Housing SPD	
Lead Section	Planning Policy team	
Scope	City Wide	Status SPD
Synopsis	<p>A document to:</p> <ol style="list-style-type: none"> 1. review and update the Planning Obligations and Affordable Housing SPD's in the light of changes to LDF policies and the introduction of a Community Infrastructure Levy; 2. provide supplementary advice on the delivery of on-site infrastructure requirements through Section 106 Planning Obligations (i.e. infrastructure not covered by the Community Infrastructure Levy) 3. provide supplementary advice on the delivery of affordable housing through Section 106 Planning Obligations from both residential and commercial developments. 	
Chain of Conformity	<ul style="list-style-type: none"> ▪ Conformity with adopted Core Strategy, other adopted DPD's and the Community Infrastructure Levy. ▪ Consistent with national planning policy. ▪ Influenced by the Sustainable Community Strategy and the Council's Housing Strategy. 	
Timetable		
	Key Milestones	Timescale
	Evidence gathering and pre-production including early stakeholder and community engagement	April 2012
	Publication of the draft	October 2012
	Adopt as SPD	April 2013
Management arrangements	Head of City Development → Members Steering Group → Board Member → Executive Board → Council	
Resources	<ul style="list-style-type: none"> ▪ Internal: The Planning Policy team (excludes time devoted to other team core activities). ▪ Also internal administration and technical support. ▪ LDF budget to cover consultation, printing and design costs, examination costs. ▪ Other City Council officers and members time and input. ▪ External resources: Specific LDF budget allows for possible use of consultants for other aspects of preparation. ▪ Stakeholder Resources: LSP to provide additional link to the community. ▪ Representatives of stakeholder groups to attend meetings, contribute to preparation etc. ▪ Development Industry expertise. 	
Approach to involving stakeholders and community	Wide stakeholder and community involvement using a range of consultation methods to described in the adopted SCI.	

LDD PROFILE

Document Title	Low Carbon (including Natural Resource Impact Analysis) SPD		
Lead Section	Planning Policy team		
Scope	City Wide	Status	SPD
Synopsis	<p>A document to:</p> <ol style="list-style-type: none"> 1. review and update the existing NRIA SPD in the light of changes to LDF policies, the development of new technologies and local and national initiatives (e.g. Low Carbon Oxford, Code for Sustainable Homes etc.) 2. provide guidance on the requirement for and content of an NRIA; 3. provide examples of good practice on how to maximise the use of natural resources, both in the construction and running of new developments. 		
Chain of Conformity	<ul style="list-style-type: none"> ▪ Conformity with adopted Core Strategy and other adopted DPD's. ▪ Consistent with national planning policy. ▪ Influenced by the Sustainable Community Strategy and the Low Carbon Oxford programme. 		
Timetable			
	Key Milestones	Timescale	
	Evidence gathering and pre-production including early stakeholder and community engagement	April 2013	
	Publication of the draft	October 2013	
	Adopt as SPD	April 2014	
Management arrangements	Head of City Development → Members Steering Group → Board Member → City Executive Board → Council		
Resources	<ul style="list-style-type: none"> ▪ Internal: The Planning Policy team (excludes time devoted to other team core activities). ▪ Also internal administration and technical support. ▪ LDF budget to cover consultation, printing and design costs, examination costs. ▪ Other City Council officers and members time and input. ▪ External resources: Specific LDF budget allows for possible use of consultants for other aspects of preparation. ▪ Stakeholder Resources: LSP to provide additional link to the community. ▪ Representatives of stakeholder groups to attend meetings, contribute to preparation etc. ▪ Development Industry expertise. 		
Approach to involving stakeholders and community	Wide stakeholder and community involvement using a range of consultation methods to described in the adopted SCI.		

LDD PROFILE

Document Title	Annual Monitoring Report (AMR)	
Lead Section	Planning Policy team	
Scope	City Wide	Status
Synopsis	<p>An annual report to:</p> <ol style="list-style-type: none"> 1. establish baseline data for both policy monitoring and SA / SEA purposes; 2. establish the range of indicators that will be needed to monitor policies; 3. assess the extent to which policy aims in Local Development Documents are being achieved; 4. assess the implementation of the Local Development Scheme; 5. note if any adjustments to the Local Development Scheme are considered necessary since it was published. 	
Chain of Conformity	<ul style="list-style-type: none"> ▪ Conformity with Regulation 48 of the Town and Country Planning (Local Development) (England) Regulations, 2004. ▪ Consistent with national planning policy. 	
Timetable		
	Key Milestones	Timescale
Period covered		1 st April – 31 st March annually
Report to City Executive Board		November / December annually
Publish		December annually
Management arrangements	Head of City Development → Members Steering Group → Board Member → City Executive Board	
Resources	<ul style="list-style-type: none"> ▪ Internal: The Planning Policy team plus other internal officers as appropriate. ▪ Internal administration and technical support. ▪ Budget for consultation, design and printing. ▪ Member's time and input. ▪ External: Data input from various external sources including County Council, University of Oxford, Oxford Brookes University, ▪ Stakeholder Resources: LSP to provide a key link to the community. 	
Approach to involving stakeholders and community	Work with stakeholders to source further information and monitoring data to feed into the AMR.	

LDD PROFILE

Document Title	Proposals Map		
Lead Section	Planning Policy team		
Scope	City Wide	Status	DPD
Synopsis	<p>A document to:</p> <ol style="list-style-type: none"> 1. express geographically the adopted development plan policies; 2. be revised as each DPD is adopted. 		
Chain of Conformity	<ul style="list-style-type: none"> ▪ In conformity with the saved Local Plan policies, the adopted Core Strategy and other adopted DPDs. ▪ The Proposals Map is a direct derivative of all other DPDs and will be amended with each DPD as appropriate when they are adopted. 		
Timetable			
	Key Milestones		Timescale
	Proposals Map of the Core Strategy to be saved on adoption		<i>March 2011</i>
	Proposals Map to be updated as appropriate		On the adoption of each DPD as appropriate
Management arrangements and resources	The management and resource arrangements for updating the Proposals Map will be the same as that of the DPD of which it is a derivative.		

Appendix 3:

Saved Policies of the Oxford Local Plan 2001-2016

The table below sets out the 'saved' policies in the Oxford Local Plan 2001-2016 (OLP). These policies form part of the Oxford Local Development Framework until they are replaced by new policies.

Policy number	Policy title
CP.1	Development Proposals
CP.5	Mixed-Use Developments
CP.6	Efficient Use of Land & Density
CP.8	Designing Development to Relate to its Context
CP.9	Creating Successful New Places
CP.10	Siting of Development to Meet Functional Needs
CP.11	Landscape Design
CP.13	Accessibility
CP.14	Public Art
CP.17	Recycled Materials
CP.18	Natural Resource Impact Analysis
CP.19	Nuisance
CP.20	Lighting
CP.21	Noise
CP.22	Contaminated Land
CP.23	Air Quality Management Areas
CP.24	Telecommunications
CP.25	Temporary Buildings
TR.1	Transport Assessment
TR.2	Travel Plans
TR.3	Car-Parking Standards
TR.4	Pedestrian and Cycle Facilities
TR.5	Pedestrian and Cycle Routes
TR.6	Powered Two-Wheelers
TR.7	Bus Services and Bus Priority
TR.8	Guided Bus/Local Rail Service
TR.9	Park and Ride

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TR.10	Oxford Station Improvements
TR.11	City Centre Car Parking
TR.12	Private Non-Residential Parking
TR.13	Controlled Parking Zones
TR.14	Servicing Arrangements
TR.15	Freight Movements
NE.3	Safeguarded Land
NE.4	Loss of Agricultural Land
NE.5	Agricultural Related Development
NE.6	Oxford's Watercourses
NE.11	Land Drainage and River Engineering Works
NE.12	Groundwater Flow
NE.13	Water Quality
NE.14	Water and Sewerage Infrastructure
NE.15	Loss of Trees and Hedgerows
NE.16	Protected Trees
NE.20	Wildlife Corridors
NE.21	Species Protection
NE.22	Independent Assessment
NE.23	Habitat Creation in New Developments
HE.1	Nationally Important Monuments
HE.2	Archaeology
HE.3	Listed Buildings and Their Setting
HE.4	Archaeological Remains within Listed Buildings
HE.5	Fire Safety in Listed Buildings
HE.6	Buildings of Local Interest
HE.7	Conservation Areas
HE.8	Important Parks and Gardens
HE.9	High Building area
HE.10	View Cones of Oxford
HE.11	Architectural Lighting
HS.3	Empty Homes
HS.4	General Requirement to Provide Affordable Housing
HS.9	Change of Use of Housing
HS.10	Loss of Dwellings

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HS.11	Sub-Division of Dwellings
HS.12	Adaptable Dwellings
HS.15	Houses in Multiple Occupation
HS.16	Staff Accommodation
HS.17	Residential Moorings
HS.18	Low-Impact Housing
HS.19	Privacy and Amenity
HS.20	Local Residential Environment
HS.21	Private Open Space
HS.22	Provision of New Open Space and Improvements to Sporting Facilities as Part of New Residential Development
HS.23	Children's Play Space
EC.1	Sustainable Employment
EC.7	Small Businesses
EC.8	Employment Training
EC.9	Warehousing
HH.2	Primary Health Care Facilities in Non-Residential Buildings and New Purpose Built Health Care Facilities
HH.3	Primary Health Care Facilities in Residential Dwellings
ED.1	Nursery Education and Childcare Facilities in Non Residential Buildings and New Purpose Built-Facilities
ED.2	Nursery Education and Childcare Facilities in Dwellings
ED.4	Oxford and Cherwell Valley College
ED.9	Private colleges – New Teaching Premises
ED.10	Private Colleges – Student Accommodation
SR.2	Protection of Open Air Sports Facilities
SR.4	Disused Allotments, Abingdon Road Facilities
SR.5	Protection of Public Open Space
SR.6	Cotteslowe Park
SR.7	Provision of Public Open Space as Part of New Business, Commercial & Institutional Developments
SR.8	Protection of Allotments
SR.9	Footpaths & Bridleways
SR.10	Creation of Footpaths & Bridleways
SR.11	Recreational Cycling
SR.12	Protection of Water-Based Recreation Facilities
SR.13	New Water-Based Recreation Facilities
SR.14	New Visitor Moorings
SR.16	Proposed New Community Facilities

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RC.3	Primary Shopping Frontage
RC.4	District Shopping Frontage
RC.5	Secondary Shopping Frontage
RC.6	Street Specific Controls
RC.7	Covered Market
RC.8	Neighbourhood Shopping Centres
RC.9	Individual Shops
RC.10	Environmental Improvements to the City Centre
RC.11	Environmental Improvements to the District and Neighbourhood Shopping Centres
RC.12	Food & Drinks Outlets
RC.13	Shop Fronts
RC.14	Advertisements
RC.15	Shutters & Canopies
RC.17	Flyposting
RC.18	Public Houses
TA.2	Transport & Tourism
TA.3	Tourist Information
TA.4	Tourist Accommodation
TA.5	Tourist Accommodation – Dual Use
TA.7	Arts Facilities
TA.8	The Arts
DS.2	Acland Hospital Site
DS.4	Arthur Street, off Mill Street
DS.7	Bertie Place recreation ground, Bertie Place and land behind Wytham Street
DS.8	Between Towns Road
DS.9	Bevington Road, Banbury Road, Parks Road and Keble Road
DS.10	Blackbird Leys Road Regeneration Zone
DS.11	BMW Garage Site
DS.12	BT Site, Hollow Way
DS.13	Canalside Land, Jericho
DS.15	Churchill Hospital Site
DS.18	Cowley Centre: Templars Square Shopping Centre, and Crowell Road Car Park, Between Towns Road
DS.19	Cowley Marsh Depot Site, Marsh Road
DS.20	Cowley Road, Bingo Hall
DS.21	Cowley Road Bus Depot Site

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DS.22	Cripley Road, Land at North End Yard
DS.23	Cuttelowe Court, Wyatt Road
DS.24	Diamond Place, Ferry Pool Car Park
DS.25	Donnington Bridge Road, Riversport Centre
DS.27	Dorset House, London Road
DS.28	Dunnock Way Site
DS.29	Elsfield Way
DS.31	Former Government Buildings Site, Marston Road
DS.32	Harcourt House, Marston Road
DS.33	Herbert Close
DS.34	Horspath Site, Land South of Oxford Road
DS.36	Institute of Health Sciences Site, Old Road
DS.37	John Radcliffe Hospital Site
DS.38	Jowett Walk
DS.39	Lamarsh Road
DS.41	Leiden Road
DS.42	Littlemore Mental Health Centre, Littlemore
DS.43	Littlemore Mental Health Centre, Littlemore – Field at Rear
DS.44	Littlemore Park, Armstrong Road
DS.45	Lucy's Factory Site, Walton Well Road
DS.46	Mabel Pritchard School Site, St. Nicholas Road
DS.47	Manor Ground
DS.48	Milham Ford School Site, Marston
DS.49	Neilsens, London Road
DS.50	Northfield House, Sandy Lane West
DS.51	Northfield School Site, Kestrel Crescent, Blackbird Leys
DS.52	Nuffield Orthopaedic Centre, Old Road
DS.55	Osney Mill Site and Adjacent Works, Mill Street
DS.57	Oxford Business Park, Cowley
DS.58	Land at rear of Oxford Retail Park, Garsington Road
DS.59	Oxford Science Park, Littlemore
DS.60	Oxford Science Park, Minchery Farm
DS.64	Park Hospital Site
DS.65	Pusey House Site
DS.66	Radcliffe Infirmary Site, Woodstock Road

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DS.67	Railway Lane, Littlemore
DS.70	Rover Sports Club Field, Roman Way
DS.71	Ruskin College, Dunstan Road
DS.72	Ruskin College Site, Walton Street
DS.73	Scrap Yard, Jackdaw Lane
DS.74	Slade Hospital Site, Horspath Driftway
DS.80	St. Augustine's School site, Iffley Turn
DS.81	Suffolk House, Banbury Road, Summertown
DS.82	St. Clement's car park
DS.83	St. Cross College Annex, Holywell Mill Lane
DS.86	Warneford Hospital Site, Headington
DS.87	Warneford Meadow Site, Headington
DS.90	Wolvercote Paper Mill, Wolvercote

The following policies have been deleted or superseded either through the process of saving policies, or through the adoption of the Core Strategy and the West End Area Action Plan.

Schedule of policies from the Oxford Local Plan 2001-2016 that are now deleted or superseded

Policy number	Policy title	Deleted/superseded by
CP.2	Planning obligations	Core Strategy
CP.3	Limiting the need to travel	Core Strategy
CP.4	Greenfield development	Core Strategy
CP.7	Urban design	Core Strategy
CP.12	Designing out crime	Core Strategy
CP.15	Energy efficiency	Core Strategy
CP.16	Renewable energy	Core Strategy
NE.1	Purposes of Oxford's Green Belt	Core Strategy
NE.2	Control of development within Oxford's Green Belt	Core Strategy
NE.7	Development in the undeveloped flood plain	Core Strategy
NE.8	Development on low lying land	Core Strategy
NE.9	Flood risk assessment	Core Strategy
NE.10	Sustainable drainage	Core Strategy
NE.17	Biodiversity	Core Strategy

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NE.18	Special Areas of Conservation and Sites of Special Scientific Interest	Core Strategy
NE.19	Sites of Local Importance for Nature Conservation and Local Nature Reserves	Core Strategy
HS.1	Provision of sites for housing	Core Strategy
HS.2	Recycling land target	Core Strategy
HS.5	Proportion and mix of affordable housing to be provided	Core Strategy
HS.6	On site provision of affordable housing	Core Strategy
HS.7	Affordable housing and commercial development	Core Strategy
HS.8	Balance of dwellings	Core Strategy
HS.13	Institutional student accommodation	Core Strategy
HS.14	Speculative student accommodation	Core Strategy
EC.2	Protection of employment sites	Core Strategy
EC.3	Modernising existing employment sites	Core Strategy
EC.4	Loss of employment sites	Core Strategy
EC.5	Changes of use of employment sites	Core Strategy
EC.6	Employment diversity	Core Strategy
HH.1	Protection of primary healthcare facilities	Core Strategy
ED.3	Schools	Core Strategy
ED.5	Oxford Brookes University – additional development	Core Strategy
ED.6	Oxford Brookes University – student accommodation	Core Strategy
ED.7	University of Oxford – additional development	Core Strategy
ED.8	University of Oxford – student accommodation	Core Strategy
SR.1	Protection of indoor sports facilities	Core Strategy
SR.3	New indoor and open-air sports facilities	Core Strategy
SR.15	Community facilities	Core Strategy
RC.1	Oxford's retail hierarchy	Core Strategy
RC.2	Retail hierarchy – district centres	Core Strategy
RC.16	Cashpoint machines	Deleted through 'saved policies' schedule
TA.1	Tourism strategy	Core Strategy
TA.6	Culture and art attractions	Core Strategy
DS.1	Abbey Place Car Park	West End AAP
DS.3	Albion Place Car Park	West End AAP
DS.5	Barton Village School Site	Deleted through 'saved policies' schedule
DS.6	Part of Bayswater School	Deleted through 'saved policies' schedule

OXFORD CITY COUNCIL
LOCAL DEVELOPMENT SCHEME

DS.14	Castle Site	Deleted through 'saved policies' schedule
DS.16	Oxford & Cherwell Valley College, Oxpens Road	West End AAP
DS.17	Cooper Callas Site, Paradise street	West End AAP
DS.26	Donnington School Site, Cornwallis Road	Deleted through 'saved policies' schedule
DS.30	Gloucester Green Coach/Bus Station	West End AAP
DS.35	Hythe Bridge Street and Park End Street	West End AAP
DS.40	Leaffield Road, Temple Cowley	Deleted through 'saved policies' schedule
DS.53	OAC Factory Site, Woodstock Road	Deleted through 'saved policies' schedule
DS.54	Odeon Cinema, George Street	West End AAP
DS.56	Osney Warehouse, Osney Lane	West End AAP
DS.61	Oxford Station, Botley Road and Becket Street Car Park	West End AAP
DS.62	Oxpens Road Site	West End AAP
DS.63	Paradise Street Workshops	Deleted through 'saved policies' schedule
DS.68	Rewley Road Fire Station	West End AAP
DS.69	Rivermead Rehabilitation Centre, Abingdon Road	Deleted through 'saved policies' schedule
DS.75	Speedwell School Site, Littlemore	Deleted through 'saved policies' schedule
DS.76	Telephone Exchange, Speedwell Street Site	West End AAP
DS.77	Land to the West of St. Aldates and South of Queen Street	West End AAP
DS.78	St. Aldates Regeneration Zone	West End AAP
DS.79	St. Aldates Police Station and Land to the Rear	West End AAP
DS.84	Temple Cowley School Site, Temple Road	Deleted through 'saved policies' schedule
DS.85	The Trap Grounds, North Oxford	Deleted through 'saved policies' schedule
DS.88	Westgate Shopping Centre	West End AAP
DS.89	Windmill School site, Headington	Deleted through 'saved policies' schedule
DS.91	Worcester Street Car Park	West End AAP

Appendix 4:

Relationship between adopted Supplementary Planning Guidance and 'Saved' Policies

The table below sets out a list of existing adopted Supplementary Planning Guidance. These Supplementary Planning Guidance documents will, under the transitional arrangements, be a material consideration while the policies and proposals they supplement remain 'saved'.

Document	Date	Links to Saved Policies
Development Guidelines: Canalside Land, Jericho	October 2001	Policy DS.13 of the OLP.
Development Guidelines: Milham Ford School Site, Marston	December 2001	Policy DS.48 of the OLP.
Development Guidelines: Suffolk House, Summertown	October 2001	Policy DS.81 of the OLP.

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To: City Executive Board

Date: 21 September 2011

Report of: Head of Customer Services

Title of Report: Discretionary Housing Payments

Summary and Recommendations

Purpose of report: To approve the request for additional Discretionary Housing Payment funding, and to approve the new Discretionary Housing Payments Policy

Key decision? No

Executive lead member: Cllr Val Smith

Policy Framework: N/A

Recommendation(s):

1. To provide £34,000 from the Homeless Contingency Budget to provide funding for Discretionary Housing Payments(DHP), allowing Oxford City Council to spend the maximum amount on DHP permitted by regulations, and ensuring that the maximum number of tenancies can be sustained.
2. To adopt the changes in the Council's DHP policy outlined in Section 4
3. To delegate authority to amend this policy during the year, in order to keep DHP spend within permitted limits, to the Head of Customer Services in conjunction with the Portfolio Holder for Customer Services and Head of Community Housing.
4. To keep the DHP function within the Benefits Service
5. To agree the amended DHP Policy in Appendix 1
6. To ensure the Department of Work & Pensions (DWP) are informed about the requirement for Oxford to overspend its DHP Grant.

1. INTRODUCTION

1.1 Discretionary Housing Payments (DHP's) are monies allocated by local authorities under legislation set out in the Child Support, Pensions and Social Security Act 2000 and The Discretionary Financial Assistance Regulations 2001 (SI2001/1167). In summary, the funds can be used to meet eligible rent or council tax costs for people already in receipt of housing and council tax benefit. The customer must make an application for the payment, and the council must consider the applicants financial need if an award is to be made. In effect, the

fund allows some local discretion to meet the needs that are not adequately covered by the national benefits scheme.

1.2 In the interests of administering the fund fairly and consistently, it is recommended that the council have a clear policy and criteria on which to base these decisions. This should take into account the local housing situation and other significant factors. The current policy is at Appendix 1 of this document.

1.3 Guidance from the Department of Communities & Local Government (DCLG) and the Department for Work and Pensions (DWP) recommends using the DHP fund as one way of preventing and tackling homelessness. On occasions a small increase to Housing Benefit payments via the DHP fund can secure adequate housing at a much lower cost to the council than dealing with the same customers as homeless. The guidance also advises that support from the DHP fund, should generally be temporary in nature.

1.4 More importantly this is also a much preferable option for the customers involved. The prevention of homelessness is one of the Council's key objectives, and the payment of DHP's supports this. Since 2004, the Council has reduced the number of families in temporary accommodation from over 1,000 to 156. This has largely been achieved by placing people in private sector accommodation through the Home Choice scheme. Payment of DHP helps sustain these tenancies where shortfalls in Housing Benefit might otherwise lead to evictions.

2. SCHEME COST

2.1 Oxford City Council pays out around £68 million per annum in Housing & Council Tax Benefits to around 12,500 households. The majority of this is claimed back in subsidy from central government. Many of these households receive sufficient Housing and Council Tax Benefit to cover their rent and council tax in full. Those who do not, fall into two main categories:

- 1) Those that are working or have other income above the basic minimum levels. Their benefit is reduced in proportion to their income.
- 2) Those that are in properties considered too large by the national scheme for the household or more expensive than the average for Oxford.

2.2 In 2011/12 the government increased its DHP grants to Councils from £20 million to £30 million. From 2012/13 this will increase further to £60 million. The recent additional funding has been diverted to the Councils which are hit hardest by the Local Housing Allowance changes, effective from April 2011(see Appendix 3). This has mainly been London Authorities so our grant didn't increase significantly. The DWP are consulting on how to distribute the next tranche of additional funding at the moment. The Council has submitted a response to this consultation detailing its views on how this extra resource should be distributed.

2.3 Oxford's grant for 2011/12 is £105,520, increased from £81,907. Any spending up to this level will be funded by central government. Any spending above this level needs to be met from council funding. Regulations put a ceiling on DHP expenditure which is 2.5 times the central government grant. Therefore for 2011/12 this ceiling is £263,800

2.4 Last year Oxford City Council made 377 DHP awards totalling £132,442. As in previous years we received some additional funding from the Homelessness

Team to support payment of DHP. This amounted to £10,000 in 2010/11. The remainder was made up from the surplus in collection of overpaid Housing Benefit.

2.5 For the current year, the Homelessness Team are able to provide £125,000 in additional funding from Housing Needs budgets for Homelessness Prevention. It is in the Council's interest to overspend its DHP grant if possible. This is because the distribution of the core grant of £20 million is partly based on expenditure in the previous year. Our total budget for 2011/12 is therefore £230,520 (£105,520 plus £125,000). Oxford has been very successful in increasing the amount of grant it gets as a result of ensuring it spends over its allocation each year. This adds to the argument that DHP should be the first thing to consider in relation to expenditure for preventing homelessness.

2.6 Expenditure up to the end of June is £35,800. Continued expenditure at this level projects a total spend for the year of £143,200. However this doesn't take into account the additional demand that will be made on the budget in the last quarter of the year, as described below.

3. FUTURE DEMAND AND COSTS

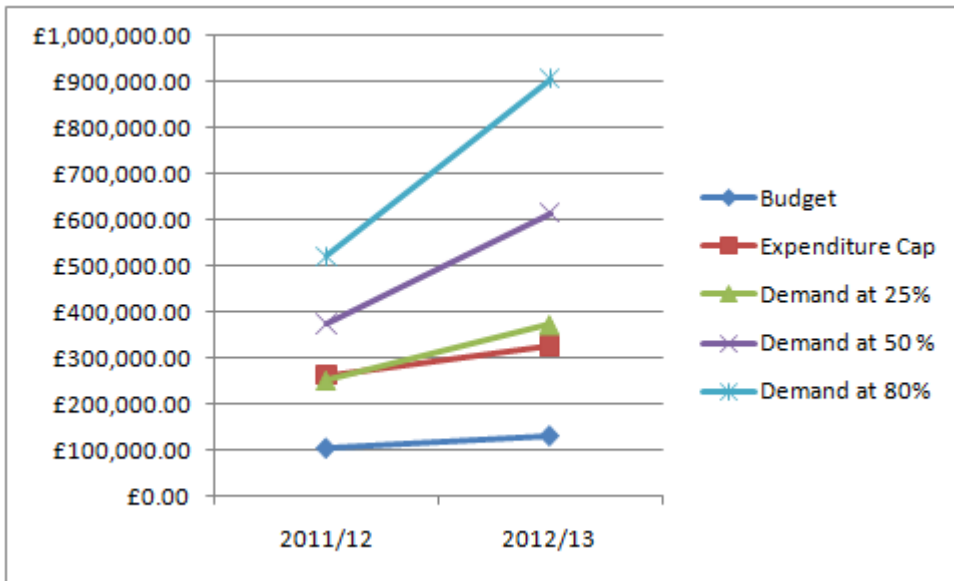
3.1 There is already more demand on the DHP budget, than the existing grant provision can meet. In the future, there will be even greater demand on the budget as a result of LHA changes which will see all claimants facing shortfalls, although there will be transitional protection for existing claimants (nine months after the next anniversary date of their claim, following 4 April 2011). It has been estimated that if those changes were fully implemented today, there would be a total shortfall of £1.5 million in payments of LHA in Oxford.

3.2 There are four possible responses that can be made to the reductions in LHA payments; Claimants could make up the shortfall themselves, Claimants could find cheaper accommodation, Landlords could reduce rents or accept the shortfall, or Claimants could request help from the Council. There is no way of knowing which options will be pursued, so in the table below future expenditure is shown based on 25%, 50% and 80% of people affected by the changes applying to the Council for help. The calculation of demand is explained in Appendix 2

These figures show that even with a modest increase in demand as a result of the LHA changes, DHP expenditure will need to increase up to the maximum level permitted by regulations.

	2011/12	2012/13*
Budget	£105,520.00	£131,000.00
Expenditure Cap	£263,800.00	£327,500.00
Demand at 25%	£252,618.75	£373,128.00
Demand at 50 %	£374,737.50	£615,757.00
Demand at 80%	£521,280.00	£906,912.00

**Estimated Budget*



4. OPTIONS

4.1 To address the significant potential shortfalls that are being faced in the DHP budget, there are a number of ways in which payments of DHP could be restricted. However in considering these options, it is important that the Council's objectives are considered, particularly in relation to the prevention of homelessness. By not making a DHP, the consequence could be that a family becomes homeless, and the Council have a duty to house them. The cost of a three bedroom house used as temporary accommodation is £300 per week. If a DHP of £30.00 per week (which is just over the reduction in LHA for 3 bedroom properties) would prevent this happening, then the Council is saving itself £270.00 per week, or £14,000 annually. As such, where there is a risk of homelessness, the solution could be to use money allocated for the prevention of homelessness to top up the DHP budget.

4.2 It should also be remembered that DHP's are discretionary and it is important that the Council does not fetter its discretion. As such whilst the Council needs to agree an approach to awarding DHP generally, it still needs to consider the merits of all DHP applications that are made.

4.3 The following options would all limit the amount of money paid in DHP:

A Do not pay Home Choice Cases

Currently half of DHP payments are made in respect of Home Choice properties. If DHP's were only used for non-Home Choice scheme cases then approximately £80,000.00 could be taken off the figures in the table above. Community Housing could use other funding streams such as the Homelessness Grant to support Home Choice tenants.

B Only pay Home Choice Cases

It could be argued that customers seeking Housing through the Home Choice scheme are some of the most vulnerable in Housing terms, and the Council should do all it can to support them. This would potentially exclude other vulnerable customers with different needs, and not support the aim of safeguarding tenancies.

C Restrict period of award

A number of Councils restrict payment of DHP to six months or even three months. Most of our awards are paid for the year, and often into subsequent years. Restricting payments to six months would save approximately 25% of the annual budget, or to three months would save approximately 70% of the budget.

D Do not use for short periods

Alternatively, a view can be taken that small payments for short periods are not preventing homelessness. Would a landlord evict someone for having a £250 shortfall over the course of a year? An option would be to only make a DHP if it was required for more than a fixed amount. If that amount was £250 we would save 18% of the budget based on 2010/11 expenditure. If it was £500, we would save 36%.

E Make awards until the budget runs out

A further option would be to spend up to the budget amount (or a fixed proportion over the limit), and then not make any further payments for the rest of the year. The problem with this option is that we may receive applications from people we would wish to support, later in the year when all funds have been dispensed. We would not be targeting money to people who need it most.

F Minor Policy Changes

The following are all areas where we could amend the DHP Policy to state that it is not intended to pay DHP's in the following circumstances:

Assistance with moving costs, rent in advance, and deposits

Shortfalls caused by a non-dependent deduction

A DHP is requested for a backdated period

DHP is not awarded where the applicant holds capital of over £16,000

Where the tenancy was not affordable when it was taken on

Where an applicant has multiple outstanding debts, and professional debt advice has not been sought nor a repayment plan established

Where there is affordable and suitable available alternative accommodation

Where applicants have not taken steps to reduce or remove their need for DHP and/or state the period of time they require the DHP

Multiple family units or households living in one property

4.4 Evaluation of Options

In order to meet the aims of the Council's DHP policy, it is recommended that Option F be adopted fully, and Options C & D be adopted as described below.

Option C:

DHP awards should be restricted to six months, unless there is no more affordable accommodation available which meets the needs of the applicant and their family. If there is no suitable, alternative accommodation, then sustaining a tenancy with DHP is the cheapest way of ensuring the claimant and their family are adequately housed. Community Housing will assist in making determinations as to whether suitable, alternative accommodation exists.

Option D:

DHP should not be awarded in cases where the total award is less than £250, or where the weekly award is less than £10. Amounts of this value are too small to make a difference when it comes to sustaining tenancies, and are relatively costly to administer.

Option F:

The DHP policy in Appendix 1 has been updated to reflect the measures included in this option. As with option C, Community Housing will assist in looking for alternative accommodation, and providing Housing advice to people who have shortfalls in their Housing Benefit. By working together with the Housing team, outcomes for claimants will be optimised.

Options A & B have the potential to exclude a large number of cases which the Council would wish to support, and as such is rejected.

Option E:

This is too arbitrary and does not allow the Council to direct support where it is most needed and which supports Council objectives. This too has been rejected.

As the policy is discretionary, we can not specifically rule out providing support in any given situation, and will consider exceptional cases (falling outside the general policy) on their individual merits if justification is provided.

5. BUSINESS CASE

5.1 As outlined above, the Council is permitted to spend £263,800 on DHP in 2011/12. The table in Section 3 shows that the demand for DHP is likely to be at least around this level for the current year. The government grant and contribution from Community Housing amounts to £230,520. A further £33,280 is required to allow the Council to maximise expenditure in this area.

5.2 £1,300 of DHP can sustain a tenancy for a family in a three bedroom property, by making up the difference between the old and new LHA rates. To house the same family in temporary accommodation would cost a minimum of £300.00 per week (£15,600.00 per year). Due to the shortage of temporary accommodation, Community Housing are having to increasingly turn to B&B style accommodation at a minimum cost of £450 per week (£23,400.00 per year).

5.3 Using DHP to sustain tenancies is a way of leveraging Council resources by avoiding the cost of temporary accommodation. In this way expenditure of £33,280 can save costs of £600,000.00. With 69 families currently in imminent danger of homelessness, this is an entirely realistic cost that the Council could be faced with.

6. LOCATION OF DHP FUNCTION

6.1 Consideration has been given as to where the DHP function should sit. Currently it is part of the Benefits Service, but it could be delivered by Community Housing.

Option 1 – Relocate the DHP budget and assessment function into Housing Needs

By relocating the DHP function into Housing Needs, all budgets relating to the prevention of homelessness and sustainment of tenancies would be in one place. As a potential impact of not paying DHP is that households become homeless, there is an argument that having a single point of control over both DHP and homelessness prevention/ temporary accommodation budgets helps to ensure

that the Council makes the most effective decisions, not least to minimise public expenditure.

Housing Needs are best placed to determine, the most appropriate option to help people who can't afford their accommodation. They can consider potential consequences for each case, together with the associated costs. Some double handling of work in relation to Home Choice applications would be eliminated, making the processing of Home Choice claims more straightforward. In addition, Housing Needs officers can assist with rent negotiations with landlords, where this might be feasible, and ensure that this work is fully incorporated into the DHP decision-making process.

However, the Housing Benefit context for this work would be lost, and there would need to be greater liaison between Housing Needs and Housing Benefits to manage cases, resulting in double handling of casework between teams. Housing Needs officers would require training in administering DHP, and Housing Benefits would still need to process the payments through their processes and ICT systems.

Option 2 – No change

If the DHP function did not move, the reverse of the above would be true, in that there would continue to be some dislocation in the management of the DHP and Homeless Prevention/ Temporary Accommodation budgets. The Home Choice team would continue to need to make some DHP requests on behalf of customers, resulting in doubling handling of information amongst Council officers. However, Housing Benefits would continue to deliver the Council functions that are overseen by the DWP, and manage that process from start to finish.

Recommendation

We would recommend Option 2 (No change), on the basis that any negatives of this arrangement can be overcome through effective joint working between the Housing Needs and Housing Benefit teams, with a corporate understanding of the impact on homelessness of limiting DHP, and an appreciation of the resulting costs of this. The Council's Legal Department also advised that we should retain the current arrangements from a governance perspective.

7. RISK

7.1 An evaluation of the risks associated with the implementation of this policy has been carried out. A detailed risk register is at Appendix 4.

8. CLIMATE CHANGE

8.1 This report has no impact on the Council's Carbon footprint.

9. EQUALITIES IMPACT

9.1 A Screening exercise has been carried out and is at Appendix 5. No undue, adverse impacts have been identified. However as the DHP budget is finite, and needs to be allocated within set guidelines, monitoring will be carried out to ensure there are no unintended consequences of the policy to any specific group of customers.

10. FINANCIAL IMPLICATIONS

10.1 One of the aims of this report is to seek the approval of recommendations which will limit expenditure in relation to homelessness. To do so requires expenditure of £34,000.00 from funds set aside as a contingency to deal with the consequences of an increase in homelessness. The measures outlined in this report, are intended to prevent this happening in the first place.

10.2 As outlined above in 5.3, a small expenditure in DHP, can help prevent much higher costs related to placement of people in temporary accommodation. The costs of this can be 18 times greater than the amount of DHP required to sustain someone in their current accommodation.

11. LEGAL IMPLICATIONS

11.1 The recommendations of this report are within the scope of the Child Support, Pensions and Social Security Act 2000 and The Discretionary Financial Assistance Regulations 2001 (SI2001/1167), and subsequent amendments. Those administering DHP will ensure that assessments and payments are compliant with all applicable regulations.

11.2 As policy in this area is discretionary, the Council must ensure it does not fetter its discretion. Exceptional cases (which fall outside the scope of the general policy) will be considered on their individual merits.

Appendices to report –

- Appendix 1 – Amended Discretionary Housing Payments Policy
- Appendix 2 – Calculation of Future Cost of Discretionary Housing Payments
- Appendix 3 – List of Changes to Local Housing Allowance
- Appendix 4 – Risk Register
- Appendix 5 – Equalities Impact Assessment

Name and contact details of author:-

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List of background papers:

Version number: 1

Appendix 1 – Oxford City Council’s Discretionary Housing Payment Policy

Allocation of Discretionary Housing Payments

1. Aims

- 1.1. To distribute funding granted under the discretionary housing payment scheme in an equitable way to meet given criteria, and to promote the following objectives:
 - alleviate poverty;
 - support vulnerable young people in the transition to adult life;
 - encourage Oxford City residents to seek and retain employment;
 - sustain tenancies and safeguard Oxford City residents in their homes;
 - help those who are trying to help themselves;
 - keep families together;
 - support the vulnerable in the local community;
 - help claimants through personal crises and difficult events.
 - Promoting good educational outcomes
- 1.2. In particular the Council wishes to support the following groups of people to remain in their current property, or neighbourhood:
 - Families with children at a critical point in their education
 - Young people leaving Local Authority care
 - People who would suffer a significant reduction in their quality of life if they had to leave the local area
 - People who have been previously homeless
 - People moving into work or undertaking training
 - People moving into affordable accommodation
 - Large families with no suitable alternative accommodation
 - Claimants being supported by Home Choice
- 1.3. To ensure as far as possible all customers are made aware of the availability of discretionary housing payments
- 1.4. To ensure central government funding for payments is spent in full.

2. References

- 2.1. DWP Guidance manual sections
- 2.2. Legislation
- 2.3. HB/CTB circular

3. Operation of the Scheme

- 3.1. The Benefits Service will treat all applications for DHP on their individual merits.
- 3.2. It is not usually intended to award DHP in the following circumstances, unless to do so would strongly support aims outlined in 1.1 and 1.2 above:
- Assistance with moving costs, rent in advance, and deposits
 - Assistance with Council Tax Benefit
 - Shortfalls caused by a non-dependent deduction.
 - Where a DHP is requested for a backdated period
 - Where Capital in excess of £16,000 is held
 - Where the tenancy was not affordable when it was taken on.
 - Where an applicant has multiple outstanding debts, and professional debt advice has not been sought, nor a repayment plan established
 - Where there is affordable and suitable available alternative accommodation.
 - Where applicants have not taken steps to reduce or remove their need for DHP, and/or state the period of time they require the DHP.
 - Where multiple family units or households are living in one property
- 3.3. In deciding whether to award a DHP, the Benefits Service will consider:
- how the award will meet the objectives above (paragraph 1.1 and 1.2)
 - the shortfall between Housing Benefit and the liability;
 - any steps taken by the claimant to reduce their rental liability;
 - the financial and medical circumstances (including ill health and disabilities) of the claimant, their partner and any dependants and any other occupants of the claimant's home;
 - the income and expenses of the claimant, their partner and any dependants or other occupants of the claimant's home. (All applicants will be required to complete an Income & Expenses Form.) Where it is felt that expenditure is inappropriate or incompatible with award of a DHP, the claimant will be referred to the CAB (or other appropriate agency)
 - any savings or capital that might be held by the claimant or their family;
 - the level of indebtedness of the claimant and their family;
 - the exceptional nature of the claimant and his / her family's circumstances;
 - the amount available in the DHP budget at the time of the application;
 - the possible impact on the Council of not making such an award, e.g. the pressure on priority homeless accommodation;
 - whether alternative, suitable and affordable accommodation is available
 - any other special circumstances brought to the attention of the Benefits Service.

The Benefits Service will decide how much to award based on all the circumstances. This may be an amount below the difference between the liability and the payment of Housing Benefit and / or Council Tax Benefit. An

award of a DHP does not guarantee a further award at a later date even if the claimant's circumstances have not changed.

- 3.4. The Benefits Service considers the DHP scheme should usually be seen as providing short-term financial assistance. The period of the award will be decided based on the criteria above and any evidence supplied. Normally awards will be made for a maximum of six months, unless there is no alternative, suitable and affordable accommodation, or where to make a longer award but support the aims set out in 1.1 and 1.2 above. The start date of the award will normally be:
 - the Monday after the Benefits Service receives the written claim for a DHP; or
 - the date on which entitlement to HB/CTB starts; or
 - another date, where this fulfils the objectives of this policy better than the dates above.
- 3.5. Where the applicant appears to be entitled to another state benefit that they are not receiving, they will be advised to make a claim, and provided with details of other agencies in the city who may be able to help with such a claim. Any DHP will be awarded in light of the result of this claim.
- 3.6. The Benefits Service may need to revise an award of a DHP where the claimant's circumstances have materially changed. Any revision to the award will take effect from the Monday following the date of change in circumstances. If a revision of an award leads to overpayment then steps will be taken to recover this money if it is reasonable in the circumstances to do so.
- 3.7. To further the aim of safe guarding tenancies, a DHP will normally be made payable to the claimant's landlord. If the claimant wants the payment made to another party, they should make this request on the application form. This could be:
 - the claimant;
 - their partner;
 - an appointee;
 - their landlord (or an agent of the landlord); or
 - any third-party to whom it might be more appropriate to pay.
- 3.8. The Benefits Service will pay an award of DHP by the most appropriate means available in each case. This could include payment:
 - by BACS
 - by cheque
 - by crediting the claimant's rent account

Payment frequency will normally be made in line with payments of Housing Benefit.

- 3.9. Decisions regarding DHPs will be notified to the claimant within 14 days giving brief reasons for the decision and explaining the right of review the claimant has.
- 3.10. A more senior officer will review any DHP decision that is disputed by the claimant. If the decision is upheld and remains disputed a panel of senior council officers will meet to further review the decision. If the decision is still upheld, any further dispute must be dealt with by judicial review.
- 3.11. The Benefits Service is committed to the fight against fraud in all its forms. A claimant who tries to fraudulently claim a DHP by falsely declaring their circumstances, providing a false statement or evidence in support of their application, may have committed an offence under the Theft Act 1968. Where the Benefits Service suspects such a fraud may have occurred, the matter will be investigated and this may lead to the instigation of criminal proceedings.
- 3.12. The Benefits Service will publicise the scheme and will work with all interested parties to achieve this. A copy of this policy statement will be made available for inspection and will be posted on Oxford City Council's web site.
- 3.13. The Team Leader/ Manager will extract reports from the DHP software on a monthly basis to ensure that expenditure is within budget and is correctly profiled to ensure no overspend at the end of the financial year. Spending to date and projected annual spending will be reported on a quarterly basis to voluntary groups and housing providers. Overpayments will be reconciled on a monthly basis.

4. Review

- 4.1. This policy was implemented with effect from 1 October 2011. It will be reviewed no later than 1 October 2013.

Appendix 2

Calculation of Future Cost of Discretionary Housing Payments

We pay approximately half of the DHP applications we receive. Based on the number of applications received up to the end of December 2010, we should get around 700 applications in total for the year. LHA cases account for 90% of all requests for DHP, which would be 630 cases. There will be extra demand for DHP's from all other LHA cases as they will have shortfalls based on the new way of calculating the LHA rates. This numbers an additional 1,757 cases. These existing cases will be subject to transitional protection as described above, so will only create extra demand once this runs out.

New cases however will be subject to the new rules straight away. Approximately 650 new cases are received each month, of which 20% will be LHA cases (130).

So for 2011/12, it is estimated that 1560 new cases and 439 existing cases will be come subject to the new rules. The existing cases will only be affected for a short period during 2011/12 (as cases will become subject to the new rules at different times during the year) so I will treat that figure as 55 cases for the purpose of calculating the annual demand. ($439 / 12 * 1.5$, reflects the fact that each affected case will be affected for an average of 1.5 months)

Similarly as the 1560 new cases won't all be affected for the full year, I will treat that figure as 780. This is a total of 835 cases. There are four response that affected people could opt for, so I have made calculations allowing for 25%, 50%, and 80% of cases requesting assistance from the Council.

The average weekly shortfall is estimated to be £22.50 per week, so this figure is used to calculate the increase in demand. I have continued to assume that half of applications will be successful.

The same principles have been used to estimate the additional requirements in 2012/13.

Appendix 3

Housing Benefit and Council Tax Benefit Changes 2011-13

- April 2011: National cap on rates of Local Housing Allowance (LHA)
Removal of the 5 Bedroom Rate from the LHA Scheme
LHA Rates set against the 30th percentile of local rents
An Additional Room allowed for claimants requiring an overnight carer
Transitional Protection provided for existing claimants
Increases in Non-Dependant Deductions
- January 2012: Extension of Shared Accommodation rate to 25-34 year olds.
- April 2013: Introduction of Total Benefit Cap (£500 for families)
Replacement of Council Tax Benefit
LHA rates to be updated by CPI
Size restriction applied to social sector
- October 2013: Introduction of Universal Credit

Appendix 4

Risk Register

Nos.	Raised by	Date Raised	Probability	Impact	Gross Risk Score	Proximity	Description	Mitigation	Owner	Target Date	Revised Probability	Revised Impact	Residual Risk Score
126 DHP001	PW	16/08/2011	3	4	12	Short term	Council fails to maximise DHP expenditure	Ensure that DHP report clearly outlines the consequences of not maximising support, and demonstrates its cost effectiveness compared to alternatives	PW	31/03/2012	2	4	8
DHP002	PW	16/08/2011	4	4	16	Short term	Those most in need of support don't receive it due to budget being spent before EOY	Monitor expenditure monthly. Provide scope to amend policy during year to target those most in need	PW	31/03/2012	3	3	9

DHP003	PW	16/08/2011	3	2	6	Short term	Low take up of DHP due to lack of awareness among customers	Promote DHP through partner organisations, and Council publicity materials	PW	31/01/2012	2	2	4
DHP004	PW	16/08/2011	2	4	8	Short term	Unintended negative impact on specific customer groups	Monitor successful and unsuccessful applications against the criteria established in the policy	PW	31/01/2012	1	4	4

Appendix 5

Discretionary Housing Payments Policy – Equalities Impact Screening 16 August 2011

1. Which group (s) of people has been identified as being disadvantaged by your proposals? What are the equality impacts?

The recommendation proposes extending the amount of financial support available for people whose Housing Benefit does not meet their rental liability. The proposed source of this funding is the Homelessness Prevention Fund which is precisely the kind of expenditure for which the fund is intended to support. To this extent, more families will be supported by implementing these changes than by leaving things as they are.

Last year 377 claimants were supported with DHP payments in Oxford. Approximately 90% of these were private tenants, receiving Local Housing Allowance (LHA). The government have made a number of changes to LHA regulations which will see the amount of Housing Benefit received by these claimants reduce. There are approximately 2,500 recipients of LHA in Oxford, which is 20% of the whole caseload. All of these claimants not already in receipt of DHP may need support from the Council to retain their tenancy. It is therefore anticipated that most of the additional DHP spend will go to private sector claimants.

Social sector tenants are not seeing the same kind of reductions in their entitlement. However the revised policy will apply equally to claimants in the social sector.

A consequence of the reduction in LHA rates is that private sector landlords are moving away from the Housing Benefit market. With a robust market for students and young professionals, landlords are able to obtain higher rents in these markets. If landlords are aware that the Council is trying to support people in the private sector, they may be encouraged to remain in this market. A recent survey of available two bedroom properties in Oxford showed that there were only 10 properties within the LHA rate. However of these only one landlord was prepared to let to an LHA claimant.

The award of DHP's is intended to prevent homelessness. An analysis of people presenting as homeless shows that Black/Black British people are over represented (14.3% against Office of National Statistics projection of 3.2%). White British (52.3% /71.7%) and Chinese and Other ethnic groups (1.7%/5.1%) are under represented. Asian and Asian British people are represented in line with expectations (5.4%/6.2%) The ability to provide further support with DHP's should therefore impact on these groups in a similar way.

Within the new DHP policy it is proposed not to provide support for shortfalls

in Housing Benefit caused by a result of a non-dependant deduction. The impact of this change will not impact one group any more than another.

The proposal not to support multiple family groups living together in a property could impact more upon families of a SE Asian background. However support will still be provided if there is no suitable alternative accommodation. The reason for not providing this support is that government has restricted payment of Local Housing Allowance to properties with four bedrooms. The cost of supporting multiple family units in larger properties is very expensive and takes a significant proportion of the total DHP budget. As such it is reasonable to expect that some larger families may not receive support, or may receive a reduced level of support.

Figures for the amount of support provided to multiple family units are not currently available. However individual DHP awards in this category tend to be around £5,000 - £8,000 p.a. Following the adoption of the amended policy, these awards will be monitored so we have a clear picture of the impact on the DHP budget.

2. In brief, what changes are you planning to make to your current or proposed new or changed policy, strategy, procedure, project or service to minimise or eliminate the adverse equality impacts?

Please provide further details of the proposed actions, timetable for making the changes and the person(s) responsible for making the changes on the resultant action plan

The aim of amending the DHP policy is to help more families and individuals retain their tenancies than are currently supported. In addition to the financial support that we can provide, our Housing team will assist customers in negotiating new rents with landlords and in trying to find alternative accommodation if the rent is unaffordable. We will also be signposting customers who are in debt to appropriate advice agencies who can assist them in tackling this issue. At some point during the next year, all LHA recipients may have need to access this support, as they deal with the consequences of a reduction in their benefit payments.

For families who may be affected by a restriction in support for multiple family units who are living together, we will assist in locating suitable accommodation for the different families. Where this can not be found, we will continue to support them in their existing accommodation as far as the DHP budget allows.

Please note that the Home Choice team already do this for families who are in danger of becoming homeless. Oxford has been previously recognised as a Homelessness Champion and has a great deal of experience with this kind of work.

3. Please provide details of whom you will consult on the proposed changes and if you do not plan to consult, please provide the rationale behind that decision.

Please note that you are required to involve disabled people in decisions that impact on them

We are not consulting externally on the change to the DHP policy. The report is the product of joint working between the Benefits and Housing team. By working together we were able to properly consider the impact of changes in the DHP policy on the ability to sustain tenancies. It has also been possible to consider how realistic it is that people will be able to find alternative accommodation which has helped predict the increased demand on the DHP budget. Due to the restrictions imposed by regulations in this area, the Council is quite constrained in the actions it can take. As such the process of consultation may raise unrealistic expectations and would be a non-productive exercise at this point. as it would not generate any information that the Council hasn't already anticipated or did not know.

4. Can the adverse impacts you identified during the initial screening be justified without making any adjustments to the existing or new policy, strategy, procedure, project or service?

Please set out the basis on which you justify making no adjustments

As outlined in Section 2 above, adjustments have been considered to provide support to anyone who is adversely impacted by this policy. In addition, as this policy is discretionary, all applications will be considered on their merit. Where an application meets the aims outlined in sections 1.1 and 1.2 of the policy, it is intended to provide support.

The policy is a fairly straightforward one to apply. The primary concern is that any future difficulties will be due to the anticipated rise in the volume of claims that will be made. CEB should note that, as it is a discretionary payment the Council are not intending to set out any circumstances in which we definitely wouldn't support someone. If an application meets various policy aims, it will be successful.

5. You are legally required to monitor and review the proposed changes after implementation to check they work as planned and to screen for unexpected equality impacts.

Please provide details of how you will monitor/evaluate or review your proposals and when the review will take place

Unsuccessful applications for DHP will be reviewed on a quarterly basis to try and identify any trends showing unexpected equality impacts. This will be undertaken by the Benefits team leader responsible for this area. The first review will be made in January 2012.

We will monitor recipients by ethnicity, and also in respect of the impact of the proposed changes as outlined in the main body of the report. Monitoring will be carried out on both successful and unsuccessful applications. Monitoring reports will be provided on a monthly basis.

Lead officer responsible for signing off the EqIA: Paul Wilding

Role: Benefits Manager

Date: 21 September 2011

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To: City Executive Board
Date: 21 September 2011
Report of: Head of City Leisure & Parks
Title of Report: Phase two leisure centre works

Summary and Recommendations

Purpose of report: To seek approval to progress phase two leisure centres improvement works.

Key decision? Yes
Executive lead member: Councillor Van Coulter

Report approved by: Tim Sadler

Finance: Val Craddock
Legal: Lindsay Cane
Procurement: Nicky Atkins

Policy Framework:

- Stronger, active communities
- Efficient, effective council

Recommendation(s):

1. That project approval is given to phase two of the leisure centre improvement works.
2. That the business case for phase two is approved and that a bid to the council's capital budget is made in October.
3. That approval is given to commence preparatory works.
4. That delegated authority is given to the executive director for city services to award the works contracts.

1. Introduction

- 1.1 In May 2009 the City's Executive Board agreed the Leisure Facilities Review. It detailed an approach to developing a sustainable leisure offer by reducing the number of our leisure facilities and improving the quality of the remaining centres so they have a wider appeal.
- 1.2 Since March 2009 the city's leisure centres have been operated by Fusion Lifestyle, who are a social enterprise with charitable status.
- 1.3 In October 2010 phase one of the improvement works were completed which have witnessed an annual increase of 98,000 visits to our leisure centres, with a disproportionately high number of these visits being from our target groups.
- 1.4 The attached business case details what are termed "phase two" works which will continue to improve the quality of the city's leisure offer.
- 1.5 By investing in leisure centres the council is achieving a good return on its capital, alongside achieving its corporate objectives and as the property owner the council retains the residual asset value derived from the investment.

2 Phase Two Developments

Phase two developments will take place at the following sites:

- Ferry Sports Centre
- Blackbird Leys Leisure Centre
- Oxford Ice Rink
- Barton Pool.

2.1 Ferry Leisure Centre

The first phase of capital investment at the centre has proved very successful with significant growth in participation and membership numbers at the site. The aim of the second phase capital developments is to address and capitalise on the continued and increasing demand for a broader fitness offering by providing additional group exercise studio space and flexibility. In addition, it is proposed that works will be undertaken to the entrance/foyer areas in order to improve the first impression for customers, to help to address current reception congestion problems and to provide additional facilities/services designed to encourage use of the facility by the whole family.

With these aims in mind, the key elements of the development proposals are as follows:

- creation of a dedicated spin studio by conversion of one of the remaining squash courts
- reconfiguration of the existing entrance, foyer and office areas to create simple café and soft play facilities.

2.2. Oxford Ice Rink

Fusion are confident that the Ice Rink has significant potential and represents both a great opportunity and a fundamental part of the City's high quality leisure portfolio. The key elements of the development proposals are as follows:

- improvement to the first floor areas, including entrance, foyer, reception, circulation, café and meeting rooms, so as to create a high quality and attractive customer offer.
- creation of additional multi-purpose/meeting space.
- improvements to the external décor and signage.

2.3. Blackbird Leys Leisure Centre

Fusion's original tender incorporated plans to undertake the resurfacing and refurbishment of the existing outdoor tennis courts so as to enable multi-use activity, including floodlit five-a-side football. While not prioritised in Phase One of the works, it is a key element of the Second Phase of works and complements the planned development of the Competition Standard Pool on the site.

2.4 Barton Leisure Centre

The construction of the fitness suite at the Barton Pool has significantly increased participation and income generation at the site and has created a more complete and coherent offer to the users and prospective new users. This successful development will be added to with the introduction of indoor "spin" cycling. Fusion will purchase the required equipment and a small store in the existing studio will be constructed so as enable safe and secure storage of kit when it is not in use.

3. The overall objectives of the proposals are to:

- Further the aspiration of delivering World Class leisure services.
- Have a positive impact on participation in sport and physical activity within the City, both by the general population and by members of target groups.

- Increase the sustainability of the facility portfolio by facilitating increased income and reducing ongoing net subsidy requirements.

4. Level of Risk

The works are relatively straight forward and pose a minimal level of risk, these risks are covered in the risk register in appendix one.

5. Climate change / environmental impact

- 5.1 While the works will lead to more people using the centres both Fusion and the Council continue to encourage access by public transport, or by none vehicular methods to reduce the carbon impact.
- 5.2 The building works will be undertaken using considerate construction practices.

6. Equalities Impact

- 6.1 The developments will be fully accessible and in line with all our leisure facilities they will continue to be offered at concessionary rates to those qualifying for benefits and their dependents.

7. Financial Impact

- 7.1 There will be a benefit in the reduction in the management fee from the development above and beyond the repayment of the capital. The detail is included as a confidential appendix as negotiations with Fusion are still underway and the level of detail involved is commercially sensitive.
- 7.2 The Council also benefit from a contract wide profit share which sees the Council retaining the majority of any contract surpluses.
- 7.3 The Council's Corporate Asset Management Group support the business case but feel that the scheme should be weighed against all other capital schemes that may emerge from the initial stages of the 2012/13 budget setting process. However, the Corporate Management Team took the view that as the prudential borrowing costs would be met from leisure budgets that the scheme can proceed in year.

8. Legal Implications

It is proposed that OCC appoints Fusion as the agent and Fusion then appoints the Project Manager. OCC will then directly appoint the contractor which has the benefit of the council being able to use its VAT exemption.

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List of background papers:

Leisure Facilities Review, May 2009

Version number: 4

Appendix 1 – Risk Register

Risk Register Relating to: CEB Report – Phase two improvement works

Date: September 2011

No.	Risk Description Link to Corporate Obj	Gross Risk	Cause of Risk	Mitigation	Net Risk	Further Management of Risk: Transfer/Accept/Reduce/Avoid	Monitoring Effectiveness	Current Risk	
Risk Score Impact Score: 1 =Insignificant; 2 = Minor; 3 = Moderate; 4 = Major; 5 = Catastrophic Almost Certain					Probability Score: 1 = Rare; 2 = Unlikely; 3 = Possible; 4 = Likely; 5 =				
1	The budget is not sufficient	3 2	Exclusions not costed Risks not costed An inadequate contingency	<ul style="list-style-type: none"> Develop a fully costed business case (IB, (Sep 2011)) Finance business partner to sign off the financials (VC, Aug 2011)) A 20% contingency utilised (IB, Aug 2011)) The risk is transferred to Fusion (IB, Sep 2011)) 	2 2	Action: Reduce Undertake a risk workshop with Fusion (LC, Sept 2011) Action Owner: Ian Brooke Mitigation Control Owner: Ian Brooke / Lucy Cherry	Outcome required: Accurate costings Milestone Date: September 2011	2 2	
2	Works not completing on time	3 3	Project roles not understood Milestones not clear Budget not agreed	Utilise a project management methodology – JB, Aug 2011 A budget bid to October's council – IB, Aug 2011	2 2	Action: Reduce Utilise a project management methodology (IB, Sept 2011) Action Owner: IB, Aug 2011 Mitigation Control Owner: Ian Brooke / Lucy Cherry	Outcome required: An clear, agreed project plan in place Milestone Date: September 2011	2 2	

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By virtue of paragraph(s) 3 of Part 1 of Schedule 12A
of the Local Government Act 1972.

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To: City Executive Board

Date: 21 September 2011

Report of: Executive Director City Services

Title of Report: Income Generation through service supplies to public sector bodies and Charging for Discretionary Services

Summary and Recommendations

Purpose of report: To provide an update on the approach proposed to take forward the proposal contained in the Council 2012 strategy that the Council seeks to optimise income, thereby reducing net costs to the Council through trading.

Key decision? No

Executive lead member: Cllr Bob Price

Policy Framework: Efficient, Effective Council

Recommendation(s):

City Executive Board is recommended to:

(a) Approve the overall framework for charging third parties for discretionary services as outlined in this report;

(b) Approve the overall framework for the supply of goods and services to other public bodies as outlined in this report;

(c) Delegate the decision on whether to enter into arrangements with private sector bodies under which the Council would charge for services provided within or outside the City to the relevant director, provided that the value of such arrangements do not exceed £100,000.

(d) Delegate the decision on whether to enter into arrangements with other public bodies under which the Council would provide goods and/or services to such other public bodies within or outside the city but within Oxfordshire to the relevant director, provided that the value of such arrangements do not exceed £100,000.;

Appendix 1	Legal implications of Charging and Trading.
Appendix 2	Risk Assessment
Appendix 3	Equalities Impact Assessment
Appendix 4	Charging & Trading Hierarchy of Risk diagram

1 Introduction

The Council has been charging for discretionary services, quite legitimately, for many years. Obvious examples include trade waste collections, pest control and more recently charging for planning advice.

What is proposed in the “Council 2012” strategy sees this rather opportunistic largely historically based approach being developed into a focused strategy determined to raise income for the Council to offset the current cost of services. With this switch and increased opportunity comes increased risk.

This report sets out how officers intend to minimise and manage that risk and make the most of the opportunities to increase income.

Whilst it is unlikely that the “Localism Bill” will provide any relaxation of the rules around trading, the intent is to derive income within the existing powers and legal constraints without setting up an “arms length” company specifically to trade.

This means that our focus will be on charging for discretionary services on a cost recovery basis but charging on a cost recovery plus basis with other public sector bodies.

2 Legal implications

The Corporate Management Team recently reviewed the legal implications of trading with the attached paper from the Head of Law and Governance (Appendix 1). This shows that we need to be careful when using the term trading as what we are intending, at least in the short to medium term, is to extend our charging for discretionary services and provision of services to other public sector bodies.

3 Financial implications

No specific sum has been placed in the budget to be attained through trading. However, the expectation clearly exists.

The overall intent is to maximise the benefit to the Council and residents by generating income predominantly from the use of surplus capacity thus reducing unit overhead costs and therefore the cost of services.

Raising income does bring with it risk. The main risks are not covering costs in prices charged and contractual risks.

It is therefore proposed that charging only takes place where:-

- There is a clear understanding of direct costs
- Proposed charges cover direct costs and make a contribution to overheads
- Proposals to enter into contracts for the provision of services have a sound business case which has had input from Finance and Legal and been approved by the relevant director and, for major projects (i.e. over £100k), CEB.

It is important that the risk is understood and managed and a risk analysis is given in Appendix 2. However, it is also important to give service managers sufficient scope within an appropriate framework to set charges to meet the particular circumstances and therefore key delegations are sought to enable officers to operate effectively.

4 Approach to Income Generation

There is a clear hierarchy of complexity and risk associated with trading which is represented in the diagram at Appendix 4.

This starts with the lowest risk – ensuring that where the Council has competency and capacity all internal work is carried out by the Council's own workforce. This though must be subject to a test that such internal supply provides value for money in the same way that it applies to all of the Council's services. Essentially this is achieved through benchmarking, market intelligence and service reviews..

The second level is recovering costs from the “public” for the provision of discretionary services. This is an area where we are currently expanding income generation eg green waste, and pest control. Areas where we might want to expand further include, tree maintenance for the public, gas servicing and electrical testing in the private rented sector. This work would be carried out under the provisions of s93 Local Government Act 2003. Services provided under these provisions must comply with fairly strict accounting provisions, under which income should equal expenditure over a three year period..

The third area is “trading” with other public sector bodies. This work would be carried out under the provisions of s1 Local Authorities (Goods and Services) Act 1970. At one extreme this is trivial eg the one off servicing of a vehicle for the County Council. At the other is a complex business proposition regarding taking on additional resources or transfer of assets and staff. Such a proposition would need careful evaluation of the business case and proper approval in accordance with our constitution and financial regulations.

At this stage we are not proposing to move into the more risky and costly to set up “commercial” trading area which would necessitate the Council setting up an arms length trading company (n.b. activities where we have a duty to provide services to the private sector e.g. trade waste do not require this

separate trading entity to continue). This approach requires a formal business case in a format set by Government to be approved. The intention being to ensure that as the arms length company is essentially owned by the Council there is a proper appreciation of the risks as well of the potential benefits of the trading envisaged. There are mechanisms available to limit financial liability however these do not deal with reputation and operational risks.

To minimise risks one option is to cause to be set up or contract direct with an existing non profit distributing organisation. This isolates the Council from the risk but the construction of such entities ensures that the Council would have no control over this type of independent organisation. The Council may place a minority of Members of the board of the organisation however those members then face a conflict of interest as they would be under a duty to act in the interests of the organisation, not the Council, when acting in that capacity.

This is a complex area and it is important that an in depth options appraisal is carried out to fully understand the implications of any proposals to deliver services through arms length or non profit distributing organisations and to weigh these against the tried and tested route of charging for discretionary services.

Management control over legal, financial and commercial risks would be exerted primarily through an assessment matrix. See Appendix 5. For “trading” to proceed this would need to be authorised in accordance with the Council’s constitution and financial regulations.

5 Geographical Constraints

The intent is that the overwhelming majority of services are provided inside the City boundaries, but in certain circumstances it may be that working or partnering with other public bodies who are outside the City is desirable. Equally there could be very practical reasons where provision outside City boundaries (e.g. Trade Waste route optimisation) is sensible. It is therefore recommended that this geographic constraint is removed..

6 Staffing implications

The intent is that chargeable services are provided initially predominantly from the surplus capacity that exists inside the current infrastructure and management capacity. A requirement to increase resources to satisfy demand would be subject to scrutiny by the Corporate Management Team through the Employment Control Form process and via the business case. However, if this strategy is successful it may well provide opportunities for the expansion of employment opportunities including apprenticeships and work experience.

Surplus capacity within the organisation would only be maintained where direct costs could be covered and a contribution to overheads achieved, otherwise surplus capacity would be reduced.

7 Climate Change / Environmental Impact

It is not expected that provision of additional chargeable services by the council would have a negative environmental impact as these services would in any event have been demanded but satisfied by other providers.

If we expanded operations significantly, this might have a notable impact on Oxford City Council's overall carbon footprint. This would have to be considered in the business case.

8 Equalities Impact

No significant impacts have been identified. An Equalities Impact Assessment is attached as appendix 3. However, in increasing employment opportunities we would take the opportunity to attempt to enhance the ethnic mix of our workforce to match the community we serve and provide opportunities through apprenticeships and the like. We would also reflect on the Council's charging strategy in setting fees and charges and consider whether concessions are appropriate for particular services when provided direct to individuals.

9 Financial Summary

The aim of the Council 2012 strategy in this respect is to increase income and therefore reduce the overall cost of services provided by the Council. We would seek to ensure financial performance through approval and monitoring of business cases. The majority of activities are likely to fall within the remit of the Direct Services Board who will review contracts and financial performance. The officers intend to review the financial regulations to ensure that they reflect the approach recommended in this report and give adequate guidance and protection to officers and the Council.

Name and contact details of author:-

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Job title:	Executive Director City Services
Service Area / Department:	Chief Exec
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Version number: 3.0

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Appendix One

The Local Authorities (Goods & Services Act) 1970

This contains a very wide power that enables local authorities to enter into agreements with other local authorities or public bodies. There are many organisations that have been designated as public bodies, through other Statutes or Orders under the Goods and Services Act, including health bodies, schools, housing associations and community organisations.

It is permissible to make a profit under this legislation and many Authorities have made considerable use of the powers, securing economy of scale by providing services to each other. The power can be used for the purposes of :-

- supplying goods or materials
- administrative professional technical services
- the use of vehicles plant or apparatus
- works of maintenance in connection with land or buildings

Case law and particularly the YPO case (R v Yorkshire Purchasing Organisation ex parte British Educational Supplies Limited ([1998] ELR 195) confirmed that the power could be widely used and that there was no implied limitation which only permitted trading where surplus capacity was used. It also put beyond doubt that local authorities can trade for profit.

Charging for Discretionary Services - Section 93 Local Government Act 2003

Section 93 gives a specific power to charge for discretionary services where "the Authority is *authorised*... to provide a service" but not under a duty to provide it and the person receiving the service has agreed to its provision.

If an authority wishes to make a charge under section 93 it will also be necessary to identify the power to provide the service as well. The power is available to any Best Value Authority as defined in the Local Government Act 1999, and to any Welsh improvement authority, parish council, parish meeting of a parish which does not have a separate parish council, and community council. Classic examples of where this power can be used relate to leisure services, parks and countryside facilities, museums, galleries, theatres and concert halls. It could also be used to provide advisory services, for example in relation to business advice, planning advice or additional support to elderly residents or young families. The well being power in the Local Government Act 2000 can also be helpful in making a link between a specific statutory power and section 93.

Calculating the Charges

There is a restriction on the amount of charge which can be paid, to the effect that taking one financial year with another, income should not exceed the cost of provision. Although the recovery period has been recognised as three

years, there is flexibility in the legislation about how the costs are calculated. Costs would normally be assessed in accordance with best value accounting methods and Government guidance but can include all overheads including corporate and democratic core costs and the cost of assets required to deliver the service. It is also worth remembering that charges could be set at different levels for different people. It would be quite lawful to charge nothing for some beneficiaries of the service and a higher charge for others.

This is therefore an extremely useful power which can be used flexibly. Before embarking on this route, an authority needs to ask itself:

- What is its power to undertake the activity?
- Is another charging power available? If so reliance cannot be placed upon section 93.
- Is there a prohibition on a charge being levied?

Commercial Trading - Section 95 Local Government Act 2003

Section 95 enables the Secretary of State to authorise Best Value Authorities to do "for a commercial purpose" anything which they are authorised to do for the purpose of carrying out any of their ordinary functions. This is done under a "Trading Order". A local authority must have the power to undertake the activity before deciding whether or not to trade. The trading power cannot be used where a local authority is required to do something (ie has a duty to do something) for example the provision of education services where they have to be provided free of charge. Nor can it be used where a commercial activity is already authorised, for example the sale of spare computer capacity under s38 Local Government (Miscellaneous Provisions Act) 1976. Trading activity can only be undertaken through a company regulated under the Local Government and Housing Act 1989.

Where a company is set up it will have to comply with the Local Government and Housing Act 1989 and the Local Authorities (Companies) Order 1995 and these set out propriety controls which include transparency in respect of accounting arrangements, providing information to the local authorities' internal and external auditors and making minutes of meetings available.

Summary

Power	Profit/Cost Recovery	Public Bodies	Private Bodies
Goods and Services Act 1970	Profit	Yes	No
Charging – S93	Cost Recovery	Yes	Yes

Trading – S95 – only through a company	Profit	Yes	Yes
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Jeremy Thomas
Head of Law and Governance
Oxford City Council
Town Hall
Oxford

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Risk Register.

Risk ID	Risk						Corporate Objective	Gross Risk		Residual Risk		Current Risk		Owner	Date Risk Reviewed	
Category-000-Service Area Code	Risk Title	Opportunity/Threat	Risk Description	Risk Cause	Consequence	Date raised	1 to 6		I	P	I	P	I	P		
CEB-001-DS	Council Service Reputation	T	Customer dissatisfaction with the level of service provision.	Poor service planning and delivery	Loss of future business. Damaging to aspiration for World-Class service provision	19/05/11	6		1	3	3	1	3	1	JR	01.12.11
159 CEB-002-DS	Low demand for services	T	Not enough external income is achieved to meet budgetary requirements	Poor financial consideration, estimating and planning. Uncompetitive pricing. Legal constraints	Spare capacity not utilised. Income not achieved	19/05/11	6		3	3	3	2	3	2	JR	01.12.11
CEB-003-DS	Political	T	Charging for discretionary services - adverse opinion of Council from members of the public	Not clearly communicating the differentials of Statutory Services and Discretionary Services	Assumption that Council is charging when provision is all encumbering in Council taxation	19/05/11	2		2	4	2	3	2	4	JR	01.12.11
CEB-004-DS	Service based on Ability to Pay	T	Socioeconomic accusations towards the Council	Some citizens able to afford extra service, others not	Discontent among communities. Accusations of unfairness	19/05/11	2		2	4	2	2	2	2	JR	01.12.11

Risk Action Plan

Risk ID	Risk Title	Action Owner	Accept, Contingency, Transfer, Reduce or Avoid	Details of Action	Key Milestone	Milestone Delivery Date	Date Reviewed
CEB-001-DS	Council Service Reputation	J. Ridgley	Reduce	Robust marketing plan Market assessment for all target areas of potential Business. Quick, sustained levels of query response and resolution. Commercially capable staff to lead on service delivery with ongoing monitoring of performance. Robust operational management protocols.	Marketing Plans in place; Market assessments for relevant opportunity; Monthly Performance review meetings with service providers; Review processes for customer focus.	July 2011 Annual & monthly	19/05/11
CEB-002-DS	Low demand for services	J. Ridgley	Reduce	Market USP's; Expand existing (doing more of what we are good at); F2F customer liaison; Maintain business successes	Learn from early wins Trade Waste expansion/increase recycling Additional MOT provision	July 2011	19/05/11
CEB-003-DS	Political	J. Ridgley	Reduce	Communication depicting Council offering choice; Communication is consistent and clearly define differences of Statutory and Discretionary; Clear communication on budgetary position	Consistent message from corporate centre on relevant press releases; Consistent script flow in contact centres	Monthly & Quarterly	19/05/11
CEB-004-DS	Service based on Ability to Pay	J. Ridgley	Reduce	Clear communication on budgetary position; Communication depicting Council offering choice; Offering individual income related concessions where possible	CRM System interfaced with Benefits systems; Consistent message from corporate centre on relevant press releases; Consistent script flow in contact centres	May 2011 Monthly & Quarterly	19/05/11

CEB-005-DS	Failure to recover costs through charges	J Ridgley	Reduce	Understand direct costs; good market information re demand and price elasticity; monitoring and adjusting price accordingly	Proposal sheet for each service line to be charged for signed of by Fianance and legal	July 2011, monthly reviews	3/6/11
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Form to be used for the initial assessment

Service Area: Direct Services	Section: Business Development	Key person responsible for the assessment: Ian Bourton	Date of Assessment: 19/05/2011	
Is this assessment in the Corporate Equality Impact assessment Timetable for 2008-11?			Yes	No
Name of the Policy to be assessed: Charging for Services			Is this a new or existing policy	New
1. Briefly describe the aims, objectives and purpose of the policy		<ul style="list-style-type: none"> • To exercise the Powers contained in various Acts of parliament to charge for discretionary services. • Charging for discretionary services to generate income to spread service overheads • It is not anticipated that individual consumers will be a 'target customer' for charging purposes. It is expected that Direct Services would market opportunities from other public bodies or private businesses and provide a source of choice for the individual consumer. 		

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2. Are there any associated objectives of the policy, please explain	<ul style="list-style-type: none"> • Direct Services to levy a charge public bodies and their agents for services as opportunities arise, within Oxfordshire • Direct Services to levy a charge for discretionary services where there are specific powers to charge for goods and services, within Oxfordshire • Delegation of decision making on charging opportunities in the Private Sector from EB to relevant Director 		
3. Who is intended to benefit from the policy and in what way	<p>Oxford City Council is facing a significant reduction in central government funding over the next four years that cannot be met through efficiency savings alone. By developing our ability to charge for agreed discretionary services, and thus meet budget targets, citizens benefit by definition that current Statutory service levels are at least maintained.</p> <p>Minimises any staff losses buy utilising spare capacity on labour and machinery to optimum effect</p>		
4. What outcomes are wanted from this policy? <ul style="list-style-type: none"> • Council to be in a position to meet budget targets by servicing areas of opportunity where they are legal and requested by citizens and businesses • To be in a position provide a swift response to opportunities that arise for generating revenue • Support and embed a robust marketing and business strategy for targeted discretionary services 			
5. What factors/forces could contribute/detract from the outcomes?	<ul style="list-style-type: none"> • Little or no spare capacity • Uncompetitive in service provision/pricing • Changes in legislation • Strong USPs • Service providers performance 		
6. Who are the key people in relation to the policy?	<ul style="list-style-type: none"> • OCC as the employer • Discretionary Service providers (Managers and staff) 	7. Who implements the policy and who is responsible for the policy?	OCC as the employer Relevant Director

8. Could the policy have a differential impact on racial groups?	Y	N	No differential impact anticipated. Analysis does not indicate a risk of any racial groups being disproportionately affected by this policy – however, some consideration will have to be given to each specific service line.
What existing evidence (either presumed or otherwise) do you have for this?			
9. Could the policy have a differential impact on people due to their gender?	Y	N	No differential impact anticipated. Analysis does not indicate a risk of either men or women being disproportionately affected by this policy– however, some consideration will have to be given to each specific service line.
What existing evidence (either presumed or otherwise) do you have for this?			
10. Could the policy have a differential impact on people due to their disability?	Y	N	<p>No differential impact anticipated– however, some consideration will have to be given to each specific service line..</p> <p>Clear communication will be provided to staff to take account of any known disability before service delivery is commenced.</p> <p>The option of provision of services by the Council as a trusted contractor for matters such as disabled facilities grant building work may be welcomed.</p>
What existing evidence (either presumed or otherwise) do you have for this?			
.Existing take up of Direct Services for disabled facilities grant work			

11. Could the policy have a differential impact on people due to their sexual orientation?	Y	N	No differential impact anticipated. Analysis does not indicate a risk that the sexual orientation people will lead to a negative impact– however, some consideration will have to be given to each specific service line.
What existing evidence (either presumed or otherwise) do you have for this?			
12. Could the policy have a differential impact on people due to their age?	Y	N	No differential impact anticipated. Analysis does not indicate a risk that the age of people will lead to a negative impact– however, some consideration will have to be given to each specific service line. The option of provision of services by the Council as a trusted contractor for matters such as disabled facilities grant building work may be welcomed.
What existing evidence (either presumed or otherwise) do you have for this?	Requests from elderly persons to carry out works. Evidence from Handy Man scheme.		
13. Could the policy have a differential impact on people due to their religious belief?	Y	N	No differential impact anticipated. Analysis does not indicate a risk that the religious belief of people will lead to a negative impact– however, some consideration will have to be given to each specific service line.
What existing evidence (either presumed or otherwise) do you have for this?			

14. Could the negative impact identified in 8-13 create the potential for the policy to discriminate against certain groups?	Y	N	Please explain A robust marketing strategy will be in place with clearly defined reasoning for target customers complete with marketing assessments and viability. An analysis of the outcomes will be ongoing to ensure that no equalities groups with protected characteristics under the Equality Act 2010 will be adversely or negatively affected and to determine that the Council continues to prioritise and invest in diverse opportunities for all.			
15. Can this adverse impact be justified on the grounds of promoting equality of opportunity for one group? Or any other reason	Y	N	Please explain for each equality heading (question 8-13) on a separate piece of paper N/A			
16. Should the policy proceed to a partial impact assessment	Y	N	If Yes, is there enough evidence to proceed to a full EIA	Y	N	
			Date on which Partial or Full impact assessment to be completed by			
17. Are there implications for the Service Plans?	YES	NO	18. Date the Service Plan will be updated	Next cycle	19. Date copy sent to Equalities Officer in Policy, Performance and Communication	19/05/2011
20. Date reported to Equalities Board:			Date to Scrutiny and EB		21. Date published	

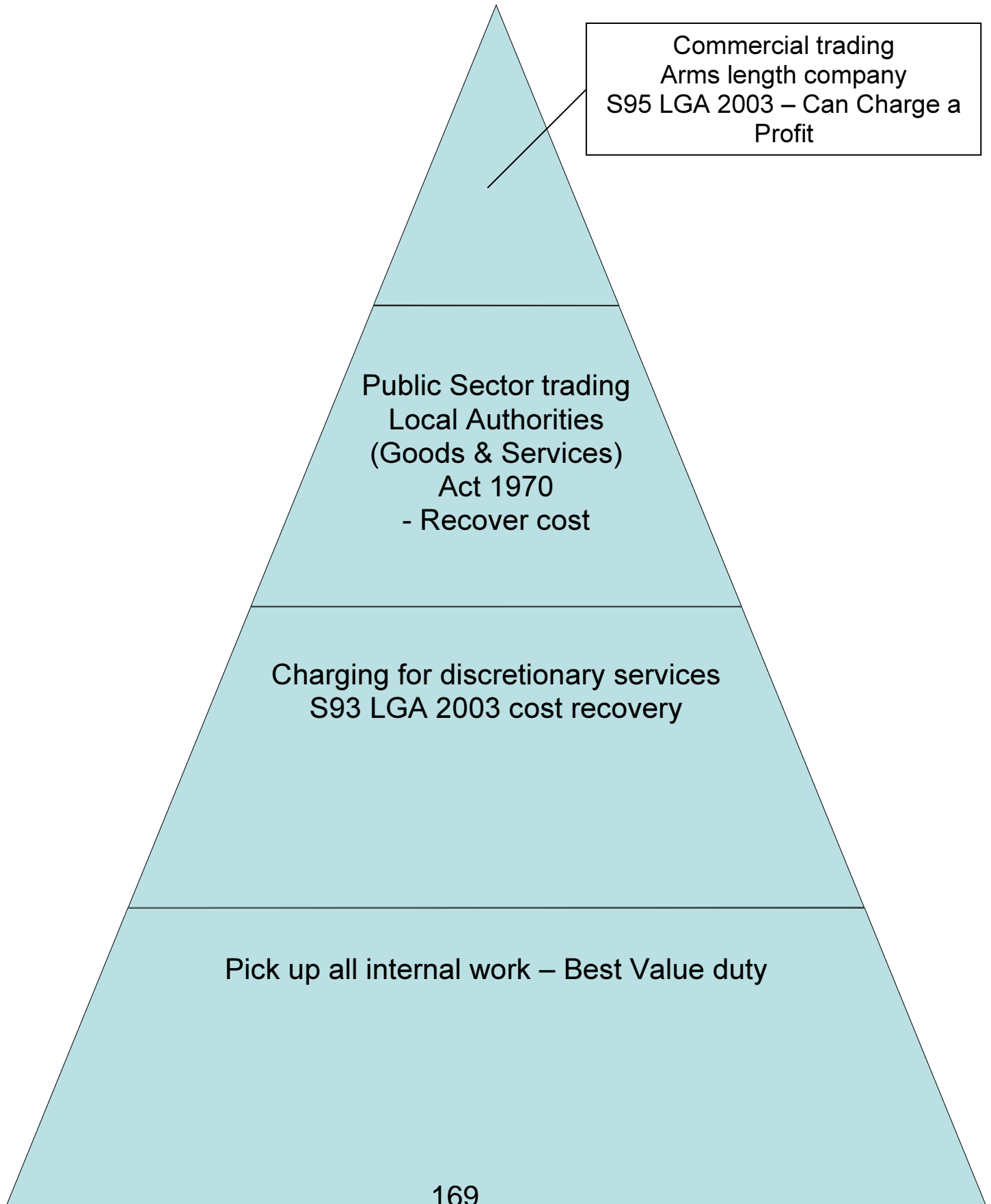
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Signed (completing officer)_ Ian Bourton_

Signed (Lead Officer) _____

Please list the team members and service areas that were involved in this process:

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	Customer weighting	Trade Waste	Vehicle Services	Technical- Services	Technical - H&S	Property Maintenance	Asbestos Testing	Drop Kets	Signs and Lines	Drainage Maintenance	Mechanical Sweeping	Gritting/Road Salting	Welding & Fabrication	Nuisance Vehicles	Retail Public lco Cleaning	Advertising canens, Look	Tarmacing/Road surfacing	Driver CPC Training	EH Emf Link-Cleaning	
Public Bodies	5	1	4	0	0	1	3	1	3	3	1	1	1	3	0	3	0	0	0	27
Oxfordshire County Council																				Oxfordshire County Council
Oxfordshire District Councils	5	1	3	0	0	1	3	1	3	2	1	1	1	3	0	3	0	0	0	22
Parish Councils	2	4	3	0	0	3	3	3	3	4	2	3	4	1	0	2	0	3	0	Oxfordshire District Councils
NHS	4	4	3	0	0	3	4	4	4	4	4	4	4	4	3	2	0	2	0	92
City Council Departments	3	5	5	3	5	5	5	5	5	5	5	5	5	5	5	5	5	5	5	42
City Residents	3	0	2	1	0	3	4	4	5	3	5	0	0	3	1	0	3	2	0	79
City Council Employees	3	0	3	0	4	4	4	5	3	3	5	0	0	3	1	0	3	4	0	34
Health Centres	2	5	0	3	3	3	2	1	1	4	5	4	4	0	2	3	1	2	0	31
Dentists	1	3	0	1	3	3	2	1	3	2	3	0	3	0	1	0	2	0	1	44
Private Landlords	2	3	0	3	3	4	4	4	2	1	4	1	1	0	2	0	2	0	4	38
Letting Agency's	4	3	0	4	3	4	4	4	1	4	1	4	1	0	2	0	2	0	4	33
Unipart	2	1	0	3	1	0	1	0	1	4	1	4	4	0	0	0	2	0	0	23
BMW	3	1	0	3	1	0	3	0	0	4	1	4	4	0	0	0	2	0	0	21
Contractors to the City Council	2	3	4	3	4	2	3	0	3	2	1	1	1	1	0	0	0	1	3	29
Contractors to other Public Bodies	4	5	5	3	3	4	4	4	1	4	4	3	4	3	0	0	3	2	0	22
Schools	4	3	3	3	3	4	4	4	3	4	4	3	4	3	0	3	2	3	2	96
Housing Associations	4	3	3	3	3	4	4	3	2	4	4	2	3	2	1	4	1	0	3	41
University's	4	5	4	1	2	4	4	2	4	4	3	3	3	2	3	1	0	3	1	42
		53	41	46	32	43	55	28	55	57	39	43	27	28	24	14	37	31	19	
Very High Desirability	5																			
High Desirability	4																			
Medium Desirability	3																			
Low Desirability	2																			
Very Low Desirability	1																			
No Desirability	0																			
NEW BUSINESS POTENTIAL																				
Target Activity																				
High Rating																				
Trade Waste		L	H	M	H	H	M	L	L	L	L	L	L	L	L	L	L	L	L	***
Asbestos Testing		L	L	L	M	M	L	L	L	L	L	L	L	L	L	L	L	L	L	*
Signs and Lines		M	L	L	M	M	L	L	L	L	L	L	L	L	L	L	L	L	L	**
Drainage		L	L	L	M	M	L	L	L	L	L	L	L	L	L	L	L	L	L	**
Medium to High Rating																				
Vehicle Services		L	H	L	M	M	L	L	L	L	L	L	L	L	L	L	L	L	L	***
Technical Services		M	L	L	M	M	L	L	L	L	L	L	L	L	L	L	L	L	L	*
Property Maintenance		L	M	H	L	M	M	L	L	L	L	L	L	L	L	L	L	L	L	**
Road Gritting/Salting		L	L	L	H	L	L	L	L	L	L	L	L	L	L	L	L	L	L	**
Low to Medium Rating																				
purple infill on matrix																				
Low rating																				
Red infill on matrix																				
POWERS TO TRADE																				
1 SI LA (Goods & Services Act) 1970																				
2 SS Local Gov Act 2003																				
3 Specific Legislation																				

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To: City Executive Board
Date: 21 September 2011
Report of: Head of Housing & Communities
Title of Report: Grant Monitoring Information for 2010/2011

Summary and Recommendations

Purpose of report: To inform members of monitoring information returned by Community & Voluntary Organisations (CVOs) awarded a grant in 2010/2011.

Key decision? No

Executive lead member: Councillor Antonia Bance

Policy Framework: Oxford City Council Corporate Plan & Oxfords Sustainable Community Strategy

Recommendation(s): Members are asked to note the report

Appendices to report

- Appendix 1 List of CVOs awarded a grant through the open bidding and commissioning grants programmes.
- Appendix 2 Case studies from the advice centres
- Appendix 3 Case studies from Oxfordshire Community & Voluntary Action (OCVA)
- Appendix 4 Risk register

Introduction

1. During the financial year of 2010/2011, 93 community and voluntary organisations were awarded a grant through Oxford City Council's grant programme. The funding supported the delivery of a variety of projects from small community events to welfare benefits advice, community safety projects and the arts.
2. One of the conditions for this funding is that organisations agree to provide feedback about their project, event or activities. This feedback can be done in a variety of ways but generally either by completing a monitoring form, site visit by officer(s) or a combination of both.

3. This report informs councillors of the information and achievements reported by community and voluntary organisations (CVOs) that were awarded a grant through the commissioning and open bidding grants programme in the financial year 2010 /2011.

Process for gathering monitoring information

4. The requirement to return monitoring information is agreed with CVOs when they sign their terms and conditions for grant funding.
5. The purpose of monitoring is to ensure that the funding awarded to groups is used for the purpose it was given. There is a low risk that monitoring information will not be returned. The process for dealing with this is as follows:
 - At three weeks past the deadline, a reminder is sent out with a copy of the monitoring form
 - At six weeks past the deadline, a second reminder is sent with copy of the monitoring form followed up by email or telephone call.
 - If there is still no response, this is noted on file for future reference.
6. In the majority of cases those organisations that are late in returning their forms will respond after the first reminder.
7. At times monitoring information is used by the Officer Grants Panel when making recommendations when subsequent applications from the same group have been received. It is stated in the grants programme prospectus that monitoring information may be used in this way.

Addressing Council Priority

8. When applying for a grant CVOs are asked to choose which council priority their project or activity will primarily fit with.
9. Monitoring information has been listed under the priority the group or organisation selected.

Monitoring Feedback

- 10 The attached appendices list the following information:-
 - Name of organisation / group
 - Amount of grant awarded
 - Description of project/activity
 - Number of beneficiaries
 - Achievements from the project / activity
 - Total amount of match funding and / or funding levered in as a result of Oxford City Council funding.
 - Case studies from the advice centres and Oxfordshire Community & Voluntary Action (OCVA)

Open Bidding

11. Table 1 below summarises the information listed in the attached appendices for grants awarded through the annual open bidding process awarded by the City Executive Board on 03.03.10.

Table 1 – Annual Open Bidding Summary

2010/11 Council Priority	Number of projects awarded a grant	Total amount of Grant Awarded (£)	Total of other funding levered in (£)	Number of Beneficiaries from these projects	Some of the things the funding paid for
Stronger & More Inclusive Communities	13	43,425	40,652	12,737 & 5,000 households	Community events & newsletters
Improve; the Local Environment, Economy & Quality of Life	10	49,040	297,702	80,225	Older people activities, holiday activities for young people.
Tackle Climate Change & Promote Environmental Resource	2	4,599	4,077	1,210	Community nature park & conservation
Total	25	£97,064	£342,431	94,172 & 5,000 households	

12. Table 2 below summarises the information in the attached appendices for grants awarded through the small grants programme in 2010-11.

Table 2 - Open Bidding – small grants of up to £1,000

2010/11 Council Priority	Number of projects awarded a grant	Total amount of Grant Awarded (£)	Total of other funding levered in (£)	Number of Beneficiaries from these projects	Some of the things the funding paid for
Stronger & More Inclusive Communities	9	5,450	17,159	6,898	Community events, children's books, community minibus

Table 2 continued:

2010/11 Council Priority	Number of projects awarded a grant	Total amount of Grant Awarded (£)	Total of other funding levered in (£)	Number of Beneficiaries from these projects	Some of the things the funding paid for
Improve; the Local Environment, Economy & Quality of Life	10	5,311.50	6,868	62,455 & 3,000 households	Oxclean event, heritage information leaflet, environment awareness
More Housing, Better housing for all	1	1,000	1,000	756	Emergency food parcels
Total	20	11,761.50	25,027	70,109 & 3,000 households	

13. Table 3 below summarises the information in the attached appendices for grants awarded through the art development grants programme in 2010-11.

Table 3 - Open Bidding – Arts Development Grants of up to £750

2010/11 Council Priority	Number of projects awarded a grant	Total amount of Grant Awarded (£)	Total of other funding levered in (£)	Number of Beneficiaries from these projects	Some of the things the funding paid for
Improve; the Local Environment, Economy & Quality of Life	12	5,000	26,828	4,159	Exhibitions, music event & performances
Total	12	5,000	26,828	4,159	

Three year commissioned grants monitoring feedback

- 14 Tables 4 & 5 below summarises the information listed in the attached appendices for the final year (2010-11) of grants awarded for three years through the commissioning process.

Table 4 – Commissioned Grants Summary – final year of three

2010/11 Commissioning Theme	Number of groups funded	Total amount of Grant Awarded (£)	Total of other funding levered in for this work (£)	Number of Beneficiaries from these projects	Some of the things the funding paid for
Arts (inc. twinning)	10	331,430	3,660,185	368,625	Training in film & digital media, music, Twinning events
Homelessness	10	447,279	3,196,588	3855	Day centres, life skills, specialist workers,
Community Safety	5	61,000	408,455	684	Domestic violence outreach, helpline service for victims of sexual violence,
CVO Infrastructure	1	59,486	685,002	432 organisations who are members of OCVA of which 58% are in Oxford City	Providing information, support and advice to the voluntary sector.
Specialist Play	4	61,000	111,958	1900	Adventure playgrounds, supporting disabled children to participate in mainstream play
Oxford Credit Union	1	20,000	80,000	797	Money management
Totals	31	£980,195	£8,142,188	376,293	

Table 5 - Summary from Advice Centres

2009-10 Council Priority	Number of Organisations	Total amount of Grant Awarded (£)	Number of Beneficiaries from these projects	Total Benefit take up (£)	Total amount of Debt Written Off (£)
Advice	5	£480,500	11,039	£4,004,927	£984,602

15. Oxford's population is estimated to be 149,300 (including over 30,000 full time students). The total number of people benefiting from projects and activities funded through the open bidding programme was 168,440. It should, of course, be noted that one person might well have benefited from more than one project. For example one person may well have attended a range of events that took place in Oxford last year, such as the Cowley Road Carnival or the Elder Stubbs Festival.

Joint Monitoring

16. For those community & voluntary organisations that are funded by one or more of the District and County Councils, the Grant Officers Group (which has a representative from each of the District and County Councils) is working together on information sharing and joint monitoring.
17. Joint monitoring visits are taking place with Oxfordshire County Council to monitor the advice centres and Donnington Doorstep family centre as these organisations are funded by both authorities.
18. Further meetings are planned between Oxford City and Oxfordshire County Council to see if we can bring each of our commissioning processes into the same timeframe allowing, where possible, the City and County Council to joint commission.

Climate Change / Environmental Impact

19. This report notes, amongst other things, the monitoring information received from organisations which specifically supported action to improve the local environment.

Equalities Impact

20. Grant funding awarded to community and voluntary organisations has a significant and positive impact on equalities and promotes community cohesion. In particular, some grants actively support the achievement of equality by otherwise marginalised groups, such as funding supplied to Oxford Friend, to Oxford Rape Crisis and Sexual Abuse Centre and for domestic violence advisors, for example.
21. When applying for grant funding each organisation has to supply a copy of their equal opportunities statement to confirm they comply with this legislation

Financial Impact

22. The recommendations have no financial implications

Legal Implications

23. There are no legal implications

Name and contact details of author:-

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Service Area / Department: Communities & Neighbourhoods,
Housing & Communities Business Unit

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List of background papers: none

Version number: 3

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APPENDIX 1

Commissioning CVO Infrastructure 2010 / 2011

Grant Funding Awarded under Council Priority - Stronger & More Inclusive Communities

Organisation/project	Grant Awarded (£)	Aims of project	Total amount of other funding
Oxfordshire Community & Voluntary Action (OCVA)	59,486	To enable voluntary & community groups across the county to access up to date information in order to increase their effectiveness	685,002
		To support the development of voluntary and community organisations so that they deliver consistently high quality activities and services to their beneficiaries, ensuring groups at risk of exclusion are empowered to develop their own solutions	
		To increase levels of volunteering in order to maintain and improve frontline services and to improve the skills and life chances of volunteers	
		To improve joint working and collaboration with the voluntary and community sector; and between the voluntary & community sector (VCS) and its statutory and business partners; and to raise the profile and improve public knowledge and awareness of the VCS in Oxfordshire	

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2010-2011	Achievements
Information Targets	
Bi-monthly community newsletter containing information on charity law, funding opportunities, training etc sent to Community & Voluntary Groups in the city.	completed and on going
Resource & informaiton centre for CVO's open 9.30 - 4.30 Mon-Fri	completed and on going
100 groups including 50 City based use resource centre & information points	175 CVO supported and accessing facilities.
Telephones answered 9-5, Mon-Fri	completed and on going
post/email response within one working day	completed and on going
resource centre & oxnet portal kept up to date	completed and on going
update new edition of Guide to Funding Opportunities in Oxfordshire 2010 (trusts section)	completed

Commissioning CVO Infrastructure 2010 / 2011

Grant Funding Awarded under Council Priority - Stronger & More Inclusive Communities

OCVA information targets / achievements continued

2010-2011 - Targets	Achievements
A total of 50 factsheets and FAQs on oxnet including 20 on volunteering	70 factsheets available of which 40 are on volunteering
Directory of premises kept up to date	complete and on going

Support the development of Community & Voluntary Organisation's

2010-11 Targets	Achievements
1-1 support for 90 groups County-wide. Support includes funding advice, business planning, constitutions and legal structure, policies including health & safety, risk assessment, insurance, HR & employment good practice and the law. .	A total of 175 community groups supported of which 89 are City based
Use organisational health check and monitor results.	8 organisations have undertaken the health check.
11 training workshops at least 5 in City	18 held - 15 in City - workshops were on a variety of subjects which included 'preparing for change', 'proving the value of your work', 'surviving the cuts', 'transition fund', 'legal duties of trustees'.
Outreach visits in the City	81 visits within the City

Commissioning CVO Infrastructure 2010 / 2011

Grant Funding Awarded under Council Priority - Stronger & More Inclusive Communities
Networks & Partnerships Targets & Achievements

2010-11 Targets	Achievements
400 members (50% city based)	474 members at end of March 2011 (53% city based)
50 additional oxnet users	1064 organisations on public directory
Manage electrol process of boards as required	on going

Promote diversity awareness & good practice to VCS support services group	2 day mental health first aid course delivered in December 2010
Voluntary voice column in Oxford Times	voluntary voice featured regularly in the Oxford Times in July, August & September
5 forum events with bite sized training workshops at least 2 in City with bite size training workshops - target 30 attendees to each)	7 events took place, good attendance at city forum with 100% positive feedback

APPENDIX 1

Commissioning Specialist Play 2010 / 2011

Grant Funding Awarded under Council Priority - Improve the Local Environment, Economy & Quality of Life

organisation/project	Grant Awarded (£)	Description of project	other funding (£)
Donnington Doorstep Family Centre	20,000	A free of charge community based family centre for children and carers. Providing a safe environment for anyone with young children.	58,700

2010-2011 - Targets	Achievements
Average of 3 venue based play sessions a week	3 sessions a week during term time & 4 sessions a week during holiday = 131 in total
Drop in project leader providing average of 6 hours a week 1-1 and drop in support with 20 targeted Children & Young People (C&YP)	Project leader averaging up to 8 hours per week supporting 30 C&YP. Sessions can vary depending on the issues the young people and their families are facing. At times other doorstep family support team have helped out at these sessions.
200 individual registered with project over 12 months	264 C&YP registered. 159 using venue activities (91 boys, 68 girls) & 105 drop in / 1-2-1 support (42 boys, 63 girls)
Average of 30 individuals using services each week	Average of 35 C&YP regularly using service each week
12 C&YP consultation activities run throughout the year	16 consultations held with C&YP
Staff trained in safeguarding & first aid	All trained in safeguarding, 3 trained in first aid
At least 3 C&YP asked to track their experience of the project	Has not run - working with C&YP to complete outcomes based on their own experiences.
Decrease in recorded / reported incidents of anti social behaviour	Since 2007/08 there has been a decrease of over 25% of reported incidents of anti social behaviour from 144 to 99 in 2010/11. Although it should be noted there is no evidence that the reduction in reported incidents is due to any work being done at the centre.

Staff are supported by volunteers and student placements. The team work in both Play Rangers and Drop in sessions which has help forge strong relationships with the young people and their families. Many of the C&YP are affected by crime, drugs/alcohol and domestic violence, A number have very poor school attendance and display highly challenging behaviour. Others are experiencing challenges, disadvantage and discrimination linked to disability. They require a great deal of 1-2-1 time and support. This work involves befriending, counselling, listening, appropriate guiding, discussing and empowering and providing opportunities for wider awareness, information and choices. The project provides a confidential, non judgemental approach to young peoples issues and has real positive impact on the lives of the C&YP as well as their families and the local community.

Grant Funding Awarded under Council Priority - Improve the Local Environment, Economy & Quality of Life

Organisations / project	Grant Awarded (£)	Description of project	other funding (£)
South Oxford Adventure Playground	11,000	SOAP provides a free open access play space for local children and young people aged from 6 - 13 years old.	not available

2010-2011 - Targets	Achievements
free open access play for 500 children & young people aged from 6-13 years old.	A total of 887 children & young people registered with this group (745 from Oxford (233 local from Grandpont), 112 County wide, 21 from elsewhere in the UK & 9 visiting from overseas). 583 were aged 6 to 13.
Provide holiday playschemes at Easter and Summer	Achieved, Adventure playground opened during Easter and Summer school holidays & Summer half term. At Easter the playground was open Monday to Friday from 10am to 4pm. During the Summer holidays it was open between 10am to 5pm with six members of staff each day. All staff are paid and access is free of charge.

In addition to the holiday playschemes an open day was held with a barbecue, puppet, art and dance workshops with musical entertainment. There is climbing equipment, a zip wire, football goals, swings and a basketball hoop on hard standing. Also available is a quiet corner with cushions, books, a variety of art materials & table tennis..

organisation/project	Grant Awarded (£)	Description of project	other funding (£)
The Dovecote Centre, Blackbird Leys	20,000	The centre supports vulnerable children aged from 0-12 years old and their families by providing affordable play opportunities, after school club, Saturday club and holiday playschemes	53,258

2010-2011 - Targets	Achievements
After school club - 24 places, 4 sessions a week	18 places provided, 4 sessions a week
Winter Saturday club - 16 places from Oct - March	achieved
Easter playscheme - 32 places	achieved
A 4 week summer playscheme - 85 places	65 places provided over a 4 week holiday programme
An open access family drop in facility Mon - Fri all year.	Family drop in Mon - Tues & Thurs - Fri

The grant from Oxford City Council allowed the Dovecote to continue to provide low cost, good quality, safe & secure out of school facilities in Blackbird Leys. Last year these facilities were graded as outstanding by OFSTED. The only playscheme in Oxfordshire to achieve this standard. Six out of the eight paid staff during the summer were local residents. Three out of four afterschool staff are local residents who are provided with on going training to support their work & professional development.

Grant Funding Awarded under Council Priority - Improve the Local Environment, Economy & Quality of Life

organisation/project	Grant Awarded (£)	Description of project	other funding (£)
Parasol	10,000	An inclusive playscheme supporting disabled children and young people in accessing mainstream play & leisure activities.	not available

2010-2011 - Targets	Achievements
Work with at least 60 disabled children (5-12 years) over the year	In the year (2010/11) Parasol supported 74 disabled children (aged 5-12 years old) at playschemes across the city..
Work with at least 30 disabled teenagers (13 - 19years) over the year	During the year (2010/11) Parasol supported 53 disabled young people (aged between 13-19).
Work with play providers in Oxford City to enable disabled children & young people to take part in activities over the course of the year	Parasol supported children at Tower Playbase in Northway, John Henry Newman School in Littlemore, SOAP in South Oxford, Donnington Doorstep in East Oxford and Dovecote in Blackbird Leys. Disabled teenagers were supported at a summer scheme on the Peers Campus.

Parasol had a pool of 43 individual workers available for work in the summer of 2010. Some were employed for the full Summer holiday period (25 days) but all were employed for at least 1 day. Staff received training in first aid, safeguarding & gentle restraint to help them in their work. Some staff attended specific training for those carrying an epipen or requiring medication in the case of an epileptic episode.

APPENDIX 1

Commissioning Advice Centres 2010 / 2011

ADVICE CENTRE MONITORING

		Rose Hill and Donnington Advice Centre	Agnes Smith/Blackbird Leys Neighbourhood Scheme	Oxford Community Work Agency	Oxfordshire Chinese Community & Advice Centre	Oxford CAB
Oxford City Council funding		£77,743	£73,054	£93,250	£49,703	£186,750
Additional funding from Oxfordshire County Council		£14,360	£14,684	£99,566	£24,676	£24,000
other additional funding eg fundraising, donations, grants		£11,417	£94,726	£190,250	£37,705	£260,057
Number of clients :	New	727	581	921	341	4,620
	On-going	763	828	76	309	1,873
	total	1,490	1,409	997	650	6,493
Total number of contacts	includes telephone, face to face, casework, appointments, signposting and consultancy (clients are counted more than once)	2,353	2,710	5,208	2,057	15,210
Gender:	Male	620	952	405	299	3,017
	Female	848	1,758	516	351	3,171
	not recorded	22	0	0	0	305
Age:	under 25	174	321	76	24	727
	25-59	1,087	2,059	498	458	4,324
	60-74	203	274	845	118	669
	75+	21	43	0	33	168
	not recorded	5	13	0	0	605
Ethnicity:	White	1,243	723	701	0	4,035
	Black	75	290	84	0	531
	Asian	134	172	114	0	525
	Chinese or other ethnic group	1	9	1	650	75
	Mixed race	1	76	21	0	253

		Rose Hill and Donnington Advice Centre	Agnes Smith/Blackbird Leys Neighbourhood Scheme	Oxford Community Work Agency	Oxfordshire Chinese Community & Advice Centre	Oxford CAB
	Not stated	4	21	0	0	435
Disability or long term sick		503	602	683	163	944
Type of visit/ contact:	Out Reach / out of office	22	1,031	30	144	953
	Court Visits	10	6	304	0	0
	Home Visits	16	23	14	84	30
	In house / office	1,442	1,645	573	0	5,107
Issues / categories: presented by client						
Benefits	Social care /means tested	391	381	517	27	2,311
	Tax Credits	90	115	79	8	617
	DLA, Carers Allowance	198	189	842	13	1,749
	Incapacity Benefit / ESA	160	137	1,037	6	122
	Pensions	40	33	29	23	385
	Child Support / Child Benefit	46	11	25	0	0
	Income allowances (eg Job Seekers Allowance, income support)	63			135	720
Debt	Priority debt (rent, mortgage, council tax)	249	1,189	40	16	1,164
	Non priority debt (catalogues etc)	388	1,173	23	0	2,168
	Other (family, friends etc)	12	49	13	8	0
Housing	Conditions	27	34	0	13	0
	Homelessness/threatened homelessness	45	115	11	2	2,468
	Environmental/neighbour issues	7	16	1	1	89
	Housing costs (excluding housing debts)	35	17	8	18	0
	Other housing issues	105	137	30	36	1,315
Other	Charities	286	67	3	0	0
	Community care	0	18	0	34	26
	Consumer & general contract	12	100	13	544	300

		Rose Hill and Donnington Advice Centre	Agnes Smith/Blackbird Leys Neighbourhood Scheme	Oxford Community Work Agency	Oxfordshire Chinese Community & Advice Centre	Oxford CAB
	Crime	5	12	0	7	0
	Education	12	12	3	324	209
	Employment	70	72	26	187	2,051
	Family	62	65	14	20	0
	Health	93	61	10	307	194
	Immigration / Nationality	151	11	10	77	952
	Legal	32	118	4	0	1,048
	Mental Health	38	17	0	135	0
	Relationship	16	21	6	0	835
	Other	123	179	11	0	0
Representations	Court Representations - number of clients	13	10	0	0	0
	Appeals Representation - number of clients	94	3	231	0	29
	Informal Repayment Plans - number of clients	30	122	0	16	568
	Other	3	0	0	2	0
Money Gained						
	Benefit take-up (projected for current period),	£37,865.44	£197,921.00	£2,084,978.21	£157,163.00	£1,527,000.00
	Debt written off	£313,463.16	£528,694.00	£128,413.74	£14,031.45	not known
	One off payments (charities etc)	£25,301.15	£10,844.00	£0.00	£0.00	£5,579.00
	Community Care Grants	£0.00	£1,253.87	£2,238.00	£385.32	£0.00

APPENDIX 1

Commissioning Money Management / Advice 2010 / 2011

Grant Funding Awarded under Council Priority - Stronger & More Inclusive Communities

organisation/project	Grant Awarded (£)	Description of project	Number of members	Achievements	Other funding received for this project (£)
Oxford Credit Union	20,000	A financial co-operative run by its members providing a saving service and affordable loans	797	Continues to work towards becoming self sustaining, increased the maximum loan level for members to £1.5k, introduced small starter loans for new member of £500 & increased interest rate to 2% per month. These steps have helped to increase the number of new members and Oxford Credit Union income.	80,000

Total amount awarded 20,000

Total number of beneficiaires 797

Total other funding 80,000

APPENDIX 1

Grants to Community & Voluntary Organisations / Groups

Small Grants awarded in 2010 / 2011

191

organisation/project	Grant Awarded (£)	Description of project	Number of people who benefitted	Achievements	Other funding received for this project (£)
Old Marstons Over 50's Club	400	A thriving club that has been in going for 11 years, with over 80 members. Funding awarded to subsidise speakers fees and social activities	84	During the year they had 9 speakers on subjects that vary from health to walking in France, 4 outings to places of interest & 5 events.	1,011
Headington Action	1,000	Funding awarded to contribute towards the Headington community festival	2,000	The festival took place on 6th June 2010, there were 53 stall holders and approximately 2000 people attended the event	894
Community Emergency Food Bank	1000	A project providing emergency food to people & families in need Funding awarded to contribute towards their general running costs	756	The funding helped them install storage racking and complete work on light and heating their warehouse.	1,000
Oxford Civic Society - Oxford Street Parties	475	Funding awarded to promote streets for people parties	4,000	54 street parties took place with 3 in Barton	2,250
Oxford Civic Society - Oxclean	800	Funding awarded to purchase high visibility vests for people to wear while taking part in the annual 2010 Oxclean event	700	118 community groups & 35 schools helped out with the 2010 annual Oxclean event. They collected 502 red sacks, 464 clear bags and 347 bulky items.	1,110

organisation/project	Grant Awarded (£)	Description of project	Number of people who benefitted	Achievements	Other funding received for this project (£)
Oxford Cricket Club	750	Funding awarded to continue and promote girls and womens cricket	50	2 women teams and 2 girl teams regularly meeting and played in mens league.	2,890
Indian Union	175	Funding awarded for hall hire for the cultural and social concert	200	event held on the 14th August 2010	845
Lake Street Playgroup	250	Funding awarded to purchase childrens reading books for library.	60	books regularly used by families and children. Positive feed back from parents and comments that some are sitting down with their children to read.	410
Donnington Doorstep Family Centre	440	funding awarded to contribute towards the costs of the spring half term playscheme	40	drop in sessions were held during the week which included arts and crafts games and activiites, sport activities and 1-2-1 support for children & young people	133
Jtrails	679	Funding awarded to contribute towards a high quality leaflet that informs people of 1000 years of Jewish history in Oxford.	61,575	2,500 quality leaflets printed and distributed through the Museum of Oxford, Oxford tourist information centre, David Slager Jewish Student centre, the publication was the subject of a 30 minute BBC radio Oxford show.	360
SAADA womens group	600	funding awarded to subsidise 6 Zumba exercise classes	0	NO INFORMATION RETURNED	0
SAADA womens group	200	funding awarded to contribute towards a 10 week, women only, exercise class	0	NO INFORMATION RETURNED	0
Cuttleslowe, Wolvercote & Wytham Community Bus	1,000	Funding awarded to contribute towards the start up costs for a community minibus, while they work on becoming sustainable.	315	7 community groups registered and are regular users of this community bus of which 4 are Cuttleslowe groups	0

organisation/project	Grant Awarded (£)	Description of project	Number of people who benefitted	Achievements	Other funding received for this project (£)
Assisted Reading for Children (ARCH)	500	Funding awarded to contribute towards the book box scheme. Book boxes contain books and word games suitable for the age and ability of the children the volunteers are working with	40	ARCH volunteers supported children from Blackbird Leys, Wood Farm, Rose Hill & East Oxford. Due to this 1:1 support children showed improvements in confidence, concentration, general attitude and better communication with adults & peers.	12,700
Osney, St Thomas & New Botley Allotments	400	funding awarded to contribute towards ground clearance to bring an area used for parking back into use as plots.	6	3 new plots created at Twenty Pound Meadow and 3 at Botley Meadow.	0
Rose Hill News	500	funding awarded to contribute towards the May edition of Rose Hill News.	3,000 households	May edition of Rose Hill News printed and distributed to local households, Funding has now been secured for 5 years from the Big Lottery Fund	1,364
South Oxford Community Event - Fit for Fun	250	Funding awarded to contribute towards three community events taking place in Grandpont, New Hinksey, Cold Harbour and Donnington.	174	3 events held each with a fitness theme, 1st event was dance, 2nd event family yoga & the 3rd event was an outdoor activity day at the Riverside centre. Feedback from those attending was positive and a commitment to continue with these activities.	60
Oxford 50 plus Network	1,000	Funding awarded to contribute towards the setting up and running costs of this group.	109	A new group that has 10 steering group members and regular meetings planned to disseminate new legislation that may effect or benefit older people.	10.58

organisation/project	Grant Awarded (£)	Description of project	Number of people who benefitted	Achievements	Other funding received for this project (£)
Oxford Ice Hockey Club	942.50	Funding awarded to contribute to the costs of sending volunteers on training that comply with the English Ice Hockey Association, the UKs governing body for this sport.	0	NO INFORMATION RETURNED	0
St Friedswide	400	Funding requested to contribute towards two workshops for local people to learn about wildlife, its diversity and habitate.	25	1 workshop taken place and 3 more planned for later in the year.	0
Totals	<u>11,761.50</u>		70,109		<u>25,038</u>
			<u>3,000</u> households		

APPENDIX 1

Arts Development Grants awarded 2010/2011

195

funding awarded to:	Grant Awarded (£)	Description of project	Number of people who benefitted	Achievements	Other funding received for this project (£)
Tracey Warr	250	Funding awarded to contribute towards a talk on the history of sound art and experience over and underwater sound and light at Temple Cowley pool.	88	A project that combined art and sport. It got people into the water who wouldn't normally swim and gave swimmers a new experience.	0
Prof. Brian Foster	375	Funding awarded to contribute to the Oxford May Music Festival	1,170	The event introduced new audiences to science and classical music. The event attracted tourists into the city and recorded attendees who had come especially for the festival from Los Angeles, France and Germany.	20,110
Richard Rosch	300	Funding awarded for a project that will occupy an empty shop for a couple of days and encourage participants to imagine their lost journeys.	200	The original shop space was not available so artist worked directly in the public, feedback from participants was positive.	3,300
Paul Medley	336	Funding awarded to contribute towards an exhibition at the John Radcliffe Hospital	40	An exhibition of photographic prints held - general feedback from patients and the public was positive.	0
Philip Hind	375	Funding awarded to contribute towards the costs of documenting the 100th anniversary of the Jeune Street Picture Palace.	250	A documentary was successfully completed and screenings were well attended	1,625

funding awarded to:	Grant Awarded (£)	Description of project	Number of people who benefitted	Achievements	Other funding received for this project (£)
Kuumba Nia Arts	375	Funding awarded to contribute towards an event taking part in Black History month	13	Two performances took place at Blackbird Leys that celebrated Carter G Woodson/Sankofa stories during black history month	0
Oxfordshire Youth Arts Partnership	250	funding awarded for a project called The Yak Shack - creating art opportunities for young people aged 16-25	398	The aim of the project was to open up spaces for young artists, musicians and young creative people aged 16-25 to showcase their work. Unused shops across the city were opened up and the public were invited to see the art, music, poetry, wall art, photography. Some of the artists involved with this project have gone on to develop an independent record label based in Oxford.	0
Not Famous Yet	750	funding awarded to enable artist to exhibit in the Link Gallery at the John Radcliffe Hospital	2,000	The exhibition programme that was created was received with positive feedback from staff, patients and visitors to the John Radcliffe. It encouraged those that would not usually look at contemporary art to do so and enjoy it.	1,793
Sarah Hyams	750	funding awarded to fund a workshop that will celebrate the richness of Braxilian carnival culture	0	NO INFORMATION RETURNED	0
Oxford Improvisers	250	funding awarded to contribute towards opening spaces for artist to display their work during the Cohesion 4 Festival	0	NO INFORMATION RETURNED	0

funding awarded to:	Grant Awarded (£)	Description of project	Number of people who benefitted	Achievements	Other funding received for this project (£)
Launch Collaborative - plus 1	239	funding awarded for this project to work with 10 artist to deliver an art exhibition in the city centre	0	project delayed - now taking place June 2011	0
Sole Rebel Tappers	750	funding awarded towards a 5 day course looking at the history of tap and explore the creative process	0	NO INFORMATION RETURNED	0
totals	<u>5,000</u>		<u>4,159</u>		<u>£26,828</u>

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APPENDIX 2

ADVICE CENTRE CASE STUDIES

Oxford CAB

Following a diagnosis of terminal cancer, a client had taken early retirement. He had come to terms with his diagnosis and prognosis, but was extremely worried about how he and his wife were going to manage financially. They contacted Oxford Citizens Advice Bureau and were helped to apply for pension credit and council tax benefit, as well as assisted successfully to chase up unpaid state pension. While they still have to be very careful with money, they are better off than they were before and said that the help they receive took a lot of worry and stress from filling in forms and knowing what benefits they were entitled to, (never having dealt with benefit claims before), at a time when the client had terminal lung cancer which was at the forefront of their minds.

Blackbird Leys Neighbourhood Support Scheme Ltd (Agnes Smith Advice Centre)

A client visited the centre seeking assistance with her disability living allowance. She had completed a renewal form and had been refused despite being entitled to high rate mobility and middle rate care in the previous year. Her circumstances had not changed and apart from the wording being different the form contained exactly the same information.

On behalf of the client the advice centre wrote to the disability benefit unit to request an appeal of the decision indicating more information would follow. We worked with the client to create a personal statement detailing her medical problems. Then sent her statement to her doctor and hospital asking them to add any further comments and information or make correction where required. The statement was then sent to the disability benefit unit.

As a result the clients' entitlement was re-instated. Plus it became evident that the client needed considerable help around the home and in light of this the centre assisted her in obtaining an assessment visit from the occupational therapy team. They agreed to several adaptations that includes a stair lift, hand rail, and raised furniture.

This has improved her life considerably, increased her independence and ability to be more active in her home.

Rose Hill & Donnington Advice Centre

A client came into the office; she was a very worried single pensioner who has been struggling to pay her debts for many years. She has also taken out a second mortgage on her home and is struggling to pay non priority debt.

She is currently working 30 hours a week but she can no longer pay her debts because her income dropped dramatically since losing her job and having to take a lower paid one. She was not sure how she was going to cope and in her own words "feeling like doing herself in".

The advice centre wrote to all of her creditors who agreed to hold off payments while a review was being done and requested an update in 6 months.

The client completed a budget form which showed she does not have any spare income to pay non priority creditors. We talked to her about selling her home.

6 months later the client came in to update us, she has sold her home and with the proceeds paid off her mortgage and creditors and bought a small flat. She is now debt free and smiling.

APPENDIX 3

Case Studies from the Development Team at Oxfordshire Community & Voluntary Action (OCVA)

Case Study 1

An Oxford-based charity asked OCVA to conduct an Organisational Health Check with their Administrator and the Chair of Trustees. We spent two hours with them, talking about their legal structure, policies and procedures. A short report was written for the Board of Trustees highlighting the issues which I felt were of most concern. The most important of these was they were not incorporated, despite employing several people and leasing their premises.

The concerns about trustee liabilities were increased by the overly elaborate governance structure which led to confusion about who was or was not a Trustee.

I was subsequently invited to a meeting of the Executive Committee (which includes all Trustees). At that meeting the Executive Committee agreed to become a charitable company.

Further meetings have been arranged to go through the procedure and OCVA will continue to support them, either through meetings or by email.

Case Study 2

A voluntary group of parents with children who have Downs Syndrome, wanted to hold a conference to inform teachers, teaching assistants and others interested in education about the latest methods of teaching mathematics to children with this specific learning disability.

The group approached OCVA for assistance with identifying sources of funding and how to write applications. After establishing that they were eligible to apply for funding we helped them access 'Funder Finder' *

They applied to 'Awards For All' and were successful. The group were awarded £4,500.

We have kept in touch by email, identifying further possible sources of funding and ways of approaching different funders.

Case Study 3

OCVA has been working over a number of months with a user-led mental health group. They are delivering a vital service, but due to the nature of the group, they tend to be a little chaotic with very little written down.

OCVA has acted as an advocate for the group with Oxfordshire County Council and Oxfordshire Primary Care Trust (PCT) over Joint Commissioning this work. The PCT has agreed to fund the group until the Autumn.

OCVA is working with and supporting the group to ensure that:-

- Accounts are kept in an appropriate format, &
- Policies and procedures are written down.

OCVA will also be guiding the group through the new commissioning structures and help them to secure longer-term funding. They will also be in a better position to look for other sources of funding.

* Funder Finder is a company limited by guarantee and a registered charity. The software is a method of matching grant-makers' interests with grant-seekers' needs.

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APPENDIX 4 - RISK REGISTER

Risk Score: Impact Score: 1=insignificant; 2=minor ;3=moderate; 4=major; 5=catastrophic Probability Score: 1=Rare;2=Unlikely;3=Possible'4=Likely'5=Almost Certain

No	Risk description link to corporate obj.	Gross risk		Cause of risk	Mitigation	Net risk		Further Management of Risk Transfer/Accept/Reduce/Avoid		Monitoring Effectiveness				Control Risk	
		I	P			I	P			Q	Q	Q	Q	I	P
1	Monitoring Information not returned. (Stronger & More Inclusive Communities)	1	3	Grant funding awarded to community & voluntary organisations is not used appropriately	Mitigating Control: Monitoring Forms Level of Effectiveness: Medium because information may not be returned.	1	2	Action: Reduce Action Owner Julia Tomkins Mitigating control Keep check list & close monitoring Report through Community & Partnership Scrutiny Control Owner Julia Tomkins	Outcome Required: All monitoring forms returned Milestone date: On going	1	2	3	4	I	P

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CITY EXECUTIVE BOARD

Wednesday 22 June 2011

COUNCILLORS PRESENT: Councillors Price (Leader), Turner (Deputy Leader), Bance, Cook, Coulter, Lygo, Smith, Tanner and Timbs.

11. APOLOGIES FOR ABSENCE

Councillor McManners

12. DECLARATIONS OF INTEREST

None.

13. PUBLIC QUESTIONS

Written questions from the public, with answers, were distributed at the start of the meeting. These are attached to the minutes as an appendix .

14. KEEP PUBLICLY FUNDED LEISURE IN OXFORD - PETITION

The Head of Leisure and Parks submitted a report (previously circulated, now appended) providing information on the Council's response to two petitions received concerning publicly funded leisure facilities in Oxford.

Resolved to note the contents of the report, the views expressed by the campaign group in the petition, the public consultation and engagement exercises carried out by the Council and the substantial body of evidence established and, in the light of this, to confirm the previous policy to build a new high quality swimming pool facility adjacent to Blackbird Leys Leisure Centre and, once completed, to close both Temple Cowley Pools and Blackbird Leys Pool.

15. RISK MANAGEMENT - QUARTER 4 REPORT

The Head of Finance submitted a report (previously circulated, now appended) providing a summary of the changes to the Corporate Risk Register and Service Risk Registers submitted as part of the Quarter 4 update.

Resolved to:-

- 1) Note the report; and
- 2) Note that risk registers were being regularly monitored with actions to reduce risks taking place.

16. PERFORMANCE REPORTING - QUARTER 4

The Head of Business Improvement submitted a report (previously circulated and now appended) which contained non-financial performance monitoring information for Quarter 4 of the last financial year as well as the full year results.

Councillor Price drew attention particularly to the reduction in carbon emissions, reduction of days lost to staff sickness and the percentage of council spending made locally. He congratulated officers for this performance.

Councillor Brown, on behalf of the Value and Performance Scrutiny Committee commented on the report which had been to the committee the previous evening. He said that on the whole the Committee had been impressed with the full year results. The principal point of scrutiny concern was the high level of abandoned calls to the contact centre.

In response to the concerns of the Scrutiny Committee the Chief Executive said that work was being progressed to improve call response times in call centres. He said that a sustained large increase in call volume had been experienced peaking especially during the adverse weather earlier in the year, and at the time of changes to recycling and garden waste container collection. He said that staff changes and training as well as merging two call centres would improve performance. He added that a large number of callers had disconnected after listening to pre-recorded information, although there was no way to tell if their queries had been resolved.

Resolved to note:-

- 1) The increase in the number of performance targets that had either met or exceeded the target set for 2010/11; and
- 2) The final outturn performance information and the actions that were in place to address the fourteen measures that had not achieved the year end target.

17. PROVISIONAL OUTTURN

The Head of Finance submitted a report (previously circulated, now appended) setting out the forecast outturn position for the Council's Capital and Revenue budgets for the year ended 31st March 2011 compared to the approved budget. In addition it provided explanations for variances from the outturn reported as at 28 February 2011.

Councillor Brown, on behalf of the Value and Performance Scrutiny Committee commented on the report which had been to the committee the previous evening. He thanked the report author for presenting the report in an accessible, easy to understand form. Areas of concern from the Scrutiny Committee's perspective were the level of unachieved savings (at £582k) and the very large underspend in Community Housing and Community Development. The committee had also expressed concern at the underspend on the staff training budget. He said that the Committee felt that savings targets should be carefully set so that they were realistic for service areas and capable of being achieved.

In response to the concerns of the scrutiny committee Councillor Turner said that managers were encouraged to be ambitious when proposing efficiency savings; budgets were drawn up with contingencies put in place to mitigate the effects of medium and high risk targets not being met. The Corporate Director for Finance and Efficiency added that the many of the unachieved savings could be attributed to department restructures and lower than expected income levels. The Chief Executive advised that money from the transformation fund was spent on staff training so that overall the required budget was spent in relation to staff training.

Resolved to:-

- 1) Note the outturn of £28.1m, which was £0.2m favourable to the approved Budget for 2010-11;
- 2) Agree the transfer of the additional General Fund surplus of £0.2m to the Severance and HR Reserve;
- 3) Agree to transfer £1.256m to the General Fund working balance;
- 4) Approve the carry forward requests recommended by the Corporate Management Team and summarised in Table 8 and detailed in Appendix E of the report;
- 5) Approve the net transfers (to) / from provisions
 - £(0.7)m for the General Fund,
 - £(0.2)m for the Housing Revenue Account
- 6) Approve the net transfers (to)/ from earmarked reserves
 - £(0.8)m for the General Fund
 - £0.9m for the Housing Revenue Account
- 7) Note that movements to and from reserves were set out in Table 3 and detailed in Appendix B of the report.

18. FUTURE ITEMS

Nothing was raised under this item.

19. MINUTES

The minutes of the meeting held on 25 May 2011 were approved as a correct record and signed by the Chair.

The meeting started at 5.00 pm and ended at 5.51 pm

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CITY EXECUTIVE BOARD

Thursday 21 July 2011

COUNCILLORS PRESENT: Councillors Price (Chair), Cook, Coulter, Lygo, Smith, Tanner and Timbs.

20. APOLOGIES FOR ABSENCE

Apologies were received from Councillors Bance, McManners and Turner.

21. DECLARATIONS OF INTEREST

No declarations of interest were made.

22. PUBLIC QUESTIONS

Full written questions with answers were distributed at the start of the meeting.

A document from the Head of City Leisure outlining the Council's position on various claims made in a paper presented to the Full Council meeting on 11 July 2011 by the Save Temple Cowley Pool Group was also distributed at the start of the meeting.

The documents referred to above are appended to the minutes.

Nigel Gibson was given 3 minutes to address the Board. He highlighted various points on why the Save Temple Cowley Pools Group believed the closure of the Temple Cowley Pool was wrong and unjustified.

23. COMPETITION STANDARD SWIMMING POOL

The Head of City Leisure and Parks submitted a report (previously circulated, now appended) recommending approval of the tender for the construction of a competition standard swimming pool adjoined to Blackbird Leys Leisure Centre.

The Head of City Leisure and Parks gave a presentation to the Board summarising how the proposed pool in Blackbird Leys fitted in with the overall aims and objectives of the City-wide Leisure strategy.

Peter Sloman, Chief Executive, spoke about the detail of the new pool in Blackbird Leys, particularly focusing on cost, affordability and risk to the Council. On the public questions he said that full answers had consistently been given to the questioners and he would not be authorising more officer time to answer questions on the subject in future.

Councillor Coulter, Board Member for Leisure, summed up the reasons why he believed the Board should approve the recommendations in the report. He said that the proposed new pool presented the best opportunity for all residents of the

City and that the alternative of keeping Temple Cowley Pool would be too costly and risky to the Council.

Resolved to:-

- 1) Approve the construction of the competition standard swimming pool adjoined to Blackbird Leys Leisure Centre and an increase in the contingency provision of £350k to cover risks, in particular; the implications of ground works and the Town Green application;
- 2) Delegate authority to the Executive Director of City Services, in consultation with the Head of Law and Governance, to award the construction contract to Willmott Dixon;
- 3) Delegate authority to the Executive Director of City Services to amend the contract with Fusion Lifestyle to include the management of the new competition standard swimming pool, subject to the agreement of satisfactory terms; and
- 4) Instruct officers to implement a decommissioning plan for Temple Cowley and Blackbird Leys Pools.

24. FUTURE ITEMS

Nothing was raised under this item.

The meeting started at 5.00 pm and ended at 6.15 pm