

# Agenda

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## Scrutiny Committee

Date: **Tuesday 4 June 2013**

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Time: **6.00 pm**

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

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For any further information please contact:

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# Scrutiny Committee

## Membership

<b>Councillor Mohammed Abbasi</b>	Cowley Marsh;
<b>Councillor Mohammed Altaf-Khan</b>	Headington Hill and Northway;
<b>Councillor Jim Campbell</b>	St. Margaret's;
<b>Councillor Van Coulter</b>	Barton and Sandhills;
<b>Councillor Roy Darke</b>	Headington Hill and Northway;
<b>Councillor James Fry</b>	North;
<b>Councillor Ben Lloyd-Shogbesan</b>	Lye Valley;
<b>Councillor Mark Mills</b>	Holywell;
<b>Councillor Michele Paule</b>	Rose Hill and Iffley;
<b>Councillor Gill Sanders</b>	Littlemore;
<b>Councillor Craig Simmons</b>	St. Mary's;
<b>Councillor Val Smith</b>	Blackbird Leys;

**The Quorum for this committee is 4 Committee Members**

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## AGENDA

### Pages

#### 1 ELECTION OF CHAIR FOR THE COUNCIL YEAR 2013/14

The Committee is asked to elect a Chair for the year 2013 – 2014.

The Chair must be a Scrutiny Councillor from one of the Opposition Political Parties.

#### 2 ELECTION OF VICE CHAIR FOR THE COUNCIL YEAR 2013/14

The Committee is asked to elect a Vice-Chair for the year 2013-2014.

The Vice-Chair must be a Scrutiny Councillor and can be from any Political Party.

#### 3 APOLOGIES FOR ABSENCE

#### 4 DECLARATIONS OF INTEREST

Members are asked to declare any disclosable pecuniary interests they may have in any of the following agenda items. Guidance on this is set out at the end of these agenda pages.

#### 5 SCRUTINY WORKING ARRANGEMENTS AND PREPARATION FOR THE 2013-14 WORK PROGRAMME

1 - 34

Contact Officer: Pat Jones (Principal Scrutiny Officer), Tel 01865 252191, [phjones@oxford.gov.uk](mailto:phjones@oxford.gov.uk)

Background Information
The Scrutiny function starts the year with a new structure. The committee needs to decide how it will operate to deliver the best outcomes.
Why is it on the agenda?
The report outlines suggestions for working for the committee to consider and agree.  Work is still underway on a number of reviews from the last programme. The Committee is asked which of these it wishes to continue.

Who has been invited to comment?
Pat Jones, Principal Scrutiny Officer, will present the work programme, answer questions and support the Committee in their decision making.
What will happen after the meeting?
Working structures will be implemented.

**6 FORWARD PLAN**

35 - 46

The latest published version of the Forward Plan is attached to allow the Scrutiny Committee to decide which items it wishes to pre-scrutinise.

**7 DISCRETIONARY HOUSING PAYMENTS**

47 - 66

Contact Officers: Paul Wilding (Revenues and Benefits Manager) Tele: 01865 252461 Email: pwilding@oxford.gov.uk

Background Information
Discretionary Housing Payments are award towards eligible rent for people in receipt of Housing Benefit. The Council's policy for award of these payments has been reviewed now in particular because of concerns that Welfare Reform is likely to produce an increased number of applications for support.
Why is it on the agenda?
Our scheme aims to focus funds where they are needed most and encourage people to take responsibility for their own personal circumstances.  The revised policy aims have been narrowed with emphasis placed on the prevention of homelessness and Discretionary Housing Payments being used as a temporary support whilst a more sustainable solution can be found.  This report will be considered by the City Executive Board on the 12 <sup>th</sup> . June.
Who has been invited to comment?
Councillor Brown – Board Member for Benefits and Customer Services. Paul Wilding – Revenues and Benefits Manager.
What will happen after the meeting?

Any recommendations will be reported to the City Executive Board.

## 8 END OF YEAR INTEGRATED REPORT 2012 - 2013

67 - 118

Contact Officers: Nigel Kennedy (Head of Finance). Tele: 01865 252708  
Email: [nkennedy@oxford.gov.uk](mailto:nkennedy@oxford.gov.uk) and

Jane Lubbock (Head of Business Improvement and Technology). Tele:  
01865 252218 Email: [jlubbock@oxford.gov.uk](mailto:jlubbock@oxford.gov.uk)

### Background Information

Last year the Council improved its overall performance reporting with the introduction of a quarterly report that integrates outcomes for spending, performance indicators and the management of risk.

These indicators are scrutinised by the Scrutiny Committee and also used as a tool to consider the “overall health” of the Council.

### Why is it on the agenda?

This report shows the outcomes position for the year 2012 – 2013 and will be useful in considering ongoing priorities for scrutiny.

This report will be considered by the City Executive Board on the 12<sup>th</sup>. June.

### Who has been invited to comment?

Councillor Turner – Board Member for Finance and Efficiency.  
Nigel Kennedy – Head of Finance.  
Jane Lubbock – Head of Business Improvement and Technology.

### What will happen after the meeting?

Any recommendations will be reported to the City Executive Board.

## 9 CORPORATE DEBT MANAGEMENT POLICY

119 - 132

Contact Officer: Nigel Kennedy (Head of Finance), Tel 01865 252708, Email:  
[nkennedy@oxford.gov.uk](mailto:nkennedy@oxford.gov.uk)

### Background Information

A review of the Council's methods and processes for the

management of debt has been undertaken with the aim of framing a more efficient and effective corporate system. The outcomes from this review have been used to refresh the Corporate Debt Management Policy.

Why is it on the agenda?

The Debt Management Policy is presented. The report highlights in particular the following changes:

- To limit the circumstances in which credit will be offered and seek payment in advance wherever possible.
- The Council will encourage payment by electronic means and seek to eradicate payment by cash and cheques where possible
- The Council accepts payment by debit and credit card , making a 1.5% charge for credit card transactions – Para 4.5
- The Council makes use of debt collection agencies for hard to collect debts – Para 4.6
- The Council will set clear procedures for dunning processes for unregulated debts. - Para 4.6
- The Council will check other areas of the Council's business before refunds are issued and will seek to offset debts, including against creditor payments where possible – Para 4.16
- Where multiple debts are owed instalment repayments will be allocated on a pro rate basis unless the customer advises otherwise Para 4.10
- Collections staff will take into account customer's individual financial circumstances when agreeing instalment arrangements to ensure they are reasonable and will not cause undue financial hardship. Para 3.1(10)

An action plan for implementation is attached.

This report will be considered by the City Executive Board on the 12<sup>th</sup>. June.

Who has been invited to comment?

Councillor Turner – Board Member for Finance and Efficiency.  
Nigel Kennedy – Head of Finance.

What will happen after the meeting?

Any recommendations will be presented to the City Executive Board.

Contact Officers: Richard Hawkes (Corporate Asset Manager) Tele: 01865 252124 Email: rhawkes@oxford.gov.uk

<b>Background Information</b>
<p>The Council agreed an Affordable Homes Programme 2012 – 2015. This reports sets out delivery within that programme.</p> <p><b>This item includes information that is exempt from publication and this is produced elsewhere on the agenda.</b></p>
<b>Why is it on the agenda?</b>
<p>This reports asks to give delegated authority to the Executive Director for Regeneration and Housing to appoint a main contractor(s) and “call off arrangements” to deliver the agreed programme as sites receive planning permission.</p> <p>The Directors authority will be only that within the overall budget envelop for the programme.</p> <p>This report will be considered by the City Executive Board on the 12<sup>th</sup>. June.</p>
<b>Who has been invited to comment?</b>
<p>Councillor Seamons – Board Member for Housing. Richard Hawkes – Corporate Asset Manager</p>
<b>What will happen after the meeting?</b>
<p>Any recommendations will be reported to the City Executive Board.</p>

## 11 DATES AND TIMES OF FUTURE MEETINGS

The Council and Committee programme for the Council Years 2013/14 and 2014/15 was agreed by Council on 22 April. The following meeting dates for 2013/14 have been agreed for this Committee:

2<sup>nd</sup> July 2013  
3<sup>rd</sup> September 2013  
1<sup>st</sup> October 2013  
5<sup>th</sup> November 2013  
3<sup>rd</sup> December 2013  
14<sup>th</sup> January 2014  
4<sup>th</sup> February 2014  
4<sup>th</sup> March 2014  
1<sup>st</sup> April 2014

The start time for this Committee has been assumed as 6 pm. The Committee is asked to confirm the start time of its meetings for the remainder of the Council Year 2013/14.

## **12 MATTERS EXEMPT FROM PUBLICATION**

If the Committee 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 Committee 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 Committee 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.

## **13 APPOINTMENT OF MAIN CONTRACTOR FOR THE AFFORDABLE HOMES PROGRAMME - 2015**

179 - 236

Items exempt from publication relating to item 9 on the public agenda.

These documents are not for publication by virtue of Paragraph 3 of Part 1 of Schedule 12A of the Local Government Act 1972 (information relating to financial or business affairs)



## **DECLARING INTERESTS**

### **General duty**

You must declare any disclosable pecuniary interests when the meeting reaches the item on the agenda headed “Declarations of Interest” or as soon as it becomes apparent to you.

### **What is a disclosable pecuniary interest?**

Disclosable pecuniary interests relate to your employment; sponsorship (ie payment for expenses incurred by you in carrying out your duties as a councillor or towards your election expenses); contracts; land in the Council’s area; licences for land in the Council’s area; corporate tenancies; and securities. These declarations must be recorded in each councillor’s Register of Interests which is publicly available on the Council’s website.

### **Declaring an interest**

Where any matter disclosed in your Register of Interests is being considered at a meeting, you must declare that you have an interest. You should also disclose the nature as well as the existence of the interest.

If you have a disclosable pecuniary interest, after having declared it at the meeting you must not participate in discussion or voting on the item and must withdraw from the meeting whilst the matter is discussed.

### **Members’ Code of Conduct and public perception**

Even if you do not have a disclosable pecuniary interest in a matter, the Members’ Code of Conduct says that a member “must serve only the public interest and must never improperly confer an advantage or disadvantage on any person including yourself” and that “you must not place yourself in situations where your honesty and integrity may be questioned”. What this means is that the matter of interests must be viewed within the context of the Code as a whole and regard should continue to be paid to the perception of the public.

<sup>1</sup> Disclosable pecuniary interests that must be declared are not only those of the member her or himself but also those of the member’s spouse, civil partner or person they are living with as husband or wife or as if they were civil partners.





**To: The Scrutiny Committee**

**Date: 4<sup>th</sup>. June 2013.**

**Report of: Head of Law and Governance.**

**Title of Report: Scrutiny 2013-2014.**

## **Summary and Recommendations**

**Purpose of report:** To outline working arrangements for the new scrutiny structure and begin preparations for the coming work programme.

**Key decision? No**

**Scrutiny Lead Member: The Committee**

**Recommendations to:**

- 1. Consider and agree the outline operating arrangement for the scrutiny function – Table 1.**
- 2. Agree the starting point for the selection and membership of Panels – paragraph 7.**
- 3. Agree to appoint Lead Members from the Scrutiny Committee – paragraph 8.**
- 4. Agree how to place the current co-optee within the structure – paragraph 11.**
- 5. Agree the framework for the work programme – paragraph 14.**
- 6. Consider and agree the outline scoring for the selection of Panel topics/issues – paragraph 15.**
- 7. Agree which ongoing Panels to take forward and appoint Lead Members – Table 2.**

## Introduction

1. This year scrutiny starts with a new structure built around 1 commissioning committee which will meet publicly about 10 times to coincide with meetings of the City Executive Board. This will allow scrutiny councillors to discharge their public holding to account role well and also allow for the pre-scrutiny of any of the items on their way to the City Executive Board.
2. Panels commissioned by the scrutiny committee will be drawn from the pool of all non executive councillors and they will conduct reviews and debates around subjects and issues drawn from the work programme.
3. The table below outlines the working arrangements suggested by the Cross Party Working Group and the committee is asked to consider these so that outline working arrangements can be finalised.

**Table 1: Operating Principles**

Operating Principle	Comment
10 meetings are provided during the year to fit with the City Executive Board cycle.	<p>Meetings are provided in this way to allow Scrutiny to pre-scrutinise reports/issues on their way to the City Executive Board for decision.</p> <p>The committee does not have to meet on all occasions provided and is able to add meetings at different times if this proves necessary.</p>
There will be a Chair and Vice Chair elected by the committee who will administer the work programme outside of committee meetings.	Committee members will be encouraged to take themed leads to reflect the priorities of the scrutiny programme.
Panels will be commissioned to conduct more detailed scrutiny work.	<p>The Scrutiny Committee will continue to hold the Executive and Senior Officers to account publicly at committees but will also set Panels drawn from all non executive councillors to consider issues in more detail.</p> <p>Themed Lead Members will lead or actively engage with Panels within their area and report back to the Scrutiny Committee on progress and outcomes.</p>

<p>Panels and Standing Panels may have a degree of autonomy from the Scrutiny Committee.</p>	<p>The general principle should be that the Scrutiny Committee commissions and scopes the work of Panels and therefore will have final agreement on their recommendations. On occasions this may not be possible so Panels will then report directly to decision makers. This is most likely if the Scrutiny Committee sets Standing Panels. No substitutions will be allowed on Panels.</p>
<p>Citizens and other specialists will be co-opted onto Panels but will not be part of the Scrutiny Committee.</p>	<p>If the committee feel that a Panel or a Committee debate will benefit from the advice or views of a citizen or expert these will be appointed.</p>
<p>The work programme will consist of a number of issues for consideration informed by consultation with all councillors. These will be prioritised using a points system devised by the Scrutiny Committee.</p>	<p>Items will be taken forward as resources allow and scoped before Panels are commissioned.  Consideration will be given by the Scrutiny Committee to the hosting of a scrutiny conference in an effort to engage a wider audience in the formation of topic lists.</p>
<p>The management of the work programme will be with the whole Committee with the Chair and Vice-Chair taking an “organisational role” between meetings.</p>	<p>The Forward Plan will continue to be used as a tool to select items for pre-scrutiny.  Scrutiny Members or any 4 other members will be able to put an item on the agenda of a Scrutiny Committee and all Councillor Calls for Action and Call Ins will be considered at a public meeting of the Scrutiny Committee.</p>
<p>Communication</p>	<p>The Scrutiny Chair will report regularly to Council on the work of the Scrutiny Committee and officers will take a regular slot on the member briefing sessions to update members and seek views and comments.  The Scrutiny Committee may want to give consideration to varying the venue of Committee meetings.</p>

4. The Committee may want to give more detailed consideration to the issue of selecting and leading Panels and co-opted members.

**5. Selecting and Leading Panels**

The Committee is likely to set 3 types of Panel:

- Standing Panels – considering a range of issues defined by the Scrutiny Committee on a regular basis through the year.
- Panels (sometimes called reviews) – considering a single issue or topic scoped by the committee.
- Select Committee – taking written and oral evidence, usually in public, around an issue. Conclusions are drawn from this evidence and presented back to the Committee. These could happen as part of the public meetings already agreed for the Committee or by a selected Panel of the Committee.

6. There is no requirement for any of these Panels to be politically balanced but members often want to be clear that the representation is “fair”. Given this there probably shouldn’t be a hard and fast rule for selection but maybe an agreed starting point for membership would allow the Committee to come to reasonable decisions.

7. The following is suggested as that starting point:

- All Panels should have between 3 and 6 members,
- 3 member Panel – 1 from each party or 2 from the administration plus 1 other. If a party does not want to take a place then committee agree on the allocation of that place.
- 4 member Panel – 1 from each party plus another administration member. If a party does not want to take a place then committee agree on the allocation of that place.
- 5 member Panel – 1 from each party plus another administration member. Committee agree the 5<sup>th</sup>. member. If a party does not wish to take a place the committee agrees on the allocation of that place.
- 6 member Panel - 1 from each party plus another administration member and another opposition member. Committee agrees the 6<sup>th</sup>. member. If a party does not wish to take a place the committee agrees the allocation of that place.

8. It is important the Scrutiny Committee keeps up to date with the working of its Panels so it would seem sensible that a member of the Scrutiny Committee either takes a lead role on each Panel or keeps in active contact. This will allow a member as well as an officer perspective on progress as well as good links between work both inside and outside of the Scrutiny Committee.

9. All non executive councillors will be asked to express their interest in the various topics forming the long lists in the work programme. When canvassing for interest the Scrutiny Committee may want to use Its Lead Councillors to encourage involvement and advice the Scrutiny Committee on selection should this prove necessary. This plus the suggestion at paragraph 8 will spread responsibility and influence across the Scrutiny Committee and provide for much wider member engagement.

#### **10. Co-opted members on the Scrutiny Committee**

The Communities and Partnership Scrutiny Committee has set for the last couple of years a Housing Standing Panel. During 2012 a group of councillors went through a selection process to appoint a Council Tenant to sit with them. The successful candidate was appointed for 2 terms with the agreement that should there not be a Panel set she would sit on the committee as a non voting member until the end of her term. The Co-optee is currently engaged in a review project set by the Housing Panel.

11. When the Cross Party Working Group discussed the issue of co-optees their view was that these should be appointed to Panels based on subject matter and they should not sit on the Scrutiny Committee. The power to appoint co-optees remains so the Scrutiny Committee is at liberty to take a different view. If however the Scrutiny Committee agrees with this view and in turn decides not to set a Housing Panel for the coming year a decision needs to be taken about how to place the Council Tenant that is part way through her term. The options are:

- Allow the Co-optee to complete the review work underway and appoint to the committee but only to comment on Housing issues.
- Allow the Co-optee to complete the review work underway and then end the term of office.

#### **Work Programme 2013-2014**

12. As usual all councillors have been asked to suggest items for the work programme, at the time of writing only a handful have been made. A list of all suggestions will be presented to the July meeting of this Committee and members will then be asked to make their outline choice of issues that will feature in the work programme.
13. As discussed earlier the work programme this year will consist of:
- Forward agendas.
  - Scrutiny topics/issues taken for debate at committee meetings.
  - Standing Panels their remit and membership.
  - Long list of items taken for review as time and resources allow.

14. The suggestion is that:

**Forward agendas** will be populated by the committee throughout the year with reports for pre-scrutiny taken from the Forward Plan, issues for committee debate suggested by councillors, report backs from Panel and any call ins or councillor calls for action received.

**Standing Panels** will be set at the July meeting when scrutiny members have had the chance to consider the priorities for scrutiny of all members.

**Items for review** will be considered using a “scoring system” agreed by the Scrutiny Committee. Those reaching a threshold will be placed in a list and scoped as time allows. The Scrutiny Committee will decide on the basis of scoping if a Panel should be set.

15. Suggestions for the scoring are below:

Experience has shown that when choosing items for review there are some attributes that are likely to produce successful outcomes and conversely some that are not. These are listed below and members are asked to consider these when agreeing their starting points.

Positive attributes (score 1 for each bullet point)

- The subject matter is contained and focused.
- Some degree of clarity exists about what members might expect to see as measures of success.
- Links to an objective of the organisation.
- Links to or has a significant impact in communities.
- Broad members support exists for the issue or topic.

Negative attributes

- Some other group is already working on the issue.
- Topic is too large scale and therefore difficult to provide focus and commit resources.
- No clear measure of success.
- Polarised support either within the organisation or Member Groups.

Should any of the negatives be present the topic falls otherwise the issue should score at least 3 in the positives.

16. There are 6 Panels still underway from the last programme and the Scrutiny Committee cannot realistically begin any new reviews until these are complete or stopped. Below is a list of these Panels, their remit and progress. Members are asked which of these it wishes to continue with.



**Table 2: Topics currently under review**

<b>Review</b>	<b>Comment</b>
<p>Covered Market Strategy and Leasing Strategy.</p> <p>Councillors Fooks, Campbell, Van Nooijen, Clarkson and Benjamin</p> <p><b>Progress</b> The last update report is attached at <b>Appendix 1</b>. This group is still active and work in underway; they last met on the 28<sup>th</sup>. May. The work links to an issue of significance for the City Centre.</p> <p><b>Continuation is recommended using Councillor Campbell as the Lead Member.</b></p>	<p>Scope:</p> <ul style="list-style-type: none"> <li>• Pre-scrutiny and engagement with the developing Covered Market Strategy and Leasing Strategy.</li> <li>• Independent engagement with the Covered Market Traders Association.</li> <li>• Review of the leasing decision for the unit formerly occupied by Palm’s Delicatessen.</li> <li>• Consideration of comparative data from similar markets.</li> </ul>
<p>Recycling Rates – Are our targets ambitious enough.</p> <p>Councillors Fry, Simmons and Jones</p> <p><b>Progress</b> The last update report is attached at <b>Appendix 2</b>. This group has not met since they reported in April. The committee did suggest a number of lines of inquiry for the group to pursue. At the time of writing the group is arranging to meet to refocus their work. The work links to a corporate priority.</p> <p><b>Continuation is recommended using either Councillor Fry or Simmons as the Lead Member.</b></p>	<p>Scope:</p> <ul style="list-style-type: none"> <li>• Consider our current policies and their effects.</li> <li>• Review with service officers barriers to improvement alongside best practice and new initiatives.</li> </ul>
<p>Enfranchisement and Empowerment.</p> <p>Councillors Jones, Darke and O’Hara.</p> <p><b>Progress</b> The last update report is attached at <b>Appendix 3</b>. The group has not met since this report but officers have been making arrangement for</p>	<p>Scope:</p> <p>As census data is published we begin to see the diverse and changing nature of Oxford and the number of people who failed to complete details without a least 1 reminder. Alongside this there are a number of properties with no one registered to vote.</p> <ul style="list-style-type: none"> <li>• What effect does this have on</li> </ul>

<p>councillors to talk to the communities identified. This is likely to happen in July.</p> <p>This is a new line of inquiry for the authority which commanded broad support and interest from councillors.</p> <p><b>Assuming focus groups can be arranged within a reasonable timeframe continuation is recommended using Councillor Darke as the Lead Member.</b></p>	<p>our understanding of Oxford's communities?</p> <ul style="list-style-type: none"> <li>• Do we understand why some households/communities choose not to engage?</li> <li>• What is the extent of this democratic deficit?</li> <li>• What does this mean for communities, services and funding?</li> </ul>
<p>The effects and value of the City's investment in educational attainment at primary level.</p> <p>Councillors Campbell, Jones, Clack, Kennedy and Khan.</p> <p><b>Progress</b></p> <p>The last update report is attached at <b>Appendix 4</b>. The group has met since then and is in the process of agreeing continuing discussions with its partner school. The group has 5 members 1 of which has had no involvement in the partnership work and 2 others have now become Board Members. This leaves a rather depleted group with the ability to appoint new members limited because of the partnership nature of the work.</p> <p>This work links to a corporate priority.</p> <p><b>Assuming councillors agree that at least 1 new member can be appointed, bought up to speed and accepted by the school partnership, continuation is recommended.</b></p>	<p>Scope: To partner with a participating school to:</p> <ul style="list-style-type: none"> <li>• See the on the ground effects of the KRM model.</li> <li>• Understand the effects for children of all ability types.</li> <li>• Hear and see how the school copes with the cultural and professional challenges.</li> <li>• See how school inspectors respond.</li> <li>• Understand the targets set by the school management team and the part KRM plays in this.</li> </ul> <p>Latterly the group has also decided to look at absenteeism.</p>
<p>Supporting our local high streets.</p> <p>Councillors Clack, Wilkinson and Wolff.</p> <p><b>Progress</b></p> <p>The last update report is attached at <b>Appendix 5</b>. The group has not met</p>	<p>Scope: To understand the background trading conditions in District Centres and the Council's policy approach and investment in "Economic Health".</p> <p>To seek and consider the views of Traders in 2 of our District Centres</p>

<p>since this report and the review has proved difficult to focus. The next step was for councillors and officers to survey traders in the 2 selected areas. This has not got underway. One of the councillors is now a Board Member.</p> <p>It is recommended that this review closes with the issues to date being passed to officers and the Board Member.</p>	<p>(Headington and Cowley Road) with the aim of getting their view of the positives and negatives and likely priorities for action or support.</p>
<p>Mutual Exchanges between Council Tenants.</p> <p>Housing Panel with Linda Hill (tenant).</p> <p><b>Progress</b> This has just started so no progress report is available. This work is being conducted by Linda Hill (co-opted tenant) supported by the scrutiny and housing officers. This work links to a significant issue for the City.</p> <p><b>Continuation is recommended with a choice of councillor from the Committee taking a Lead.</b></p>	<p>Scope: To consider the under occupancy in the Council's stock and the potential for mutual exchanges to support those tenants affected by the changes to benefits and in particular the "bedroom tax".</p> <p>To consider what changes and support is needed to make mutual exchanges a more useful tool for tenants.</p> <ul style="list-style-type: none"> <li>• Interview a range of tenants who have just registered to move.</li> <li>• Interview a range of tenants at the point of swap within the mutual exchange system.</li> </ul>

<p>Report Author: Pat Jones Principal Scrutiny Officer, Law and Governance</p> <p>Email: <a href="mailto:phjones@oxford.gov.uk">phjones@oxford.gov.uk</a> Tel: 01865 252191</p>
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**List of background papers: None**  
**Version: 1**

## Appendix 1

**To:** Value and Performance Scrutiny Committee

**Date:** 28 November 2012

**Report of:** Member Review Panel on the Covered Market

**Title of Report:** Covered Market Scrutiny Review: Next Steps

**Lead Members:** Councillors Fooks and Van Nooijen

### Summary and Recommendations

**Purpose of report:** To report to the Value and Performance Scrutiny Committee on the progress of the Review Panel (RP) on the Covered Market, and to make recommendations for the next steps.

**Report Approved by:** Councillor Jean Fooks and Councillor Oscar Van Nooijen

#### **Recommendations:**

1. The Review Panel advises the committee to:

Extend its brief to encompass:

- Pre-scrutiny and engagement with the developing Covered Market Strategy and Leasing Strategy
- Work to engage with representatives of the Covered Market Traders' Association;
- Review the leasing decision in respect of the unit formerly occupied by Palm's delicatessen;
- Consideration of comparative data from similar markets elsewhere

2. Councillors Campbell, Clarkson and Benjamin have been helpful in the Review Panel's work to date and the committee is asked to invite them to be part of a future Panel.

3. The Review Panel will report on progress at the January meeting of the committee with a full report before the end of the programme.

## Appendices not included

### Introduction

1. The Review Panel (RP) was constituted in the early summer of 2012 and has held several meetings with officers and other members. Councillors Fooks and Van Nooijen are grateful, on behalf of the Scrutiny Committee, for help which has been afforded them by Sarah Claridge and Steve Sprason in particular.
2. This report sets out:
  - Information considered by the RP
  - Current work underway in the Council
  - Proposals for the way forward for the Scrutiny Committee

### The Brief

To consider the economic health of the covered market and in particular the effects of rents on the diversity of traders

3. The Value and Performance Scrutiny Committee set the members a brief to gather data and suggest lines of inquiry for a “Select Committee” to be run in January 2013.
4. Without doing a full review into the economic wellbeing of the Oxford retail sector, it is almost impossible to consider the full ‘economic health’ of the Covered Market. Notwithstanding this, the RP decided to concentrate on the following issues:
  - Council’s rent review process.
  - Maintaining diversity in the Covered Market.

### Setting the Scene

5. “The Oxford Covered Market is the Council’s single most valuable investment property asset, generating a gross rental income of £711,000<sup>1</sup> per annum exclusive”. (Covered Market Leasing Strategy, 2006)
6. It is also considered an iconic tourist attraction, often referred to as the jewel of Oxford, it offers a unique retail experience of high quality boutique goods and independent stalls which are sadly missing from the high street. It is an Oxford institution and is recognised by the Council as such in the many Council plans and strategies written to protect its diversity and status.

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<sup>1</sup> Figure from 2005

7. Notwithstanding the market's status as a community asset, the Council requires a financial return from the Market to fund and be able to maintain and enhance the asset so that the long term community objectives can also be met.
8. During the course of the initial scoping work for the inquiry, it became apparent that significant work is already underway to develop a future strategy for the Covered Market. After discussions with Councillor Clarkson, Councillor Campbell, Steve Sprason, (Head of Corporate Property) and Chris Wood, (Corporate Property) the RP discovered that:
  - The current rent review is the last one before the Covered Market leases end in 2017.
  - The Covered Market Leasing Strategy (responsible for maintaining the diversity in the market) is being replaced in 2013 with a protocol more suited to the aspirations of the Council and the Covered Market Traders.
  - A draft 5 year Covered Market Strategy focussing on the future commercial viability of the Market is in development and is expected to be agreed in early 2013.

### **Outline of information considered by the RP**

#### **Rent reviews**

9. The Council reviews and sets the rents in the Covered Market on a 5 year cycle. Rents are based on market evidence and conditions at the time of the review. They then remain unchanged for 5 years.
10. The rent review process often causes publicity in the local media with traders outlining their frustrations at what they perceive to be significant and unaffordable rises and the Council holding the position that rents need to rise to maintain the asset for the future and provide a reasonable income.
11. The Council is currently reviewing rents for 52 leases for 2012 which has caused similar comments in the media with a particular emphasis on current economic conditions. A local independent Chartered Surveyor has been appointed to advise the Council on the rental value of each unit under review. Rents are calculated based on the evidence of open market lettings and other property transactions on comparable properties. The full review process is attached as Appendix 1.
12. Most leases in the Covered Market end in 2017 so this will be the last rent review before leases are re-negotiated.

#### **Maintaining the diversity of traders**

13. The Council strictly controls and maintains the diversity of traders at the Covered Market through the Covered Market Leasing Strategy

2006 which details the leasing structure of the stalls and outlines the Council's vision for the market to remain a destination retail centre, fully occupied and trading to its full potential.

14. The strategy maintains the overall diversity of the market by setting guidelines on who can lease a stall in the market. It maintains the balance of traders by grouping stalls into categories based on type of trade and restricting the categories to set percentages. This strategy is outlined in Appendix 2. It encourages sole traders, independents and local traders and the continuation of boutique and specialist stores.
15. There has been recent criticism of the Council for allowing a chain store to open in the Covered Market. The strategy does not prohibit chain stores from trading in the market but it does discourage them unless "*there is a real and positive benefit to the balance of trades/diversity*". High Street trades that detract from the Market's special character are discouraged for example electrical/white goods, mobile phones and travel agents.
16. Although the Leasing Strategy does protect the diversity of the Covered Market, economic return does play a part.
17. The chain store in question, opened at the Market when a change of use license was granted in December 2011. The timeline outlining this decision for the change of use is attached as Appendix 3.
18. The Covered Market Leasing Strategy 2006 is due to be reviewed in 2013 and is part of current review and negotiation arrangements with Traders.

### **Current work under way**

#### **The Oxford Covered Market Strategy**

19. The Council's Economic Development Team are leading a project to create a five year strategic plan for the future commercial success of the Covered Market. The group is comprised of Covered Market Traders, Councillors, Council Officers and other stakeholders and has been holding quarterly meetings to identify the economic issues facing the Market and ways to overcome them.
20. This strategy's overall goal is to provide a basis for substantive actions to meet the aspiration (endorsed by the Scrutiny Committee and stated in the latest version of the Asset Management Strategy) that the Covered Market should be 'preserved' as 'one of the jewels' of Oxford's cultural, historic and retail offering.
21. The group is currently finalising the draft strategy and this will be available for wider consultation in early 2013.

## **The Covered Market Signage Policy**

22. A new signage policy is being developed to improve the visibility of the Covered Market entrances.
23. The RP would like to do more work to fully understand the ramifications of this proposed policy and where it fits into the larger Covered Market Strategy.

## **Conclusion and recommendations for the way forward**

24. Given the nature of the proposed policy changes, it has become clear to the RP that further time is needed to engage closely with the emerging proposals. This would mean that a full 'select committee' in January 2013 would be both premature and unhelpful. Instead the RP suggests that the Committee establishes a Panel to pre-scrutinise the draft Covered Market Strategy and the reviewed Leasing Strategy due in 2013.
25. The additional time which this report recommends would allow the Scrutiny Committee, through the RP, to engage in effective pre-scrutiny of the emerging proposals as well as to engage in a proportionate retrospective consideration of the current position of the Covered Market.
26. The Review Panel advises the committee to:
  1. Extend its brief to encompass:
    - Pre-scrutiny and engagement with the developing Covered Market Strategy and Leasing Strategy
    - Work to engage with representatives of the Covered Market Traders' Association;
    - Review the leasing decision in respect of the unit formerly occupied by Palm's delicatessen;
    - Consideration of comparative data from similar markets elsewhere
  2. Councillors Campbell, Clarkson and Benjamin have been helpful in the Review Panel's work to date and the Committee is asked to invite them to be part of a future Panel.
  3. The Review Panel will report on progress at the January meeting of the committee with a full report before the end of the programme.



**To:** Value and Performance Scrutiny Committee

**Date:** 3 April 2013

**Report of:** Scrutiny Recycling Panel

**Title of Report:** Recycling Rates and Council Targets – Update on the Panel’s Work

**Summary and Recommendations**

**Purpose of report:** To inform the Committee on the progress made by the recycling panel,

To seek an extension of the panel’s timeframe so that further engagement can be made to determine whether the Council’s ambition to increase household recycling rates to 51% by 2015/16 is ambitious enough and what would be needed to improve this.

**Panel Lead Member:** Cllr James Fry

**Board Member:** Cllr John Tanner, Cleaner and Greener Oxford

**Policy Framework:** Corporate Plan

**Recommendation(s):**

1. That the Committee note and comment on the report.
2. That the Committee extends the panel timeframe so that more work can be done to investigate whether the Council’s recycling target for 2015/16 is ambitious enough.

**At the meeting the committee suggested a number of other lines of inquiry:**

- The effects of the use of fines and incentives.
- How successfully the Council is working with Universities rather than just students.
- How we can work with large letting agents.
- The use and extension of composting.

## **Introduction**

1. The recycling panel is made up of Councillors Fry, Jones and Simmons. It has met three times in the last 6 months to discuss and determine the following brief:

“The Council’s ambition is to increase household recycling rates to 52% by 2015/16. Is this ambitious enough and what would be needed to improve this.”

2. The panel has met twice with Philip Dunston and the recycling services team. The panel would like to thank Philip Dunston, Stewart Downs, Emily Martin and Joseph Jones-Jennings for their helpfulness and support.

## **Background**

### **Why do we need to recycle?**

3. In 1999 the European Union (EU) set strict targets for local authorities in terms of waste to landfill. To encourage councils to meet these targets, the EU set a fine of £150 per tonne of waste exceeding the set target. At that time, for Oxfordshire it was estimated that fines would be in the range of £9.2M in 2012/13 if waste disposal practices in the county did not change. (pg11, Oxfordshire Joint Municipal Waste Management Strategy 2006) As a result, in 2003 the Oxfordshire Waste Partnership (OWP) was formed between the 6 councils in Oxfordshire to investigate ways that the councils could reduce their waste to landfill by recycling more.
4. Extract from OWP  
*“Through this strategy, the OWP is addressing all wastes produced within Oxfordshire that comes under the heading of ‘Municipal Solid Waste’ (MSW). This includes all wastes produced by households, trade wastes collected by District Councils from small businesses, waste deposited at Waste Recycling Centres (WRCs), and fly-tipped materials.”*
5. Legislation strongly encourages the OWP to increase the recycling opportunities to residents and promote waste minimisation campaigns throughout Oxfordshire alongside this the OWP actively promotes the environmental benefits of reducing waste and reusing materials.
6. In 2011/12, the 6 Oxfordshire authorities together recycled 55.9% household waste and 1.4% of non household waste of the total waste they collected. (Defra 2011/12 figures).

### **Breaking down the percentages**

7. The recycling rate is the amount of household dry and green waste (by tonne) recycled as a percentage of the total amount of household waste generated. This is measured on a monthly basis, and reported externally, via Waste Data Flow, on a quarterly basis.

8. Recyclables are broken down into the following categories:

Dry waste

Household collections ie plastics, tins, paper, cardboard etc

Bulky recyclables – fridges, tyres, mattresses etc

Green waste

Garden waste: ie weeds, branches, grass clippings.

Food waste: collected in the food caddies fortnightly.

Mechanical streets recycling

Recycling collected and separated from litter bins and street sweeps

9. Most of Oxford’s recycling comes from dry waste, as the city does not generate a lot of garden waste because of the built up nature of the city. Bulky waste collections contain a mixture of recyclable materials and refuse, they do not contribute greatly to the overall recycling rate. The breakdown of the recycling rate for 2011/12 is as follows:

**Table 1: Breakdown of Oxford City’s recycling rate 2011/12**

	Percentage of recycling rate (44.4%) 2011/12			
Dry Waste (excl bulking)	Bulky Waste	Garden and food	Food only	Mechanical streets recycling
27%	<1%	11%	3%	4%

**Comparative bench marked data**

10. When analysing the recycling rate it is important to compare like with like. Non urban councils tend to achieve a much higher recycling rate because they have more households with larger gardens which generate a higher rate of (heavy) garden waste for recycling, as opposed to urban authorities which have more people with smaller sections. Oxford City also has a high transient population which requires re-educating on recycling each year and large numbers of households living in HMOs and flats where recycling is difficult.
11. A WRAP report in 2009 outlined a correlation between Index of Deprivation (IoD), household size and recycling rates. It appears that these areas tend to recycle less, and also tend to have larger households. Deprivation levels however are only one factor contributing to recycling rates. The range of materials that a local authority recycles, the size of bins that householders use to recycle and the frequency of the recycling collection all have a greater effect on recycling rates than the deprivation levels. (p10. WRAP report)

12. The Council does collect a wide range of materials, offers decent sized recycling facilities to residents and collects fortnightly which all positively contribute to the recycling rate. The recycling team is attempting to overcome deprivation inequalities by targeting resources in areas of deprivation to encourage recycling, through the cleaner greener campaigns.

13. The City is benchmarked against the following similar councils for recycling.

**Table 2: Household waste: recycled and composted (%) - compared with similar councils**

Local Authority	Total Population	Students	Rural (%)	2009/10 (%)	2010/11 (%)	2011/12 (%)	2012/13 (March to June 2012) (%)
Royal Borough of Kingston	147115	23135	0.3	46.16	47.40	46.80	48.08
York	181168	13490	17.2	43.26	45.06	46.40	46.66
<b>Oxford</b>	<b>134475</b>	<b>33000</b>	<b>0.9</b>	<b>38.23</b>	<b>43.18</b>	<b>44.40</b>	<b>45.78</b>
Cambridge	108900	18396	0	40.68	43.68	43.20	46.94
Norwich	121607	19585	0.2	34.59	37.88	40.63	37.94
Reading	143139	22805	0.3	33.40	34.91	36.80	38.28
Southampton	217524	24735	0	26.38	25.07	23.30	26.46
Middlesbrough	134937	29285	0.3	22.82	23.36	22.70	25.00

14. Of these councils, Oxford has the highest number of students and in 2011/12 had the third best recycling results, behind Kingston and York. Middlesbrough is the closest to Oxford in terms of population and student numbers, but they are well behind Oxford in the recycling rates. As of December 2012, Oxford's recycling rate was 46.34%

15. Oxford City has made the top 15 of 43 city councils for recycling for the last 4 years. Oxford continues to increase the amount of waste it recycles each year, compared to some city councils which have seen their recycling rates drop. Oxford also produces far less household waste per capita overall compared to similar sized councils; this is despite having one of the largest population turn over rates of all local authorities.

**Table 3: 10 lowest household waste generated per capita of population 2011/12**

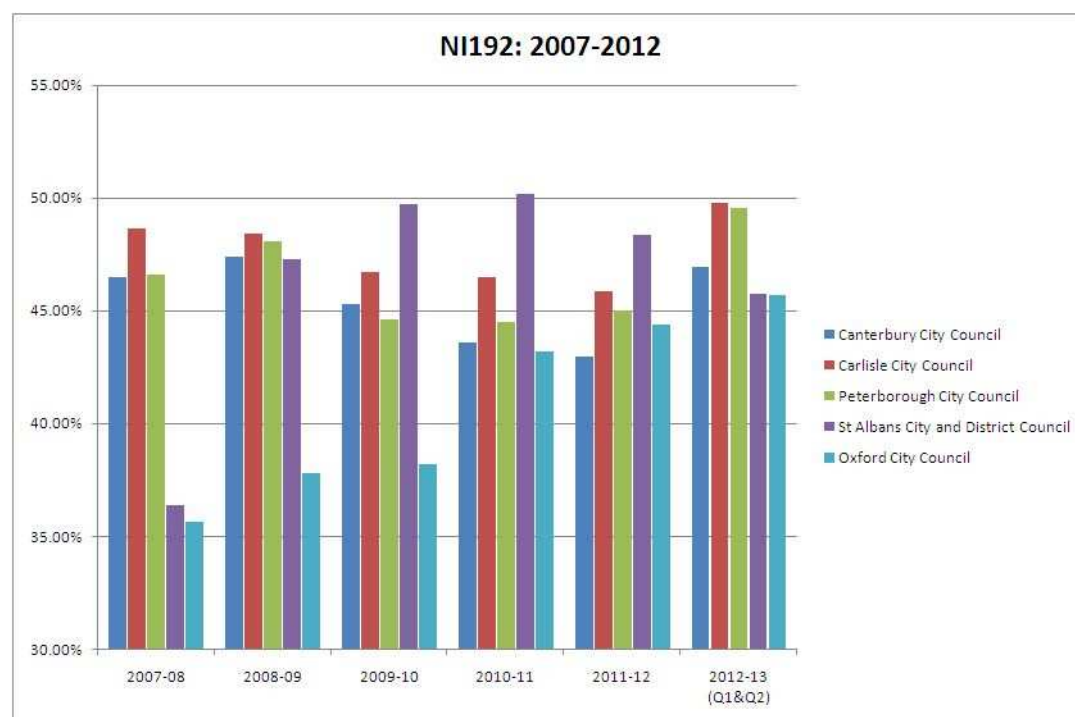
Authority	Total Waste Collection Per capita (kg per head)
Tower Hamlets LB	271.61
Oadby and Wigston Borough Council	273.78
Crawley Borough Council	286.89
<b>Oxford City Council</b>	<b>288.65</b>

Hyndburn Borough Council	292.93
Lambeth LB	293.50
Lewes District Council	293.99
Norwich City Council	296.65
Tendring District Council	299.11
East Devon District Council	299.25

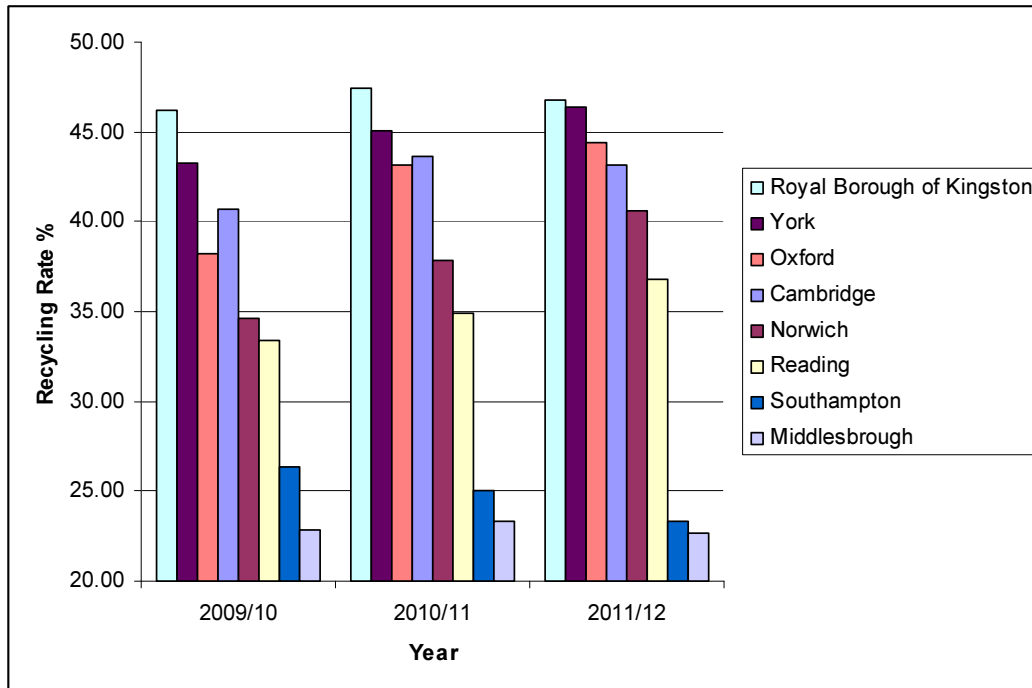
**Table 4: Household waste generated per capita of population 2011/12 for benchmark group**

Authority	Total Waste Collection Per capita (kg per head)
<b>Oxford City Council</b>	<b>288.65</b>
Norwich City Council	296.65
Royal Borough of Kingston	349.27
Cambridge City Council	351.77
Reading Borough	407.97
Southampton	411.88
Middlesbrough	416.34
York City Council	443.26

**Graph 1: Top 4 councils' household recycling rates compared to Oxford 2007-2012**



**Graph 2: Household recycling rate of benchmark group 2009-12**



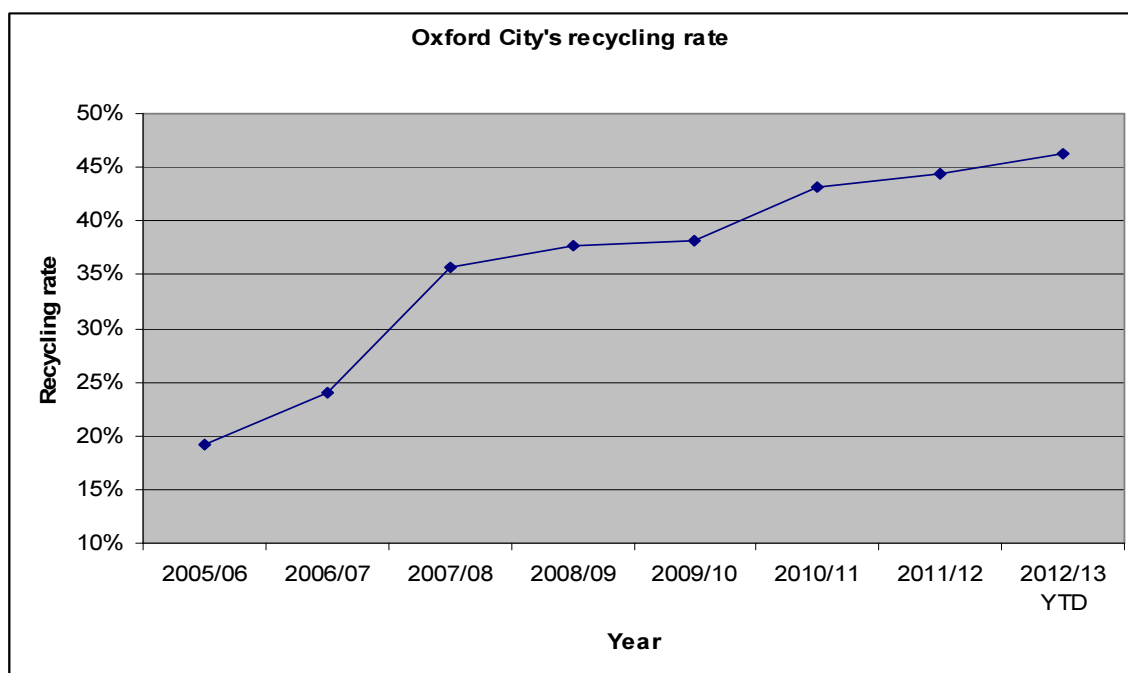
### Oxford's Targets

The Council has two significant waste indicators to measure success: household recycling rate and household waste going to landfill.

#### 16. Household recycling rate (NI 192)

Between April and December 2012, Oxford recycled 46.34% of its waste this is a vast improvement from 2005/06 when only 19% was recycled. The Council's ambition was to recycle 52% of household waste by 2015/16. The target has since been revised and downgraded by the City Executive as they feel that "to achieve 50% for an urban authority is a stretching target and therefore the proposal [is] to maintain it at 50% until 2014/15 and then increase it to 51% thereafter. The cost of achieving every additional 1% to the recycling rate becomes uneconomic as significant investment in the service would be required to increase the recycling rate beyond 51%". (Corporate Plan 2013 – 2017 report to CEB 14 February 2013).

“Significant investment” in the service means the cost of implementing such programmes as introducing a food waste collection to all flats in the city. The panel would like to explore with the recycling team various ideas that might increase the recycling rate which do not require significant investment.



Data from Waste Data Flow

#### 17. Household waste going to landfill (NI191)

The Council’s target is to “reduce the amount of residual household waste collected per household per annum and sent to landfill to 430kg in 2014/15.” In 2011/12, 419.51kg per household was sent to landfill. This figure continues to exceed the target due to a number of initiatives to reduce residual waste and encourage recycling implemented by the recycling team. These include increasing the range of materials that can be recycled ie electronics and textiles and targeted campaigns to encourage recycling amongst different groups in the city.

#### **Current recycling services offered by Oxford City Council**

18. The Council offers a free fortnightly recycling collection to most households across the city. Dry recyclables (plastics, paper, tins etc) are collected in the blue wheeled bin and all food waste is collected weekly in a green caddy. Garden waste can also be collected for an annual subscription of £36.75 or free for those residents who claim benefits. To date, 13,802 households get fortnightly garden waste collection, 10,158 subscribed to the paid service and 2927 are concessionary.

19. All dry recyclables are initially sent to the recycling processing plant at Enstone and then sent to Milton Keynes, where they are sorted and sold to various places across the UK to be re-used. The Council pays a gate fee and a separation fee (per tonne) for the recyclables to be sorted at the plant. This equates to approximately £3 per tonne. Food waste is sent to

the County's processing plants where it is made into fertiliser and re-sold for agricultural use. Garden and food mixed waste is collected and sent to be composted, to be sold for agricultural use.

20. The Council also offers a bulky waste collection which entitles all households to two free inorganic collections ie tvs, mattresses, whiteware etc per year. The Council also provides WEEE banks at bring sites where residents can dispose of small electrical appliances. Any goods disposed of are then pulled apart and recycled. Batteries can be disposed of in a clear plastic bag on top of the blue or green wheeled bin as part of the kerbside collection.

### **Commercial Waste collection**

21. The Council offers a commercial waste collection. Providing this service is not a statutory requirement, but it does give the opportunity to generate revenue and encourage the commercial sector to recycle. The Council's commercial waste service controls approximately 50% of the commercial waste collection market in Oxford. It currently won't accept any new customers unless they choose to recycle. Direct Services currently recycle around 30% of the commercial waste it collects.

22. Unlike household waste, commercial waste is not part of the calculation for NI192. However, commercial recycling contributes to Oxfordshire County Council's objective of reducing the proportion of Municipal Waste sent to landfill.

### **Campaigns and policies to encourage recycling**

23. Officers have run several promotional campaigns to encourage residents to recycle.

#### **24. Cleaner Green Oxford Campaigns**

The recycling team have been involved with a number of the Cleaner Greener Oxford Campaigns including East Oxford, Barton and Temple Cowley. Educational work has been carried out to improve the recycling scheme in these areas.

#### **25. Rebalancing Projects**

A number of rebalancing projects have taken place to increase the recycling in Rose Hill, Barton and currently Blackbird Leys and Greater Leys. The projects aim to remove additional green bins and educate residents in the use of blue recycling bins and food waste caddies. This has encouraged recycling by making it easier for residents. There has been a positive response from residents with the areas achieving the following results.

<b>Area</b>	<b>Recycling rate before campaign</b>	<b>Recycling rate after campaign</b>	<b>Change in recycling rate</b>
Barton	42%	49%	4.9%



Rose Hill	39%	46%	7%
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26. Introducing new material streams

Pink electrical banks (WEEE banks), have been rolled out across the city for residents to recycle small electrical items. Initially 9 banks were introduced and following the popularity, 9 more have recently been sited across the city.

27. A kerbside battery recycling scheme was introduced in September 2012. Residents are able to place batteries in a clear bag on top of their green or blue bin for recycling.

28. Students

Working closely with the student population, officers have door knocked and attended “fresher fairs” to increase awareness of the need to recycle. Working with the British Heart Foundation (BHF), officers ran a student “Moving Out” campaign in which students left out their unwanted furniture and the BHF collected and sold it on.

29. Targeting flats and HMOs

In 2012 The Council extended its household recycling scheme to tenants in Council owned flats by providing large recycling facilities on the ground level of each block. In December 2012 Council amended its Waste Policy so that *“at all relevant sites, the Council shall seek to collect no greater quantity of waste from domestic refuse bins than from domestic recycling bins”*. This policy change forces private property agents to purchase recycling bins for their flats in exchange for the Council collecting the waste/recycling every 3 days. Alternatively, agents can choose a private waste collection firm to collect their waste. So far the take up of privately run flats onto the Council’s scheme is promising.

**Ongoing work of the panel**

**Is the recycling target ambitious enough?**

30. The City’s current recycling rate of 46.34% (Dec 2012) means that the Council is currently 4.66% short of its target of 51% for 2015/16. Given that it is too soon to tell what affect the change in waste policy has had on the recycling rate, the panel would like to continue its investigations, before making a final decision on the ambitiousness of the council’s recycling target.

31. The panel would like to investigate the following issues:

Resident incentive schemes to encourage recycling in low recycling zones of the city.

Collecting food waste from flats.

Direct Services applied for funding from the Government to extend food waste collection into flats but the proposal was unsuccessful. A revised proposal was considered not viable.

The Panel would like to review these costs matched against the current cost of food waste from flats going to landfill.

Garden Waste scheme – the impact of charging for garden waste collection and the effect this has had on the number of households who recycle garden waste.

Is the garden waste collection price sensitive?

Are there ways of encouraging more garden waste into the waste stream.

Promotion/education campaigns – What more can be done to educate and promote recycling, including promoting WEEE banks, and the types of plastics that can be recycled.

## **Conclusion**

32. The panel is still unsure whether the City's recycling target is ambitious enough, as the impact on the recycling rate of several newly implemented recycling initiatives is yet to be assessed
33. The panel would therefore like more time to fully explore the impact of these new initiatives before making a final assessment on the Council's ambitions.

## **Recommendations**

**That the Committee note and comment on the report.**

**That the Committee extends the panel timeframe so that more work can be done to investigate whether the Council's recycling target for 2015/16 is ambitious enough.**

**Name and contact details of author:**

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## **Background papers:**

Oxfordshire Joint Municipal Waste Management Strategy  
[http://portal.oxfordshire.gov.uk/content/publicnet/council\\_services/environment\\_planning/waste\\_recycling/alternative/joint-municipal-waste-management-strategy-2006.pdf](http://portal.oxfordshire.gov.uk/content/publicnet/council_services/environment_planning/waste_recycling/alternative/joint-municipal-waste-management-strategy-2006.pdf)

DEFRA, LOCAL AUTHORITY COLLECTED WASTE MANAGEMENT STATISTICS FOR ENGLAND – FINAL ANNUAL RESULTS 2011/12  
[http://www.defra.gov.uk/statistics/files/mwb201112\\_statsrelease.pdf](http://www.defra.gov.uk/statistics/files/mwb201112_statsrelease.pdf)

[http://www.defra.gov.uk/statistics/files/2011-12-ANNUAL-publication-LA-level\\_WITHOUTLINKS.xls](http://www.defra.gov.uk/statistics/files/2011-12-ANNUAL-publication-LA-level_WITHOUTLINKS.xls)

WRAP report Analysis of kerbside dry recycling performance in the UK 2008/09  
<http://www.wrap.org.uk/sites/files/wrap/EVA143-000%20Kerbside%20Dry%20Benchmarking%20UK%2008-09%20Report%20FINAL%20for%20publication%20V2%201.pdf>

Corporate Plan 2013 – 2017 report to CEB 13 February 2013  
<http://mycouncil.oxford.gov.uk/documents/s12352/Final%20CEB%20Corp%20Plan%20report%20101211.pdf>

**To: Communities and Partnership Scrutiny Committee**

**Date: 4<sup>th</sup> April 2013**

**Report of: Head of Law and Governance**

**Title of Report: Enfranchisement and Empowerment Panel - Update**

### **Summary and Recommendations**

**Purpose of report:** To update the Communities and Partnership Scrutiny Committee on the work carried out to date by the Scrutiny Panel that is investigating this topic.

**Scrutiny Lead Members:** Councillors Darke, Jones and O'Hara

**Executive Lead Member:** Councillor Bob Price, Board Member for Corporate Governance and Strategic Partnerships.

#### **Recommendations:**

- 1. To note and comment on the work of the Panel to date;**
- 2 To recommend continuation of the work of the Panel into the next programme.**

### **Introduction**

- 1** The last meeting of the Communities and Partnerships Scrutiny Committee agreed that the Enfranchisement and Empowerment panel could continue its work into the next Council Year.
- 2** It also agreed the following next steps:-

*As a next step, the Panel would like to speak with diverse groups within the community, whether or not they are eligible to go on the electoral register, to find out where they are and what they want from the City Council.*

*The Panel would also like to ascertain their country of origin, why they chose to come to the UK and in particular Oxford, whether they knew what services were offered and by whom, how to access those services, and for those eligible to vote to ask why they did or did not vote.*

*The Panel would also analyse when available the latest census results on nationality (the electoral register did not show this) as this could have an impact on low voter registration and turnout.*

### **Progress to date**

- 3 Following a useful meeting with Martin Tudge (Team Leader, Communities and Neighbourhoods) , it has been decided to speak with the following communities:-

Somali – to meet separately with adult men and women, and young people. The Council has established some relationships with this community, and it is expected that this community will grow over the next 5 to 10 years;

Pakistani – to meet separately with adult men and women, and young people. This is one of the longest established communities in Oxford, with which the Council already has well established relationships;

Polish – to meet with people of all ages. More Eastern Europeans are settling here, and although many register to vote, many assume they cannot vote (on the basis that non-Polish nationals are not able to vote in Poland.)

- 4 This is potentially a huge piece of work, but the Panel felt that three groups was sufficient to provide an initial “snapshot” of what is happening regarding empowerment and enfranchisement in Oxford.
- 5 Martin Tudge has very kindly offered to set up some focus groups with the above communities at which the Panel can talk over the issues it identified with participants. It is hoped that the first one will meet towards the middle of April.
- 6 The Panel is very grateful to Martin for his enthusiasm and help with this project. Further updates will be given as the issue progresses.

### **Recommendations:**

1. To note and comment on the work of the Panel to date;
2. To recommend continuation of the work of the Panel into the next programme

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(On behalf of the Scrutiny Panel.)

**To: Communities and Partnership Scrutiny Committee**

**Date: 4<sup>th</sup>. April 2013**

**Report of: Scrutiny Panel – Educational Attainment**

**Title of Report: City Council Investment in Educational Attainment**

### **Summary and Recommendations**

**Purpose of report:** To update committee on the work of the Scrutiny Panel on Educational Attainment

**Key decision? No**

**Scrutiny Lead Member: All Panel Members**

**Executive Lead member: Councillor Curran**

**Recommendations:**

- 1. To note and comment on the Panel work so far.**
- 2. To recommend continuation of the work of the Panel into the next programme.**

### **Introduction**

1. The committee set a Panel to consider the benefit being gained from the City Council's investment in primary education. This Panel consists of Councillors Clack, Campbell, Jones, Kennedy and Khan. This report outlines progress made by the Panel so far.

### **Background and Scoping**

2. The City Council in its 2012/2013 budget agreed a 4 year investment in City Primary Schools with the aim of supporting the raising of pupil attainment. This investment amounts to £350k for each of the coming 4 years and was driven by the poor outcomes from many of the Primary Schools in the City and the lack of progress towards improvement. The target for this investment is to raise standards in

Primary Schools to 10% above the national average benchmark for performance at Key Stage 1 (7 year olds) and KS2 (11 year olds).

3. In order to determine the best way of investing this money the City Council employed an Education Advisor, Anna Wright, to engage with key stakeholders in the City and County to identify their views on the key reasons for this underachievement and the best way of raising standards.
4. The results of this consultation led to the agreement that the City should tender 2 contracts to deliver:
  - A world class leadership programme for schools in our deprived areas.
  - A whole class literacy and numeracy programme to support teachers in the classroom.
5. The result of these tendering exercises was:
  - KRM were selected to deliver teaching support.
  - The Oxford Schools and University Consortium were chosen to deliver the leadership programme.
6. These programmes were offered to City Schools focusing on those schools facing the biggest challenges. A programme of seminars and face to face discussions were offered to allow schools to get the information they wanted in order to make the decision if this was the right thing for them. The results of this were very positive with most of the City's worst performing primaries taking on some part of the KRM programme and or the leadership programme. It is still early days with some schools having just started and others planning to start shortly.
7. The Panel considered what it might do to track progress and quickly came to the view that the only way to really see progression and results was to try to partner with one of the participating schools. A local school has agreed to host this partnership and the Panel made its first visit on the 27<sup>th</sup>. February.
8. The school is participating in the literacy programme provided by KRM and started training and implementation just after Christmas 2012. To guide the relationship the Panel have agreed the following lines of inquiry:
  - See the on the ground effect of KRM.
  - Understand the effects for children of all ability types.
  - Hear and see how the school copes with the cultural and professional challenges it throws up.
  - See how school inspectors respond.
  - Understand the targets set by the school management team and the part KRM plays in achieving these.



## Progress

9. The first visit in February allowed Panel Members to understand the school profile, its “journey” to date and ambitions for the future. In addition Members were able to observe the culture and teaching in the school and see “KRM lessons” in practice. Discussions with the Principal and her Management Team allowed members to see the early emerging progress, challenges and changes necessary to drive success.
10. This school along with many others is using many tools to improve outcomes and the KRM programme is only one of these. This of course will make it difficult to separate out the improvement due to KRM or any other tool used. It is likely that the KRM programme will have the most impact on phonics so Panel Members are considering making this their focus.
11. Panel Members will meet on the 22<sup>nd</sup>. March to plan their further visits to the school but early observations are positive.
12. In addition to the school partnership The Panel decided to consider school attendance. The KRM programme is self sustaining and has worked with or without active parental support at home. It does, however, require pupils to be at school to be able to engage. Information gathered by The Panel from the County Council on levels of authorised and unauthorised absence suggests there are some significant issues with City Primary Schools performing poorly against other schools in the County on attendance. The data showed some improvement around absenteeism overall but the unauthorised absence element gave cause for concern. The data collected covered a 3 year period up to the end of the 2011-212. The Panel have asked for any data available for the current academic year plus any national comparisons. When this is received The Panel hope to discuss issues with the County Council.
13. The Panel is focused and engaged and hope Committee will allow the work to continue into the next programme so a full year of the KRM programme can be observed.

**Report Author:**

Name: Patricia Jones on behalf of the Scrutiny Educational Attainment Panel  
Job title: Principal Scrutiny Officer – Law and Governance  
Email: phjones@oxford.gov.uk  
Tel: 01865 252191

**List of background papers:**

**Version number: 1**

**To: Communities and Partnership Scrutiny Committee**

**Date: 4<sup>th</sup> April 2013**

**Report of: Head of Law and Governance**

**Title of Report: “Helping the High Street” – what can Oxford City Council do to help and support the retail environment? - Update**

### **Summary and Recommendations**

**Purpose of report:** To update the Communities and Partnership Scrutiny Committee on the work carried out to date by the Scrutiny Panel that is investigating this topic.

**Scrutiny Lead Members:** Councillors Clack, Wilkinson and Wolff

**Executive Lead Member:** Councillor Colin Cook – Board Member for City Development.

#### **Recommendations;**

- 1. To note and comment on the work of the Panel to date;**
- 2. To recommend continuation of the Panel’s work into the next work programme.**

### **Introduction**

- 7** The last meeting of the Communities and Partnerships Scrutiny Committee received a briefing note from the High Street Panel concerning its focus.
- 2** The Committee noted the Panel’s proposed scope and that it intended to look at two District centres in more detail – Headington and Cowley Road.
- 3** It was agreed that:-

- (a) The Panel should, as its next step, talk to traders in both centres in order to obtain a sense of what was good and what was bad about each area;
- (b) The issue could be carried forwards into the next Council/Scrutiny year if necessary.

### **Progress to date**

- 4 The Panel has met and agreed that it will, over the next few weeks, contact traders in the 2 District Centres chosen – Cowley Road and Headington. It was decided that it was important to have a framework of questions to be asked to ensure consistency. This could be in the form of a survey/questionnaire, and advice is being sought from the Consultation Officer before any work begins.

### **Initial questions**

- 5 It had been agreed at the last Committee meeting that the Panel would talk to traders to find out “what is good and what is bad about your area”. The Panel felt that it is important to concentrate on the area as this is something over which the Council can have some influence. It wishes to need to narrow down the questions to focus on positives and negatives for each area. So these are the proposed **starting point** questions:-

- (a) Why did you choose to come to this area?
- (b) Has it worked for you and met your expectations?  
If yes, can you say how?  
If no, can you say why not?
- (c) Do you think that the location of your business has an influence over the success (or otherwise) of your venture?
- (d) What do you think are the strong points of your location? What do you gain?
- (e) What do you think are the weak points of your area? What are the drawbacks?
- (f) Is there a business association in your area? Are you a member of it?  
If yes, have you found it useful, and in what way/s?  
If no, can you say why not?
- (g) What do you see as your top three issues for you (1) as traders and (2) in regards to the general area in which you trade?

(h) Any specific comments you would like to make about your District Centre?

- 6 Ideally, members of the Panel (preferably with officer support), would like to go out over the next few weeks and talk to traders within each shopping area (using a traders' association if/where they exist) to gather answers to their questions in order to gain an overall impression of what is happening in each area. This may still be done. However, given the pressure on Member and officer time, and in order to try to gather as broad a range of information and feedback as possible, the Panel would like to send out a very short questionnaire, covering the points identified above, to traders in the areas concerned.
- 7 The Panel will be able to report back to a future Scrutiny Committee when it has gathered in all the comments and answers and analysed them.

**Recommendations;**

1. To note and comment on the work of the Panel to date;
2. To recommend continuation of the Panel's work into the next work programme

**Name and contact details of author:**

Lois Stock, Democratic and Electoral Services Officer.

T: 01865 252275

E: [lstock@oxford.gov.uk](mailto:lstock@oxford.gov.uk)

(On behalf of the Scrutiny Panel.)

## FORWARD PLAN FOR THE PERIOD JUNE - SEPTEMBER 2013

The Forward Plan gives information about all executive decisions (including "key decisions") the City Executive Board and Single Board Members are expected to take over the forthcoming four-month period. It also contains information about all key decisions Council officers are expected to take over the forthcoming four-month period. A "key decision", except in special or urgent circumstances, cannot be taken unless it has appeared in the Forward Plan for 28 days before the key decision is made. The Forward Plan also contains information about matters that are likely to be taken in private.

### Key decisions

A key decision as defined in Regulations means an executive decision which is likely:-

“(a) To result in the council incurring expenditure which is, or the making of savings which are, significant having regard to the council’s budget for the service or function to which the decision relates; or

(b) To be significant in terms of its effects on communities living or working in an area comprising two or more wards in the council’s area.

The guidance figures for significant items in financial terms as far as the City Council is concerned is £500,000.

### Private meetings

Part or the whole or some or all of the items in this Forward Plan may be taken at a meeting not open in part or in whole to the press or public on one of the grounds in the Local Government (Access to Information) (Variation) Order 2006.

### Making representations on matters or objections to taking matters in private

If you wish to make representations about any matter listed in the Forward Plan, or about taking any part of a matter in private then you must contact us at least 7 working days before the decision is due to be made. This can be done:-

- by email to [forwardplan@oxford.gov.uk](mailto:forwardplan@oxford.gov.uk)
- in writing to

William Reed  
Democratic Services Manager  
Town Hall  
St Aldate’s Street  
Oxford  
OX1 1BX  
Email: [wreed@oxford.gov.uk](mailto:wreed@oxford.gov.uk)  
Tel.: 01865 252230

## Inspection of documents

Reports to be submitted to the decision-maker together with background papers to those reports as listed in the reports are available for inspection at the offices of the Council and appear on our website [www.oxford.gov.uk](http://www.oxford.gov.uk) 5 working days prior to the date on which the decision is due to be made.

## The Council's decision-making process

Further information about the Council's decision making process (including key decisions) can be found in the Council's Constitution, which can be inspected at the Council's offices or online at [www.oxford.gov.uk](http://www.oxford.gov.uk)

## CITY EXECUTIVE BOARD MEMBERSHIP AND RESPONSIBILITIES

<i>Bob Price (Leader)</i>	<i>Corporate Governance, Strategic Partnerships and Economic Development</i>
<i>Ed Turner (Deputy Leader)</i>	<i>Finance, Efficiency and Strategic Asset Management</i>
<i>Susan Brown</i>	<i>Benefits and Customer Services</i>
<i>Colin Cook</i>	<i>City Development</i>
<i>Bev Clack</i>	<i>Youth and Communities</i>
<i>Pat Kennedy</i>	<i>Education, Crime and Community Safety</i>
<i>Mark Lygo</i>	<i>Parks, Sports and Events</i>
<i>Mike Rowley</i>	<i>Leisure Services</i>
<i>Scott Seamons</i>	<i>Housing</i>
<i>John Tanner</i>	<i>Cleaner Greener Oxford</i>

NOTE: Key decisions can also be taken by Council officers.

## JUNE

<b>ITEM 1:</b>	<b>AFFORDABLE HOMES PROGRAMME - AWARD OF MAIN CONTRACT</b>
This report relates to the award or delegation of the award of the main contract for the affordable homes programme. There will be a confidential annex to this report.	
<b>Target Date:</b>	12 Jun 2013
<b>Decision Taker</b>	City Executive Board
<b>Is this a Key Decision?:</b>	Not Key
<b>Executive lead member:</b>	Executive Board Member for Finance and Efficiency
<b>Is this item to be taken in public?</b>	Yes
<b>Report of:</b>	Head of Corporate Property
<b>Contact:</b>	Richard Hawkes
<b>Consultation:</b>	Not applicable

<b>Scrutiny Committee Responsibility:</b>	
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<b>ITEM 2:</b>	<b>CORPORATE DEBT MANAGEMENT POLICY</b>
This report will propose the adoption of a corporate debt management policy.	
<b>Target Date:</b>	12 Jun 2013
<b>Decision Taker</b>	City Executive Board
<b>Is this a Key Decision?:</b>	Not Key
<b>Executive lead member:</b>	Executive Board Member for Finance and Efficiency
<b>Is this item to be taken in public?</b>	Yes
<b>Report of:</b>	Head of Finance
<b>Contact:</b>	Nigel Kennedy Tel: 01865 252708 nkennedy@oxford.gov.uk
<b>Consultation:</b>	
<b>Scrutiny Committee Responsibility:</b>	

<b>ITEM 3:</b>	<b>OXPENS DRAFT MASTERPLAN - PUBLIC CONSULTATION</b>
This report will present a masterplan for the Oxpens Area for authorisation for consultation.	
<b>Target Date:</b>	12 Jun 2013
<b>Decision Taker</b>	City Executive Board
<b>Is this a Key Decision?:</b>	Not Key
<b>Executive lead member:</b>	Executive Board Member for City Development
<b>Is this item to be taken in public?</b>	Yes
<b>Report of:</b>	Head of City Development
<b>Contact:</b>	Fiona Piercy Tel 01865 252185 fpiercy@oxford.gov.uk
<b>Consultation:</b>	
<b>Scrutiny Committee Responsibility:</b>	

<b>ITEM 4:</b>	<b>OUTSIDE BODIES - APPOINTMENT OF REPRESENTATIVES 2013/14</b>
This report will invite the Board to appoint members to outside bodies for 2013/14.	
<b>Target Date:</b>	12 Jun 2013
<b>Decision Taker</b>	City Executive Board
<b>Is this a Key Decision?:</b>	Not Key
<b>Executive lead member:</b>	Executive Board Member for Corporate Governance and Strategic Partnerships
<b>Is this item to be taken in public?</b>	Yes
<b>Report of:</b>	Head of Law and Governance
<b>Contact:</b>	Sarah Claridge Tel: 01865252402 sclaridge@oxford.gov.uk
<b>Consultation:</b>	Groups and Group Leaders.
<b>Scrutiny Committee Responsibility:</b>	

<b>ITEM 5:</b>	<b>DISCRETIONARY HOUSING PAYMENTS POLICY</b>
This report will propose revisions to the discretionary housing payments policy because of the significant additional demand as a result of recent changes to housing benefit.	
<b>Target Date:</b>	12 Jun 2013
<b>Decision Taker</b>	City Executive Board
<b>Is this a Key Decision?:</b>	Yes
<b>Executive lead member:</b>	Executive Board Member for Benefits and Customer Services
<b>Is this item to be taken in public?</b>	Yes
<b>Report of:</b>	Head of Customer Services

<b>Contact:</b>	Paul Wilding Tel: 01865 252461 pwilding@oxford.gov.uk
<b>Consultation:</b>	
<b>Scrutiny Committee Responsibility:</b>	

<b>ITEM 6:</b>	<b>DATA PROTECTION POLICY REFRESH</b>
<b>Target Date:</b>	12 Jun 2013
<b>Decision Taker</b>	City Executive Board
<b>Is this a Key Decision?:</b>	Not Key
<b>Executive lead member:</b>	Executive Board Member for Corporate Governance and Strategic Partnerships
<b>Is this item to be taken in public?</b>	Yes
<b>Report of:</b>	Head of Business Improvement
<b>Contact:</b>	Jane Lubbock Tel: 01865 252708 jlubbock@oxford.gov.uk
<b>Consultation:</b>	
<b>Scrutiny Committee Responsibility:</b>	

<b>ITEM 7:</b>	<b>DEBT WRITE-OFFS</b>
This report will propose unrecoverable debts for technical write off.	
<b>Target Date:</b>	12 Jun 2013
<b>Decision Taker</b>	City Executive Board
<b>Is this a Key Decision?:</b>	Not Key
<b>Executive lead member:</b>	Executive Board Member for Finance and Efficiency
<b>Is this item to be taken in public?</b>	Yes
<b>Report of:</b>	Head of Customer Services
<b>Contact:</b>	Dave Scholes Tel: 01865 252636 dscholes@oxford.gov.uk
<b>Consultation:</b>	
<b>Scrutiny Committee Responsibility:</b>	

<b>ITEM 8:</b>	<b>OXFORD STADIUM, SANDY LANE - INCLUSION ON THE OXFORD HERITAGE ASSETS REGISTER</b>
The stadium has been nominated for inclusion on the heritage assets register. Following public consultation on a report setting out the history of the stadium and an assessment of its significance, the nomination has been examined by a review panel of local councillors who have made a recommendation to the Head of Planning Services. The Head of Planning Services is submitting a report to City Executive Board requesting that they consider including the stadium on the Oxford Heritage Assets Register.	
<b>Target Date:</b>	12 Jun 2013
<b>Decision Taker</b>	City Executive Board
<b>Is this a Key Decision?:</b>	Not Key
<b>Executive lead member:</b>	Executive Board Member for City Development
<b>Is this item to be taken in public?</b>	Yes
<b>Report of:</b>	Head of City Development
<b>Contact:</b>	Robert Lloyd-Sweet rlloyd-sweet@oxford.gov.uk
<b>Consultation:</b>	
<b>Scrutiny Committee Responsibility:</b>	



<b>ITEM 9:</b>	<b>FINANCE, PERFORMANCE AND RISK - PROGRESS - QUARTER 4 2012/13</b>
This report will advise on the end of year position in relation to the Council's financial and non-financial performance and the position in relation to the Council's corporate risks.	
<b>Target Date:</b>	12 Jun 2013
<b>Decision Taker</b>	City Executive Board
<b>Is this a Key Decision?:</b>	Not Key
<b>Executive lead member:</b>	Executive Board Member for Finance and Efficiency
<b>Is this item to be taken in public?</b>	Yes
<b>Report of:</b>	Jackie Yates
<b>Contact:</b>	Nigel Kennedy Tel: 01865 252708 nkennedy@oxford.gov.uk, Jane Lubbock Tel: 01865 252708 jlubbock@oxford.gov.uk
<b>Consultation:</b>	Not applicable.
<b>Scrutiny Committee Responsibility:</b>	

## JULY

<b>ITEM 10:</b>	<b>LEISURE PROVISION IN THE SOUTH OF THE CITY</b>
This report will look at future leisure provision in the south of the City depending on forthcoming occurrences.	
<b>Target Date:</b>	10 Jul 2013
<b>Decision Taker</b>	City Executive Board
<b>Is this a Key Decision?:</b>	Yes
<b>Executive lead member:</b>	Executive Board Member for Leisure Services
<b>Is this item to be taken in public?</b>	Yes
<b>Report of:</b>	Head of Leisure and Parks
<b>Contact:</b>	Ian Brooke Tel: 01865 252705 ibrooke@oxford.gov.uk
<b>Consultation:</b>	
<b>Scrutiny Committee Responsibility:</b>	

<b>ITEM 11:</b>	<b>YOUTH AMBITION STRATEGY - CONSULTATION OUTCOME</b>
This report will contain the outcome of consultation on the Youth Ambition Strategy.	
<b>Target Date:</b>	10 Jul 2013
<b>Decision Taker</b>	City Executive Board
<b>Is this a Key Decision?:</b>	Not Key
<b>Executive lead member:</b>	Executive Board Member for Youth and Communities
<b>Is this item to be taken in public?</b>	Yes
<b>Report of:</b>	Head of Leisure and Parks
<b>Contact:</b>	Ian Brooke Tel: 01865 252705 ibrooke@oxford.gov.uk
<b>Consultation:</b>	
<b>Scrutiny Committee Responsibility:</b>	

<b>ITEM 12:</b>	<b>LOW EMISSION STRATEGY AND AIR QUALITY ACTION PLAN</b>
<b>Target Date:</b>	10 Jul 2013
<b>Decision Taker</b>	City Executive Board
<b>Is this a Key Decision?:</b>	Not Key

<b>Executive lead member:</b>	Executive Board Member for Cleaner, Greener Oxford
<b>Is this item to be taken in public?</b>	Yes
<b>Report of:</b>	Head of Environmental Development
<b>Contact:</b>	Roger Pitman rpitman@oxford.gov.uk
<b>Consultation:</b>	
<b>Scrutiny Committee Responsibility:</b>	

<b>ITEM 13:</b>	<b>PAVILIONS PROGRAMME - PROJECT APPROVAL</b>
This report will seek project approval for the pavilion programme and seek delegated authority for the Executive Director, Community Services to award the various construction contracts when they arise.	
<b>Target Date:</b>	10 Jul 2013
<b>Decision Taker</b>	City Executive Board
<b>Is this a Key Decision?:</b>	Yes
<b>Executive lead member:</b>	Executive Board Member for Parks and Sports
<b>Is this item to be taken in public?</b>	Yes
<b>Report of:</b>	Head of Leisure and Parks
<b>Contact:</b>	Hagan Lewisman Tel: 01865 252706 hlewisman@oxford.gov.uk
<b>Consultation:</b>	
<b>Scrutiny Committee Responsibility:</b>	

<b>ITEM 14:</b>	<b>BARTON - ACQUISITION OF AFFORDABLE PROPERTY</b>
<b>Target Date:</b>	10 Jul 2013
<b>Decision Taker</b>	City Executive Board
<b>Is this a Key Decision?:</b>	Yes
<b>Executive lead member:</b>	Executive Board Member for Housing
<b>Is this item to be taken in public?</b>	Yes
<b>Report of:</b>	Head of Corporate Property
<b>Contact:</b>	Stephen Clarke sclarke@oxford.gov.uk, Steve Sprason ssprason@oxford.gov.uk
<b>Consultation:</b>	
<b>Scrutiny Committee Responsibility:</b>	

<b>ITEM 15:</b>	<b>HOUSING STRATEGY ACTION PLAN 2012-16 - PERIODIC REVIEW</b>
This report will advise on progress against the targets in the Action Plan and any changes necessary.	
<b>Target Date:</b>	10 Jul 2013
<b>Decision Taker</b>	City Executive Board
<b>Is this a Key Decision?:</b>	Not Key
<b>Executive lead member:</b>	Executive Board Member for Housing
<b>Is this item to be taken in public?</b>	Yes
<b>Report of:</b>	Head of Housing
<b>Contact:</b>	Sheila Farley Tel: 01865 252449 sfarley@oxford.gov.uk
<b>Consultation:</b>	Not applicable.
<b>Scrutiny Committee Responsibility:</b>	

<b>ITEM 16:</b>	<b>YOUTH AMBITION STRATEGY</b>
<b>Target Date:</b>	10 Jul 2013
<b>Decision Taker</b>	City Executive Board
<b>Is this a Key Decision?:</b>	Yes
<b>Executive lead member:</b>	Executive Board Member for Youth and Communities
<b>Is this item to be taken in public?</b>	Yes
<b>Report of:</b>	Head of Leisure and Parks
<b>Contact:</b>	Ian Brooke Tel: 01865 252705 ibrooke@oxford.gov.uk
<b>Consultation:</b>	Key stakeholders, cross-party members, young people
<b>Scrutiny Committee Responsibility:</b>	

<b>ITEM 17:</b>	<b>COMMUNITY AND VOLUNTARY ORGANISATIONS - GRANT MONITORING FEEDBACK 2012/13</b>
This report will inform members of the monitoring information returned by community and voluntary organisations funded through the grants programme in 2012/13.	
<b>Target Date:</b>	10 Jul 2013
<b>Decision Taker</b>	City Executive Board
<b>Is this a Key Decision?:</b>	Not Key
<b>Executive lead member:</b>	Executive Board Member for Youth and Communities
<b>Is this item to be taken in public?</b>	Yes
<b>Report of:</b>	Head of Leisure and Parks
<b>Contact:</b>	Julia Tomkins jtomkins@oxford.gov.uk
<b>Consultation:</b>	
<b>Scrutiny Committee Responsibility:</b>	

## AUGUST

## SEPTEMBER

<b>ITEM 18:</b>	<b>LONG TERM AFFORDABLE HOUSING FOR HOMELESSNESS PREVENTION</b>
This report will seek approval to enter into contractual arrangements for the purpose of procuring property to which the Council can nominate for homelessness prevention.	
<b>Target Date:</b>	11 Sep 2013
<b>Decision Taker</b>	City Executive Board
<b>Is this a Key Decision?:</b>	Yes
<b>Executive lead member:</b>	Executive Board Member for Housing
<b>Is this item to be taken in public?</b>	Yes
<b>Report of:</b>	Head of Housing
<b>Contact:</b>	Dave Scholes Tel: 01865 252636 dscholes@oxford.gov.uk
<b>Consultation:</b>	Not applicable
<b>Scrutiny Committee Responsibility:</b>	

<b>ITEM 19:</b>	<b>ALLOCATIONS REVIEW AND CHANGES TO THE ALLOCATIONS SCHEME</b>
<b>Target Date:</b>	11 Sep 2013 30 Sep 2013
<b>Decision Taker</b>	City Executive Board Council
<b>Is this a Key Decision?:</b>	Not Key
<b>Executive lead member:</b>	Executive Board Member for Housing Executive Board Member for Housing
<b>Is this item to be taken in public?</b>	Yes
<b>Report of:</b>	Head of Housing
<b>Contact:</b>	Tom Porter Tel: 01865 252713 tporter@oxford.gov.uk Dave Scholes Tel: 01865 252636 dscholes@oxford.gov.uk
<b>Consultation:</b>	
<b>Scrutiny Committee Responsibility:</b>	

<b>ITEM 20:</b>	<b>AFFORDABLE HOUSING AND PLANNING OBLIGATIONS - SUPPLEMENTARY PLANNING DOCUMENT - ADOPTION</b>
<b>Target Date:</b>	11 Sep 2013
<b>Decision Taker</b>	City Executive Board
<b>Is this a Key Decision?:</b>	Not Key
<b>Executive lead member:</b>	Executive Board Member for City Development
<b>Is this item to be taken in public?</b>	Yes
<b>Report of:</b>	Head of City Development
<b>Contact:</b>	Rachel Williams rwilliams@oxford.gov.uk
<b>Consultation:</b>	
<b>Scrutiny Committee Responsibility:</b>	

<b>ITEM 21:</b>	<b>RIVERSIDE LAND - ACQUISITION</b>
This report will deal with the acquisition of strips of riverside land to facilitate enforcement of unlawful boat mooring. It will contain a confidential appendix.	
<b>Target Date:</b>	11 Sep 2013
<b>Decision Taker</b>	City Executive Board
<b>Is this a Key Decision?:</b>	Not Key
<b>Executive lead member:</b>	Executive Board Member for Finance and Efficiency
<b>Is this item to be taken in public?</b>	Yes
<b>Report of:</b>	Head of Environmental Development
<b>Contact:</b>	
<b>Consultation:</b>	To be advised.
<b>Scrutiny Committee Responsibility:</b>	Communities and Partnerships

<b>ITEM 22:</b>	<b>CUSTOMER CONTACT STRATEGY</b>
<p>Oxford City Council has an aspiration to be a world-class city for everyone, delivering world-class customer service. The Council's Customer Contact Strategy was originally agreed in October 2009. It has been revised following the successful implementation of the Customer Service Centre, Shared Contact Centre and the simultaneous development of the web. The strategy is focused on putting customers' needs at the forefront, improving customer service and joining up its work across all service areas, offering a consistent quality service across the most relevant access channels for our customers. The Customer Contact Strategy sets out where we are now, where we want to be in 2015 and what the key milestones are in our journey.</p> <p>To ensure we deliver a relevant strategy for Oxford City Council, we have pulled together a strong picture of who our communities are, and used proven customer insight to inform how our customers can most easily access the services they need.</p>	
<b>Target Date:</b>	11 Sep 2013
<b>Decision Taker</b>	City Executive Board
<b>Is this a Key Decision?:</b>	Yes
<b>Executive lead member:</b>	Executive Board Member for Benefits and Customer Services
<b>Is this item to be taken in public?</b>	Yes
<b>Report of:</b>	Head of Customer Services
<b>Contact:</b>	Helen Bishop Tel: 01865 252233 hbishop@oxford.gov.uk
<b>Consultation:</b>	To be undertaken as part of the drafting strategy.
<b>Scrutiny Committee Responsibility:</b>	

<b>ITEM 23:</b>	<b>'OXFUTURES FUND' - ESTABLISHMENT APPROVAL</b>
<p>The EU-funded Oxfordshire Total Retrofit programme is funded work, led by the County Council, to create a special purpose financial vehicle to leverage investment for energy efficiency retrofit and renewable energy projects.</p> <p>The strategic and financial consultants are carrying out scoping work during summer 2013 in order to meet a milestone agreed with the EU of 28<sup>th</sup> November 2013 to create the fund (e.g. to have the legal statutes in place).</p> <p>Although the precise form of the fund, and hence the decision needed, is subject to the work of the consultants, approval to work with the County Council to establish a corporate entity to operate the fund may be needed.</p>	
<b>Target Date:</b>	11 Sep 2013
<b>Decision Taker</b>	City Executive Board
<b>Is this a Key Decision?:</b>	Yes
<b>Executive lead member:</b>	Executive Board Member for Cleaner, Greener Oxford
<b>Is this item to be taken in public?</b>	Yes
<b>Report of:</b>	Executive Director Community Services
<b>Contact:</b>	Mairi Brookes Tel 01865 252212 mbrookes@oxford.gov.uk
<b>Consultation:</b>	
<b>Scrutiny Committee Responsibility:</b>	

<b>ITEM 24:</b>	<b>HOUSING STRATEGY REFRESH</b>
<b>Target Date:</b>	11 Sep 2013
<b>Decision Taker</b>	City Executive Board

<b>Is this a Key Decision?:</b>	Yes
<b>Executive lead member:</b>	Executive Board Member for Housing
<b>Is this item to be taken in public?</b>	Yes
<b>Report of:</b>	Head of Housing
<b>Contact:</b>	Sheila Farley Tel: 01865 252449 sfarley@oxford.gov.uk
<b>Consultation:</b>	
<b>Scrutiny Committee Responsibility:</b>	

<b>ITEM 25:</b>	<b>GAMBLING POLICY - UPDATE</b>
This report will propose adjustments to the Council's Statement of Gambling Licensing Policy.	
<b>Target Date:</b>	11 Sep 2013 30 Sep 2013
<b>Decision Taker</b>	City Executive Board Council
<b>Is this a Key Decision?:</b>	Not Key
<b>Executive lead member:</b>	Executive Board Member for City Development Executive Board Member for City Development
<b>Is this item to be taken in public?</b>	Yes
<b>Report of:</b>	Head of Environmental Development
<b>Contact:</b>	Julian Alison jalison@oxford.gov.uk
<b>Consultation:</b>	
<b>Scrutiny Committee Responsibility:</b>	

<b>ITEM 26:</b>	<b>TAXI LICENSING: EURO EMISSIONS AND VEHICLE AGE LIMITS</b>
<b>Target Date:</b>	11 Sep 2013 30 Sep 2013
<b>Decision Taker</b>	City Executive Board Council
<b>Is this a Key Decision?:</b>	Not Key
<b>Executive lead member:</b>	Executive Board Member for City Development Executive Board Member for City Development
<b>Is this item to be taken in public?</b>	Yes
<b>Report of:</b>	Head of Environmental Development
<b>Contact:</b>	Julian Alison jalison@oxford.gov.uk
<b>Consultation:</b>	
<b>Scrutiny Committee Responsibility:</b>	

<b>ITEM 27:</b>	<b>HACKNEY CARRIAGE VEHICLE LICENSES - REGULATION OF NUMBERS</b>
<b>Target Date:</b>	24 Sep 2013 9 Oct 2013
<b>Decision Taker</b>	General Purposes Licensing Committee City Executive Board

<b>Is this a Key Decision?:</b>	Not Key
<b>Executive lead member:</b>	Executive Board Member for City Development Executive Board Member for City Development
<b>Is this item to be taken in public?</b>	Yes
<b>Report of:</b>	Head of Environmental Development
<b>Contact:</b>	Julian Alison jalison@oxford.gov.uk
<b>Consultation:</b>	
<b>Scrutiny Committee Responsibility:</b>	

<b>ITEM 28:</b>	<b>FINANCE, PERFORMANCE AND RISK - QUARTER 1 PROGRESS 2013/14</b>
<b>Target Date:</b>	11 Sep 2013
<b>Decision Taker</b>	City Executive Board
<b>Is this a Key Decision?:</b>	Not Key
<b>Executive lead member:</b>	Executive Board Member for Finance and Efficiency
<b>Is this item to be taken in public?</b>	Yes
<b>Report of:</b>	Executive Director Organisational Development and Corporate Services
<b>Contact:</b>	Nigel Kennedy Tel: 01865 252708 nkennedy@oxford.gov.uk, Jane Lubbock Tel: 01865 252708 jlubbock@oxford.gov.uk
<b>Consultation:</b>	Not applicable.
<b>Scrutiny Committee Responsibility:</b>	

## BEYOND THE LIFE OF THIS PLAN

<b>ITEM 29:</b>	<b>STATEMENT OF LICENSING POLICY</b>
<b>Target Date:</b>	21 Jan 2014
<b>Decision Taker</b>	Licensing and Gambling Acts Committee
<b>Is this a Key Decision?:</b>	Not Key
<b>Executive lead member:</b>	Executive Board Member for City Development
<b>Is this item to be taken in public?</b>	Yes
<b>Report of:</b>	Head of Environmental Development
<b>Contact:</b>	Julian Alison jalison@oxford.gov.uk
<b>Consultation:</b>	
<b>Scrutiny Committee Responsibility:</b>	

<b>ITEM 30:</b>	<b>PUBLIC INVOLVEMENT STRATEGY</b>
To approve a Public Involvement Strategy for public consultation.	
<b>Target Date:</b>	9 Oct 2013
<b>Decision Taker</b>	City Executive Board
<b>Is this a Key Decision?:</b>	Not Key
<b>Executive lead member:</b>	Executive Board Member for Corporate Governance and Strategic Partnerships
<b>Is this item to be taken in public?</b>	Yes
<b>Report of:</b>	Executive Director Community Services
<b>Contact:</b>	Peter McQuitty Tel: 01865 252780 pmcquitty@oxford.gov.uk
<b>Consultation:</b>	
<b>Scrutiny Committee Responsibility:</b>	

<b>ITEM 31:</b>	<b>PUBLIC INVOLVEMENT STRATEGY - CONSULTATION OUTCOME - ADOPTION OF STRATEGY</b>
<b>Target Date:</b>	22 Jan 2014 3 Feb 2014
<b>Decision Taker</b>	City Executive Board Council
<b>Is this a Key Decision?:</b>	Not Key
<b>Executive lead member:</b>	Executive Board Member for Corporate Governance and Strategic Partnerships Executive Board Member for Corporate Governance and Strategic Partnerships
<b>Is this item to be taken in public?</b>	Yes
<b>Report of:</b>	Executive Director Community Services
<b>Contact:</b>	Peter McQuitty Tel: 01865 252780 pmcquitty@oxford.gov.uk
<b>Consultation:</b>	
<b>Scrutiny Committee Responsibility:</b>	



**To: City Executive Board**

**Date: 12<sup>th</sup> June 2013**

**Item No: 8**

**Report of: Helen Bishop**

**Title of Report: Discretionary Housing Payments Policy**

**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 Susan Brown**

**Policy Framework: N/A**

**Recommendation(s):**

1. To approve the revised Discretionary Housing Payment policy at Appendix 1
2. To delegate authority to the Head of Customer Services to vary the amount and duration of Discretionary Housing Payment awards in line with changing demand.

Appendices to report –

Appendix 1 – Amended Discretionary Housing Payments Policy

Appendix 2 – Risk Register

Appendix 3 – Equalities Impact Assessment

**Name and contact details of author:-**

Paul Wilding  
Revenues & Benefits Programme Manager  
Benefits, Customer Services  
Tel: 01865 252461 e-mail: pwilding@oxford.gov.uk

**List of background papers:**

**Version number: 1**

**INTRODUCTION**

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 for people already in receipt of housing 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 covered by the national Housing Benefit scheme.

2. In the interests of administering the fund fairly and consistently, it is recommended that the Council has 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 amended policy is set out in Appendix 1 to this document.
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.
4. 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 120. This has largely been achieved by placing people in private sector accommodation through the Home Choice scheme. Currently 887 families have such tenancies, sustained with a Home Choice deposit or bond, and half of this number are supported with a DHP. Payment of DHP helps sustain these tenancies where shortfalls in Housing Benefit might otherwise lead to evictions.
5. The Council's Discretionary Housing Payment (DHP) policy should be regularly updated to ensure that support is being provided in accordance with the Council's objectives. However there is a specific need to review the policy in 2013 as a result of the impact of the Government's reductions in Welfare Benefits which are likely to result in a significant increase in applications for DHP's. The government has also provided more money to Local Authorities for Discretionary Housing Payments. Funding has increased from £60 million in 2012/13 to £165 million in 2013/14.
6. Although this represents significant additional funding, it only equates to approximately 6% of the estimated national reduction in Housing Benefit awards. Oxford City Council's grant for 2013/14 is £525,369, an increase of £295,523 from 2012/13. However the cumulative impact of changes to Housing benefit from 2011-2013 is estimated at an annual reduction of £3.5 million in payments to Oxford residents.
7. Benefit claimants may be seeing reductions in their Housing Benefit due to a reduction in the Local Housing Allowance (LHA) rates, the Benefit Cap or the Under Occupancy rules in the social sector (known as the "bedroom tax"). There is an additional impact for private sector tenants in that rents are increasing at a greater rate than the LHA rates, where increases have been limited to a maximum of 1% for the next two years.
8. It is important that the Council's DHP policy is able to focus support where it is needed most whilst also encouraging people to take responsibility for their personal circumstances. A proportion of the DHP funding is provided specifically to support people who are disabled, and the policy reflects this. The Government's Welfare Reform program is aimed at incentivising work and helping to move people off benefits where possible. This is also reflected in the policy.

## **SCHEME COST**

9. Oxford City Council pays out around £67 million per annum in Housing Benefit to around 12,500 households. The majority of this is claimed back in subsidy from central government. Many of these households receive sufficient Housing Benefit to cover their rent in full. Those who do not, fall into the following categories:
  - 1) Those that are working or have other income above the basic minimum levels. Their benefit is reduced in proportion to their income and capital.

- 2) Private sector tenants in properties considered too large by the national scheme for the household or more expensive than the average for Oxford.
- 3) Social sector tenants in properties considered too large by the national scheme.
- 4) People impacted by the Benefit Cap (from Summer 2013). Families will be restricted to a total of £500 per week in benefits. This will be £350 for individuals. The following benefits are included in the Cap:
  - i. Bereavement Allowance
  - ii. Carer's Allowance
  - iii. Child Benefit
  - iv. Child Tax Credit
  - v. Employment and Support Allowance
  - vi. Guardian's Allowance
  - vii. Housing benefit
  - viii. Incapacity benefit
  - ix. Income Support
  - x. Jobseeker's Allowance
  - xi. Maternity Allowance
  - xii. Severe Disablement Allowance
  - xiii. Widowed Parent's Allowance (or Widowed Mother's Allowance or Widows Pension you started getting before 9 April 2001)

10. Oxford's grant for 2013/14 is £525,369 increased from £229,846 last year. Regulations put a ceiling on DHP expenditure of 2.5 times the central government grant. Therefore for 2013/14 the ceiling is £1,313,423. Any expenditure over and above the grant, up to the ceiling is a direct cost to the Council.
11. The Housing Service is committed to providing an additional £100,000 from Homelessness Prevention funding to supplement the DHP grant. This means there is a total fund of £625,369 spend in this way.
12. Discretionary Housing Payment expenditure in 2012/13 was £199,206 against a budget of £229,846. Although this represented an increase in spending of over one third from 2011/12 it was the first time that Oxford under spent its DHP grant.
13. Expenditure on DHP's increased greatly throughout the year from £36,175 in Quarter 1 to £84,102 in Quarter 4. The majority of these requests came from private tenants affected by the reduction in Local Housing Allowance Rates. This year will see applications for people affected by the new Under Occupancy rules in the social sector and the Benefit Cap. These two measures are estimated to reduce Housing Benefit by £1.7 million. This potential additional demand is well in excess of our budgeted provision. As such it is necessary to amend our policy for awarding Discretionary Housing Payments to maximise its effectiveness and utilise the awards to facilitate more sustainable solutions for residents.
14. Forecasting demand for Discretionary Housing Payment is very difficult. Expenditure in 2012/13 was significantly less than expected. A reason for this is thought to be the delay from when a change occurs in the benefit system, to when people ask for help. For this reason the Board are requested to delegate authority to the Head of Customer Services to vary the amount and duration of awards in line with demand for DHP's.

## **POLICY CHANGES**

15. The aims of the DHP Policy have been narrowed down, with emphasis being placed on the prevention of homelessness, and the use of DHP as temporary support whilst a more sustainable solution is found.
16. The revised policy includes provision for conditionality to be applied to the majority of awards, and for the awards to be withdrawn if that conditionality is not met. It is intended

that any conditionality is designed to promote the reduction of discretionary expenditure, help support people into work, or assist with reducing rental liability. Examples provided in the policy include attending work related coaching and seeking assistance to manage debts.

17. Ongoing awards of Discretionary Housing Payments are not sustainable in the long run. The introduction of Universal Credit will see a reduction in the DHP grants provided to Local Authorities. As such a new measure is introduced in the revised policy to make any repeat awards of DHP smaller than previous awards for people of working age where at least one adult in the household is capable of taking up work.
18. The changes to Housing Benefit outlined above will see greater demand than ever for assistance in the form of Discretionary Housing Payments. As such it is important to ensure there is consistency in determining applications. To ensure this, a 10% check of all applications will be made, whether successful or unsuccessful.

## **RISK**

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

## **ENVIRONMENTAL IMPACT**

20. No impact

## **EQUALITIES IMPACT**

21. An initial impact assessment has been carried out and is at Appendix 3. 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.

## **FINANCIAL IMPLICATIONS**

22. By making effective use of the Discretionary Housing Payment budget, and targeting awards effectively, the Council will save the costs of placing people in temporary accommodation or dealing with people who are homeless. Typically the cost of placing someone in temporary accommodation can be 18 times that of sustaining a tenancy using DHPs. However, there is a risk that the £625k of financial resources available to the council will be insufficient to cover the potential increase in applications for DHP which may arise from the welfare reforms currently being implemented. Whilst there is an earmarked reserve in the region of £520k clearly any use of this reserve is one-off in nature and is unsustainable in the longer term. Going forward officers will be carefully monitoring the situation.

## **LEGAL IMPLICATIONS**

23. 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.
24. As policy in this area is discretionary, the Council must ensure it does not fetter its discretion.

## Appendix 1

### Revised Discretionary Housing Payment Policy

# Oxford City Council's Discretionary Housing Payment Policy

www.oxford.gov.uk



## 1. Aims

- 1.1. The overarching objective of this policy is to distribute funding granted under the Discretionary Housing Payment scheme (DHP) in order to prevent homelessness. This will be achieved by providing short term relief to applicants in order to give them time to find more sustainable solutions to their financial arrangements.
- 1.2. Demand for support through awards of DHP is likely to increase from 2013/14 as a result of the introduction of under occupancy criteria in the social sector, and the Benefit Cap. This is in addition to the current demand from private sector tenants who have seen a reduction in the Local Housing Allowance rates. These three measures are estimated to reduce the amount of Housing Benefit paid in Oxford by £3 million annually.
- 1.3. **The Council's DHP policy intends to provide people with short term support whilst they seek ways of increasing their income or reducing their rental liability, or other outgoings.**
- 1.4. In addition to the overarching objective of the policy outlined in 1.1, the policy also aims to
  - support vulnerable young people in the transition to adult life, including young people leaving care
  - keep families together;
  - support the vulnerable in the local community;

## 2. Determination of Applications

- 2.1. Applications for DHP awards must be made on the form shown at Appendix A. The Benefits Service will treat all applications for DHP on their individual merits.
- 2.2. DHP's can not be awarded in the following circumstances:
  - To top up an award made under the Council Tax Reduction Scheme<sup>1</sup>.
  - To contribute to the cost of ineligible service charges
  - To assist in paying for rent increases imposed as a result of incurring rent arrears
  - To assist in paying for rent costs which arise from the imposition of sanctions or reductions in Housing Benefit. These include any reduction made as a result of not complying with work related conditionality, or in arranging maintenance as directed by the Child Support Agency, or breaching a community service order.
- 2.3. It is not intended to award DHP in the following circumstances, unless to do so would strongly support the policy objectives outlined above:
  - Assistance with moving costs, rent in advance, and deposits (unless moving to more affordable accommodation)
  - Assistance with Council Tax Reduction
  - Shortfalls caused by a non-dependent deduction.

<sup>1</sup> Section 13A of the Local Government Finance Act 1992 provides for Local Authorities to make reductions in the amount of Council Tax owed by an individual.

- Where a DHP is requested for a backdated period
- Where Capital in excess of £6,000 is held for people of working age, or £10,000 for those of pensionable age
- 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 plan put in place to deal with the debt
- 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, and another household could be expected to make additional contributions to the rent
- Where fraud has been admitted or proven in relation to claims for Housing Benefit, Council Tax Benefit, Council Tax Reduction Scheme or Discretionary Housing Payments.

2.4 In deciding whether to award a DHP, the Benefits Service will consider:

- how the award will meet the policy objectives
- the shortfall between Housing Benefit and the rental liability (unless Universal Credit is in payment, in which case the award can be any amount up to the amount of eligible rent);
- any steps taken by the claimant to reduce their rental liability;
- any steps taken by the claimant to find work, or increase their hours of work
- 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 for debt advice or financial capability support.
- 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;
- any other special circumstances brought to the attention of the Benefits Service.

### **3 Amount and condition of awards**

3.1 The Benefits Service will decide how much to award based on all the circumstances. However the main determining factor will be a consideration of the applicant's ability to meet their shortfall based on their income and expenditure. The amount awarded can be any amount up to the difference between the applicant's Housing Benefit award, and their rental liability. An award of a DHP does not guarantee a further award at a later date even if the claimant's circumstances have not changed.

3.2 The DHP scheme should be seen as providing short-term financial assistance, rather than on-going financial support. 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 making a longer award would support the aims set out in 1.1 and 1.4 above. Longer awards are likely to be more appropriate where people with disabilities are affected by the

Under-occupancy rules, and unable to take any other course of action to mitigate their circumstances. 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 Housing Benefit starts; or
- another date, where this fulfils the objectives of this policy better than the dates above.

3.3 An award of DHP will have conditionality attached to it in the majority of circumstances. Any conditionality will be linked to either increasing the applicant's income or reducing their rental liability. Examples of types of conditionality could include:

- Attending work related coaching with our partner Skills UK
- Registering for housing and bidding for suitable properties in each cycle
- Seeking assistance to manage debts

The intention of any conditionality is to assist the customer in improving their circumstances rather than as a punitive measure. However an award of DHP can be cancelled if a customer has not undertaken the agreed activity.

3.4 When making a repeat application for an award, the customer must set out the steps they have taken to reduce their reliance on DHP awards. Such applications will require an interview with a Council officer before an award can be made. Repeat awards may be smaller than any previous award, where the customer is of working age and capable of taking up work. Any such reductions will be based on an individual's circumstances.

#### **4 Administration of Payments**

4.1 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 reviewed in light of the result of this claim.

4.2 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 an overpayment then steps will be taken to recover this money if it is reasonable in the circumstances to do so.

4.3 A DHP will normally be made payable to the person receiving the Housing Benefit payment. This will normally be the claimant or the 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.

4.4 The Benefits Service will pay an award of DHP by the most appropriate means available. This will normally be by BACS transfer. The payment frequency will normally be made in line with payments of Housing Benefit.

4.5 Decisions regarding DHPs will be notified to the claimant within 14 days of receiving the last piece of information required to determine the application, and will include:

- Reasons for the decision
- The start and end date of the award
- Conditions attached to the award
- The claimants right of review

- Advice that future awards may not be made

4.6 A more senior officer will review any DHP decision that is disputed by the claimant. If the decision is still upheld, any further dispute must be dealt with by judicial review.

4.7 Where a customer has a complaint in the way we have applied our policy, they may ask the Local Government Ombudsman to look at their case, after exhausting the Council's own complaints procedure.

## **5 Fraud**

5.1 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.

## **6 Monitoring**

6.1 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. A 10% check will be made of all DHP applications, whether successful or not, to ensure that decision making is consistent.

6.2 The Team Leader/Manager will also report on the reason for making a DHP award from the following list:

Benefit Cap

LHA Reductions

Housing Benefit reductions due to under-occupation

Combination of reforms

Other

This will be reported back to DWP twice a year for monitoring.

## **7 Communication of Policy**

7.1 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.

## **8 Review**

8.1 This policy is effective from 12 June 2013. It will be reviewed no later than 1 July 2015.



**Appendix 1:**  
**DHP Application form**

The application form shown on the following pages is provided as a 3 page gatefold form. The part that customers need to fill in has a perforated edge so it can be detached. The customer is able to retain the DHP guidance and other helpful information contained in the other pages.



# Discretionary Housing Payments

**Additional help towards rent for those  
receiving Housing Benefit**

**Postal Address**

Oxford City Council Benefits Service  
PO Box 10  
St Aldate's Chambers  
St Aldate's  
Oxford  
OX1 1EN

**Or Visit Us At**

Oxford City Council Customer Services Centre  
2 – 3 Bank Court  
Templars Square Shopping Centre  
Oxford  
OX4 3UZ

Oxford City Council Customer Services Centre  
St Aldate's Chambers  
109 – 113 St Aldate's  
Oxford  
OX1 1DB

**Telephone:** 01865 249811

**Fax:** 01865 252438

**Email:** [benefits@oxford.gov.uk](mailto:benefits@oxford.gov.uk)



## What is a Discretionary Housing Payment?

If you get Housing Benefit which does not cover the full amount of your rent, you may be able to get extra help by applying for a Discretionary Housing Payment (DHP).

If you apply for a DHP, we will look at all your circumstances to decide whether or not to make a payment. We will also decide how much, how long and how often we will make a DHP for. If we agree to make a DHP, payment will usually be made along with your usual Housing Benefit payments.

A DHP is not part of your normal Housing Benefit award, and you have no general right to get a DHP. The amount of money we have to pay DHPs is limited, and it is up to us to decide whether you should get a payment. Any payment may have certain conditions attached to it. These will be clearly explained to you.

A DHP is not meant to be a permanent option for paying your full rent. If you are awarded a DHP, our aim is to give you short to medium term financial support, which will give you (and any agencies supporting you) enough time to:

- look at the money you have coming in and going out so you can make up any rent or shortfall yourself; or
- find cheaper housing that you will be able to afford on a long term basis without the need to claim a DHP.

The kinds of things we will look at when deciding your claim include:

- whether there is a genuine risk of eviction from your home;
- your income and outgoings;
- whether you have any savings;
- any health problems you may have;
- whether you can get financial help from anywhere else (e.g. family or friends);
- whether you can move to cheaper housing.

This is not intended to be a full list – we look at all DHP claims individually, so if there is anything else you think is relevant, tell us about it.

We cannot give a DHP for all shortfalls in your rent. We cannot pay for:

- ineligible service charges included in your rent (e.g. personal heating or lighting charges, or meals);
- rent increases that have been made to recover any previous rent arrears with your landlord;
- rent, if you do not get Housing Benefit;
- a reduction in benefits because of sanctions;
- Housing Benefit that has been suspended; or
- shortfalls in benefit because overpayments are being recovered.

## How to claim

Please complete the enclosed claim form and income and expenditure form giving as much information as possible and return it to the Council as soon as possible.

Please provide any evidence to support your claim along with your completed claim form.

If we need any further evidence we will contact you. You should reply within one month. We will make a decision within one month of receiving your claim, or within one month of receiving any further information we have requested.

We will write to you and tell you:

- If your claim has been successful or not
- How much discretionary housing payment will be made
- How often you will receive it
- How long the payment will be made for

If you are unhappy with our decision you should write or e-mail, within one month of receiving our letter, asking for the decision to be looked at again. You should explain why you disagree with the decision and you can provide any further details or evidence that you wish us to look at.

You should send your letter to:

Oxford City Council Benefits Service  
PO Box 10  
St Aldate's Chambers  
St Aldate's  
Oxford  
OX1 1EN  
E-mail: [benefits@oxford.gov.uk](mailto:benefits@oxford.gov.uk)

**If you require this information in large print, or in any other format, please contact us on 01865 249811.**

# Claim for Discretionary Housing Payment

www.oxford.gov.uk



Full Name:.....

Address: .....

.....

.....

..... Post Code: .....

Telephone number: .....  
(if available during daytime)

Claim reference number: **80-** .....

Tick box if your tenancy was organised by the Home Choice Scheme

**Please state full reasons you are applying for a discretionary housing payment. You should give as much detail as possible and provide whatever evidence you think will support your claim. Please refer to section on “What is a Discretionary Housing Payment” for guidance. If necessary please continue on a separate sheet of paper.**

**How long do you want DHP to last?**

**How much are you requesting per week?**

**Anything else you think we should take into account?**

## Housing Benefit Income and Expenditure

The income / expenditure details on this form are required to assist the council in making a decision about Discretionary Housing Payments. You may be asked to provide proof of the amounts declared.

**Expenditure** (please state period as: W = weekly or M = monthly)

Expense	Period	Amount	Expense	Period	Amount
Rent (after HB)			Food		
Mortgage			Baby Food / Mix		
Council Tax (after CTRS)			Toiletries		
Ground Rent			Nappies		
Service Charges			Health Care e.g. prescriptions		
Repairs			Laundry / Dry Cleaning		
Water rates			Cleaning materials		
Insurance – endowment mortgage protection, building, contents, life			Newspapers / magazines		
Travel expenses			Cigarettes		
Meals at work			Alcohol		
Fuel			Clothing		
Gas			School meals		
Electricity			School trips		
Loans/ credit card repayments			Childcare		
Private Pension payments			TV licence		
Court Fines			Internet/ Cable/ Sky		
Maintenance payments			Furniture		
Hire Purchase (Car or other)			Telephone/ Mobile		
Entertainment			Holidays		
Housekeeping			Arrears (rent, council tax, mortgage, gas, electric)		
			Other		
			Other		

**Income** (please state period as: W = weekly or M = monthly)

Income Type	Period	Amount	Income Type	Period	Amount
Wages			Tax Credits		
Wages (partner)			Child Benefit		
Jobseeker's Allowance			Maintenance		
Income Support			Disability Living Allowance		
Employment Support Allowance			Occupational Pension		
State Retirement Pension			Carer's Allowance		
Sick pay/maternity pay			Student income		
Rent from lodger			Savings/ Investments total		
Money from non-dependant			Other		
Pension Credit			Other		

## Declaration

**I understand the following:**

- If I give information that is incorrect or incomplete, you may take action against me. This may include court action.
- You will use the information that I have provided to process my claim for Discretionary Housing Payments

**I know** I must let the council know about any change in my circumstances which might affect my claim.

**I declare** the information that I have given on this form is correct and complete.

Signed: ..... 60 Dated: .....

## Other benefits and support services

**Food** – If you are pregnant or have a child under 4 years old, you may be able to get Healthy Start vouchers. These can be used to buy fruit, vegetables, milk and formula. Speak to your health visitor/midwife, or visit [www.healthystart.nhs.co.uk](http://www.healthystart.nhs.co.uk)

**Baby** – If you are pregnant, have recently given birth or become responsible for a child under one, you can find advice about the Sure Start Maternity Grant at [www.direct.gov.uk](http://www.direct.gov.uk)

**Health care charges** – You may be eligible for free prescriptions or other help with health costs. Phone the Health Cost advice line on 0845 850 1166, or pick up a form HC11 from your local chemist or health centre.

**Smoking** – If you would like advice on how to quit there is a free support service available. Phone Oxfordshire Smoking Advice Service on 0845 408 0300, speak to your local health centre or visit [www.smokefreeoxfordshire.nhs.uk](http://www.smokefreeoxfordshire.nhs.uk)

**Alcohol** – If you have concerns over alcohol or would like more information, including services which can help, visit [www.nhs.uk/livewell/alcohol/Pages/Alcoholhome.aspx](http://www.nhs.uk/livewell/alcohol/Pages/Alcoholhome.aspx)

**School meals** – Your children may be eligible for free school meals. Call 01865 797199 or visit [www.oxfordshire.gov.uk/cms/content/school-meals](http://www.oxfordshire.gov.uk/cms/content/school-meals)

**Childcare** – You can get advice about finding and paying for childcare, including help with costs, from the Oxfordshire Family Information Service. Call 08452 262636 or 01865 328580, or visit [www.oxfordshire.gov.uk/cms/content/oxfordshire-family-information-service-oxonfis](http://www.oxfordshire.gov.uk/cms/content/oxfordshire-family-information-service-oxonfis)

**Debt and welfare benefits** – If you are in debt or need advice about claiming benefits, the Citizens Advice Bureau can help. Call 08444 111 444 (10am-4pm Monday-Friday), drop in at 95 St Aldate's, or visit [www.caox.org.uk](http://www.caox.org.uk) for details of opening hours.

**Sport/leisure** – Oxford Leisure offers a range of membership options for swimming, leisure and fitness centres in the city.

Visit [www.fusion-lifestyle.com/contracts/Oxford\\_City\\_Council/Memberships](http://www.fusion-lifestyle.com/contracts/Oxford_City_Council/Memberships)

**Energy Saving** – If you are struggling to pay your bills, you can get free and impartial advice on ways to save energy, including grants and offers to improve heating and energy efficiency,

from the Energy Saving Trust. Phone **0800 512 012** or visit [www.energysavingtrust.org.uk](http://www.energysavingtrust.org.uk)

**Housing Advice** – If you believe you may be at risk of losing your home, contact our Housing Needs team on **01865 252858** or email [housingneeds@oxford.gov.uk](mailto:housingneeds@oxford.gov.uk)

**Education, employment or training** – If you would like to look at your options for getting into or back into work or training, contact our Housing Needs team on **01865 252145**, email [workandtraining@oxford.gov.uk](mailto:workandtraining@oxford.gov.uk), or visit [www.oxford.gov.uk/workandtraining](http://www.oxford.gov.uk/workandtraining)



Nos.	Raised by	Date Raised	Probability	Impact	Gross Risk Score	Proximity	Description	Mitigation	Owner	Target Date	Revised Probability	Revised Impact	Residual Risk Score
DHP001	PW	30/4/13	3	4	12	Short term	Council fails to spend government allocation of DHP	Promote DHPs to customers, partner organisations and relevant stakeholders.	PW	31/3/14	2	4	8
DHP002	PW	30/4/13	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 length and amount of awards during year to target those most in need	PW	31/3/14	3	3	9
DHP003	PW	30/4/13	4	3	12	Short term	Council challenged on application of policy by unsuccessful applicants.	10% check of applications carried out to ensure decision making is consistent	PW	31/3/14	2	3	6
DHP004	PW	30/4/13	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	31/3/14	1	4	4

## Appendix 3

### Initial Equalities Impact Assessment

1. Within the aims and objectives of the policy or strategy which group (s) of people has been identified as being potentially disadvantaged by your proposals? What are the equality impacts?

The Discretionary Housing Payment policy is intended to support those who are disadvantaged by changes to Housing Benefit rules, specifically the under occupation rules in the social sector, the Benefit Cap and the changes to Local Housing Allowance rates. The under occupation rules disproportionately impact older customers (from 45 to pension age) and people with a disability. The Benefit Cap affects mainly households where there are lots of children (and in most cases a single parent). The Local Housing Allowance changes impact mainly on households with children. As such, if the DHP policy is not applied correctly, these groups could be disadvantaged.

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 by Housing Benefit alone. In addition to the financial support that we can provide, our Welfare Reform team will assist customers in negotiating new rents with landlords, and in trying to find alternative accommodation if the rent is unaffordable. For people affected by the new under occupancy rules in the social sector we will explore whether taking a lodger is an appropriate solution. Where this can not be found, we will continue to support them in their existing accommodation as far as the DHP budget allows.

We will also be signposting customers who are in debt to appropriate advice agencies who can assist them in tackling this issue. We will also be working with people affected by the Housing Benefit changes to try and support them into work so they no longer rely on Housing benefit.

Please note that the Home Choice team already carry out similar work for families who are in danger of becoming homeless.

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. 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 an unproductive exercise at this point, as it would not generate any information that the Council hasn't already anticipated or did not know.

However copies of an initial draft of the revised policy were circulated to a wide range of advice and support groups which operate in the city for their comment.

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 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 September 2014.

A 10% check of applications will be carried out to ensure consistency of decision making. This will be done for both successful and unsuccessful applications. Monitoring will be carried out on a monthly basis, and this will also include the reason for the application being made.

To: City Executive Board

Date: 12th June 2013

Item No:

Report of: Head of Finance  
Head of Business Improvement and Technology

Title of Report: Integrated Report 4th Quarter 2012/2013

## Summary and Recommendations

**Purpose of report:** To update Members on Finance, Risk and Performance as at the end of Quarter 4, 31<sup>st</sup> March 2013.

**Key decision:** No

**Executive lead member:** Councillor Ed Turner

**Policy Framework:** Improving value for money and service performance

**Recommendation(s):**

The City Executive Board are requested to

a) Note the financial outturn and performance of the Council for the year 2012/13 and also the risks outstanding as at 31<sup>st</sup> March 2013.

b) Agree the transfer to earmarked reserves of unspent budgets detailed in paragraphs 7 to be used in 2013/14 and beyond.

c) To agree the transfer to earmarked reserves from the HRA as detailed in paragraph 10 and recommend to Council the approval of appropriate budgets in 2013/14 and beyond for these items.

## Executive Summary

Below is a brief list of the performance for 2012/13;

- **General Fund** – the outturn position equated to 100% of the Latest Budget and was achieved after transferring both service area and contingency savings to earmarked reserves that have been created to accommodate future Capital Programme priorities.
- **Efficiencies, Additional Income, Service Reduction targets** - 99% of these were met following additional mitigating circumstances.
- **Housing Revenue Account** – an additional surplus of £2.4million was created during the year. This has similarly assisted in transferring resources to specific HRA earmarked reserves to accommodate future Capital Programme priorities

- **Capital Programme** – the outturn position equated to 96% of the Latest Budget.
- **Performance** – Corporate target performance indicated at year end that 79% were either delivered as planned or were exceeded. Individual service area performance is detailed on Appendices C-F.

## **Background**

1. Historically Finance, Performance and Risk have been reported separately to the City Executive Board with little documented consideration of the interrelationship of these three key elements of management information.
2. An integrated reporting approach is one which enables a more holistic picture to be presented and understood. It is a concept many local authorities have and are grappling with.
3. Attached at Appendix B-F are the Council's Corporate and Directorate Integrated Performance reports. They have been produced using CorVu, the Council's performance management system and utilises a Red, Amber and Green reporting methodology.

## **Financial Implications**

4. Detailed financial analysis is shown in Appendix G with a further 3 supplement appendices detailing the GF, Capital and HRA outturn positions.
5. A summary is provided below of the main areas variances associated with the General Fund, Housing Revenue Account and total Capital Programme.

## **General Fund Revenue**

6. After allowing for budgeted transfers from the General Fund working balance of £1.622million and other net transfers to reserves the Council net expenditure was £20.778million for the year some £3.335million below its budgeted net expenditure of £24.113million. The variations primarily relate to the anticipated £1.241million Directorate underspends coupled with the non-use of several budgeted contingencies, namely Employee Inflation contingency of £0.624million the Pensions Provision Top Up contingency of £0.200million and £0.841million from the unachieved savings contingency, together with a £0.700million (0.9% of gross spend) favourable variance associated with the Local cost of Benefits. The cumulative impact of these created a surplus at year end of £3.335million the majority of which was transferred to an earmarked reserve to fund temporary car parking and other related activities in connection with the redevelopment of Westgate in the City Centre.
7. Some of the more significant transfer to earmarked reserves includes :

## **General Fund**

- Transfer to severance reserve to fund future redundancy payments - £0.508million
- Transfer of grants received pending usage - £1.139million
- Transfer to homelessness reserve - £0.650million
- Transfer to cover estimated the 2013/14 partnership payment £0.485million
- Transfer to cover future flood works - £0.150million
- Transfer for unspent budget carried forward to 2013/14 - £0.765million. These are summarised below with details shown in Appendix 4 of Appendix G.

### CARRY FORWARDS SUMMARY

<u>Service</u>	Approved £000's	Not Approved £000's	Total £000's
Policy and Communications	0	30	30
City Development	150	7	157
Housing	0	140	140
Leisure	0	5	5
Direct Services	150	100	250
Community Development	237	8	245
Customer Services	124	134	258
HR and Facilities	83	0	83
Law and Governance	21	0	21
<b>TOTAL</b>	<b>765</b>	<b>424</b>	<b>1,189</b>

8. During the year the Council incurred flooding emergency response costs, totalling £0.161million. Whilst we recognise that only the “additional” costs incurred are ordinarily claimed back from the Government under the Bellwin scheme, this is only approved for new areas of flooding, not repeat areas. As such the “additional” expenditure incurred was both unbudgeted and ineligible for grant claim.

### Housing Revenue Account

9. The latest budget for the Housing Revenue Account projected a deficit position of £1.321million. The actual outturn produced a net surplus of £1.080million, approximately £2.4million more than budgeted due to less funding needed for the HRA capital programme and increased income from both dwelling and non-dwelling rents. In addition a provision of £1.2million in respect of a rent review on Southfield Park was no longer required following a successful negotiated settlement. £7million was transferred to the Major Repairs Reserve to either fund the increased HRA capital programme from 2013/14 onwards or have the option to repay debt. More detailed explanations of the variances incurred are detailed in Appendix G.

10. In addition to the transfer to the Major Repairs Reserve other transfers of £0.815million to be spent on schemes in 2013/14 and beyond included :

- Stock condition survey - £0.250million
- HRA Staff Partnership Payments for next 3 years £0.100million
- Tenancy Fraud Officer salary 1 year £0.033million
- Alley Gating works £0.100million
- Future HRA Structure Reviews £0.150million
- HRA Carry Forward Requests £0.182million

11. The HRA working balance remains at c. £3.7million moving into 2013/14, which is considered a prudent level to cover unforeseen variations on HRA income and expenditure. It is also in accordance with the levels agreed by CEB as part of the 2013/14 Budget Report whereby a minimum working balance of £3.5million was recommended so as to cover unexpected eventualities including increased RTB's, increased rent arrears, falling investment rates and unforeseen costs.

### **Capital**

12. Capital expenditure outturn was £16.323million split £8.733million and £7.590million between General Fund and HRA respectively. This compared to an original approved budget of £27.86million the main variation relating to the delayed construction of the new completion pool at Blackbird Leys of around £8million.

### **Legal Implications**

13. There are no legal implications directly relevant to this report.

**Name and contact details of author:-**

Name: Nigel Kennedy, Jane Lubbock

Job title: Head of Finance, Head of Business Improvement and Technology

Service Area / Department: Finance, Business Improvement and Technology

Tel: 01865 252708 e-mail: [nkennedy@oxford.gov.uk](mailto:nkennedy@oxford.gov.uk), [jlubbock@oxford.gov.uk](mailto:jlubbock@oxford.gov.uk)

**List of background papers:**

**Version number:**



**Principles of the integrated report**

The key principles applied in producing the report are:

- Exception reporting utilising clear graphical summaries, followed by narrative which focuses only on those issues that requires attention.
- Narrative which pulls together and makes the links between risk, finance and performance to form a holistic view and incorporating trend data.
- CorVu will be used to create the base data for the report from existing information (i.e. no additional work created for Services).
- Some entries for performance monitoring and risk monitoring are shown as “no data”. What this means when referring to performance measures is the indicator is not required to be calculated for the period reported. For risk it is because the previous quarterly measurement was not undertaken so no assessment of the risk being increased or reduced is possible.
- The distinction between a summary Corporate-level view and Directorate-level picture of performance is retained and the latter enhanced by the inclusion of, service plan target performance
- The detail of the existing finance report will be appended to the integrated as it is needed to enable decisions to be taken at executive level (authorisations, virements etc.)
- The following tolerances apply to the financial dials:
  - **Green** – Forecast outturn is within 100% of the latest approved budget
  - **Amber** – Forecast outturn is within 100% - 105% of the latest approved budget
  - **Red** - Forecast outturn is over 105% of the latest approved budget. Performance in this area is a potential concern and will be commented on within the report.

**What Do the Dials Show?**

Several items are displayed below each dial.

Budget	This is the monetary value of the Latest Budget for the above dial
Forecast	This is the projected outturn position i.e. what we think the year-end spend will be
Variance	Difference between the Latest Budget and the Projected Outturn (Forecast)
Prev Qtr	The projected outturn estimated at the time of the previous quarter
Movement	Change in projected outturn for the previous quarter with the projected outturn for the current quarter. Please note

	that the projected outturn for the previous quarter can be retrospectively revised if additions/transfers to latest budget levels have taken place during the interim.
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### **Performance Summary**

This section is broken down into 3 sub-sections;

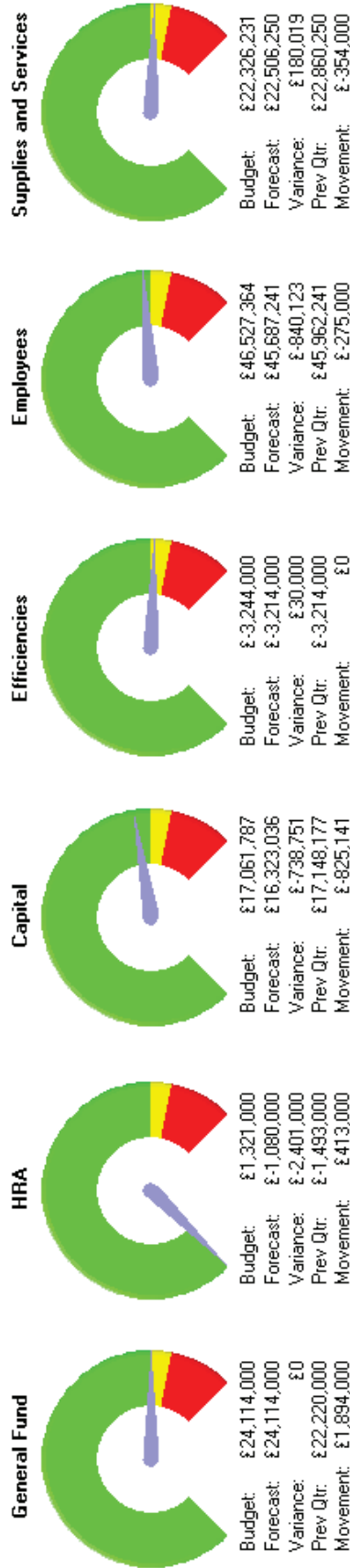
- Current Quarter's information on performance targets broken down between the RAG categories.
- A summary of the previous quarter's position.
- Direction of Travel table displaying the movement between categories from one quarter to the next.

### **Risk Management**

This section is similarly broken down into the same 3 sub-sections;

- Current Quarter's information on performance targets broken down between the RAG categories.
- A summary of the previous quarter's position.
- A Direction of Travel table displaying the movement between categories from one quarter to the next.

# Appendix B Integrated Report- Corporate Q4 2012/13 Financial Performance



## Performance Summary

Priority	No Data	Red	Amber	Green
Vibrant and Sustainable Economy	0 (0%)	1 (33%)	0 (0%)	2 (67%)
Meeting Housing Need	0 (0%)	0 (0%)	0 (0%)	4 (100%)
Strong and Active Communities	0 (0%)	1 (33%)	0 (0%)	2 (67%)
Cleaner Greener Oxford	0 (0%)	2 (40%)	0 (0%)	3 (60%)
An Efficient and Effective Council	0 (0%)	1 (25%)	0 (0%)	3 (75%)
<b>Total</b>	<b>0 (0%)</b>	<b>5 (26%)</b>	<b>0 (0%)</b>	<b>14 (74%)</b>

Previous Quarter	No Data	Red	Amber	Green
	0 (0%)	0 (0%)	7 (37%)	12 (63%)

## Direction of Travel

Priority	No Data	Declining	No Change	Improving
Vibrant and Sustainable Economy	0 (0%)	0 (0%)	1 (33%)	2 (67%)
Meeting Housing Need	0 (0%)	0 (0%)	1 (25%)	3 (75%)
Strong and Active Communities	0 (0%)	1 (33%)	1 (33%)	1 (33%)
Cleaner Greener Oxford	0 (0%)	1 (20%)	0 (0%)	4 (80%)
An Efficient and Effective Council	0 (0%)	0 (0%)	1 (25%)	3 (75%)
<b>Total</b>	<b>0 (0%)</b>	<b>2 (11%)</b>	<b>4 (21%)</b>	<b>13 (68%)</b>

## Risk Management

Ref.	Category	Description	Previous			Current			Trend	Declined to red?
			P	I	P	I	P	I		
CRR-013	Impact on homelessness of changes in Housing Benefit	Changes in housing benefit and universal housing benefit increase homelessness	5	3	5	3	3	5	3	→
CRR-007	Health and Safety	Existence of operational risks (relating to internal as well as public concerns - property not vehicle)	3	4	3	4	3	4	3	→
CRR-004	Delivery of key projects = ability to deliver cross cutting projects	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.	3	3	3	3	3	3	3	→
CRR-006	Supplier Management	Ability of the council to manage large contracts and to obtain best value from those contracts	2	3	3	3	2	3	2	→
CRR-012	Failure to achieve budget reductions over four year period	Inability to achieve savings in budget	3	3	3	2	3	3	2	↑

## CORPORATE SUMMARY

### 1 OVERALL SUMMARY POSITION

The Council's financial position and projected outlook remains strong principally due to the strategic approach to delivering current efficiency targets and the methodology surrounding the provision of contingencies within the budget setting process as well as improved budget monitoring. This approach has created capacity and flexibility to respond to budget needs as and when they arise none more so than the necessity to provide £3.3m for Westgate Development. However, spending against planned priorities does need better forecasting and targeting as this has impacted on delivering all identified performance measures listed for the year. Furthermore, the progress of continually delivering on efficiency targets will be challenging as will delivering on the Council's capital programme, which has increased to over £40m in 2013/14. The corporate risks associated with principally the external threats relating to homelessness and welfare reform, ability to deliver efficiencies given the current and future Comprehensive Spending Review, together with changes around Business Rates Retention all highlight the need to ensure continued robust budgeting and monitoring remains, together with ensuring performance measures are continually improved for customers and residents during ever increasing financial constraints as well as the importance to deliver on projects as originally intended.

### 2 FINANCE OVERALL

**Overall financial performance was good against latest budget projections.**

For the General Fund Directorates the collective movement between the Q3 projected outturn position and the final year-end spend at Q4 was only £0.257m. Decisions regarding known underspends against in-year contingencies were made during the last quarter with the main requirement being the transfer of £3.3m to a specific Earmark Reserve for temporary car parking facilities during the re-development of the Westgate shopping centre.

For the HRA the movement between the Q3 projected outturn position and the final year-end spend at Q4 was £0.413m. There was an additional surplus £2.4m in the year caused by lower revenue funding of £0.940m needed for the HRA capital programme, resources associated with the balance left from the reversal of the Southfield Park provision that was no longer required and additional income from both dwelling and non-dwelling rents along with a re-imbursment of £0.231m of negative housing subsidy from DCLG following the external audit of the 2011/12 final claim.

For Capital the movement between the latest projected budget position and the final year-end outturn at Q4 was £0.739m. However, this was after substantial reductions of over £10.8m from the original programme had been made during the course of the year, mainly related to the deferred start date associated with the City's new swimming pool facility. There has been significant improvement in the monitoring and the delivering of the capital programme this year but it is recognised that more can still be done in this area.

For Efficiencies, Service Reductions and Additional Fees and Charges the Council had a target for the year of £3.244m. At the end of the financial year a total of £3.214m of these were delivered. Some efficiency targets were not delivered as originally planned. That said additional income

generated in the year ensured that after accounting for these mitigating issues the level of Efficiencies/Additional Fees and Charges/Service Reduction actually achieved for 2012/13 were 99% complete.

Summarising the monitoring of most budget areas of the Council's GF, HRA and Capital projects was good however; some service areas do continue to need more attention to ensure budget projections capture all eventualities.

### 3 PERFORMANCE

**Overall the Council's performance against its corporate targets is Good** with 14 (74%) targets delivered as planned or exceeded by year end, and 5 (26%) having missed their target. Missed targets in individual performance areas are set out in the exceptions section below.

This is a reduction on the end of year position for 2011/12 where 90% of targets were achieved or exceeded.

#### Corporate performance indicator exceptions

##### Delivery of the Council's efficiency savings

During 2012/13, £1,502,000 of efficiencies were delivered, and a further £137,000 in mitigating savings. This contributed to cumulative efficiency savings of £7,061,000, narrowly missing the target of £7,182,000 for the end of the year. Further details are provided in Appendix G of the report, including other areas of increased income or service reductions that have more than offset this small shortfall.

##### The number of training places and jobs created through Council investment projects and other activities

The final position for the year was 197 new jobs compared to a target of 246 which had been dependent on major construction projects progressing, such as the competition pool. A number of new jobs have been created this year through the letting of properties in the City: 70 jobs from National Motion at Ramsey House, 15 jobs at 33/35 George St, 10 jobs Formula One Car Repairs at Oxpens Rd, 18 jobs were created with the opening of the hotel on St Michael Street, 45 jobs at Bills Restaurant in Northgate Hall and one job created at the Westgate Kiosk.

##### Satisfaction with our neighbourhoods

Satisfaction with the local area as a place to live has fallen from 86% in 2011 to 83.8% for 2012 compared to a target of 87%. The total number of responses was 544, giving an accuracy rate of ±4%. Work is currently being done to better understand the reasons for these results, including holding focus groups with members of the Citizens' Panel who had expressed dissatisfaction. Next year's survey will be undertaken as part of a wider national exercise with the LGA and will allow us to compare changes in our satisfaction levels against national trends.

##### Reduction in the Council's water consumption

At the end of March 2013 the reduction in water consumption achieved was 3,141m<sup>3</sup> compared to a target of 4,711m<sup>3</sup>. However, we are awaiting confirmation of the status of the Hinksey Pool leak repair; if successful this will mean a reduction in around 10,000m<sup>3</sup> per annum saving.

##### Household waste recycled or composted

The year-end recycling rate was 48.08% compared to a target of 50%, and represents a 4.87% improvement on 2011/12 performance. The figure

includes an agreed 3.5% year end adjustment for “street sweep arisings” to give a like for like comparison on previous years following changes to the rules concerning the classification of this type of waste.

#### **4 RISK**

**Overall risk management has been slightly below what was originally planned.**

Too many corporate risks have remained in the amber/red categories during the year. Whilst there has been a general improvement, progress has probably not been as quick as originally planned. A ‘blank paper’ exercise is planned shortly to be undertaken by the Corporate Management Team to thoroughly review these risks and this revised position will be reflected in the first quarters monitoring position,

# Appendix C

## Integrated Report- Organisational Development and Corporate Services Q4 2012/13

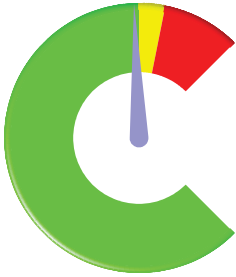
### Financial Performance

Transformation



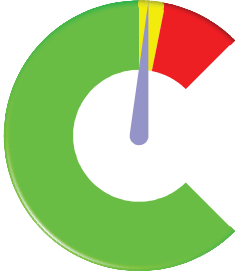
Budget: £621,000  
Forecast: £621,000  
Variance: £0  
Prev Qtr: £621,000  
Movement: £0

Business Improvement and Technology



Budget: £3,315,000  
Forecast: £3,283,000  
Variance: £-32,000  
Prev Qtr: £3,251,000  
Movement: £32,000

Customer Services



Budget: £2,688,000  
Forecast: £2,735,000  
Variance: £47,000  
Prev Qtr: £2,782,000  
Movement: £-47,000

Finance



Budget: £2,172,000  
Forecast: £2,065,000  
Variance: £-107,000  
Prev Qtr: £2,048,000  
Movement: £17,000

Human Resources and Facilities



Budget: £1,616,000  
Forecast: £1,893,000  
Variance: £277,000  
Prev Qtr: £2,080,000  
Movement: £-187,000

Law and Governance



Budget: £2,549,000  
Forecast: £2,825,000  
Variance: £276,000  
Prev Qtr: £3,001,000  
Movement: £-176,000

### Performance Summary

Service	No Data	Red	Amber	Green
Business Improvement and Technology	0 (0%)	0 (0%)	0 (0%)	6 (100%)
Customer Services	5 (42%)	6 (50%)	0 (0%)	1 (8%)
Finance	0 (0%)	7 (44%)	0 (0%)	9 (56%)
Human Resources and Facilities	0 (0%)	2 (40%)	0 (0%)	3 (60%)
Law and Governance	0 (0%)	0 (0%)	0 (0%)	2 (100%)
<b>Total</b>	<b>5 (12%)</b>	<b>15 (37%)</b>	<b>0 (0%)</b>	<b>21 (51%)</b>
Previous Quarter	No Data	Red	Amber	Green
	5 (12%)	7 (17%)	7 (17%)	22 (54%)

### Direction of Travel

Service	No Data	Declining	No Change	Improving
Business Improvement and Technology	0 (0%)	0 (0%)	4 (67%)	2 (33%)
Customer Services	0 (0%)	7 (58%)	0 (0%)	5 (42%)
Finance	0 (0%)	4 (25%)	6 (38%)	6 (38%)
Human Resources and Facilities	0 (0%)	2 (40%)	1 (20%)	2 (40%)
Law and Governance	0 (0%)	1 (50%)	1 (50%)	0 (0%)
<b>Grand Total</b>	<b>0 (0%)</b>	<b>14 (34%)</b>	<b>12 (29%)</b>	<b>15 (37%)</b>

### Risk Summary

Service	No Data	Red	Amber	Green
Business Improvement and Technology	0 (0%)	0 (0%)	3 (75%)	1 (25%)
Customer Services	0 (0%)	0 (0%)	0 (0%)	6 (100%)
Finance	0 (0%)	0 (0%)	3 (43%)	4 (57%)
Human Resources and Facilities	0 (0%)	0 (0%)	2 (40%)	3 (60%)
Law and Governance	0 (0%)	0 (0%)	1 (50%)	1 (50%)
<b>Total</b>	<b>0 (0%)</b>	<b>0 (0%)</b>	<b>9 (38%)</b>	<b>15 (63%)</b>
Previous Quarter	No Data	Red	Amber	Green
	1 (4%)	0 (0%)	9 (29%)	13 (37%)

### Direction of Travel

Service	No Data	Declining	No change	Improving
Business Improvement and Technology	3 (75%)	0 (0%)	0 (0%)	1 (25%)
Customer Services	0 (0%)	4 (44%)	5 (56%)	0 (0%)
Finance	0 (0%)	1 (14%)	2 (29%)	4 (57%)
Human Resources and Facilities	0 (0%)	1 (20%)	4 (80%)	0 (0%)
Law and Governance	0 (0%)	0 (0%)	2 (100%)	0 (0%)
<b>Total</b>	<b>3 (11%)</b>	<b>6 (22%)</b>	<b>13 (48%)</b>	<b>5 (19%)</b>

## ORGANISATIONAL DEVELOPMENT AND CORPORATE SERVICES DIRECTORATE

### **Directorate Overview**

Management of Customer Services, HR and Facilities and Law and Governance require significant improvement in certain areas if both financial performance and agreed performance targets are to be achieved in future years. These issues if not addressed will inevitably increase the scale and significance of risks within the Directorate's risk register. This is reinforced with overall Directorate performance declining slightly with 51% of measures now meeting or exceeding target at the end of Quarter 4 compared to 54% at the end of the previous quarter. The number of measures off target increased from 14 to 15 compared to the previous quarter.

### **1. Directorate Financial Performance**

#### **Business Improvement and Technology**

Overall the service area was underspent by £0.032m on the technology side of the business.

#### **Customer Services**

The volatility of projected outturn positions associated with this service area during the course of the financial year is of concern. At year-end whilst only a slight overspend of £0.047m was realised, there were nonetheless large overspend projections forecast during the first half of the financial year and the ability to deliver efficiency savings within this service area remain challenging.

#### **Finance**

At year-end savings in salaries and spend on external and internal audit were main contributors to the year-end favourable variance of £0.107m against the latest budget.

#### **Human Resources and Facilities**

Concerns regarding achieving Town Hall income targets have been a regular comment in the monitoring for this service area during 2012/13. Furthermore, the deliverability of key corporate initiatives e.g. apprenticeships and corporate training have nonetheless slipped during the year that does impact on achieving set performance targets. Overall there was a net overspend of £0.277m for the year.

#### **Law and Governance**

£0.276m overspend, £0.161m of which represents the "total" flooding emergency response costs which have been isolated under the emergency planning cost centre. Whilst we recognise that only the "additional" costs incurred are ordinarily claimed back from the Government under the Bellwin scheme, this is only approved for new areas of flooding, not repeat areas. As such the "additional" expenditure incurred was both unbudgeted and ineligible for grant claim. The remainder of the overspend consisted of additional canvassing costs for electoral registration ( £0.015m), a shortfall in Legal Hub income ( £0.020m), unbudgeted employee costs (£0.090m) and a historic budgetary shortfall for Members allowances (£0.025m) offset by under spends across other cost centres within the Service. This does now necessitate more intense scrutiny of financial performance in 2013/14 if



similar overspends are going to be avoided.

## 2. Directorate Performance - Exceptions

### **Customer Services**

Percentage of Business Rates Collected: End of year performance was 97.81% compared to a target of 98%. This was a disappointing final result and with the Business Rates retention changes taking effect from April 2013 additional resources will be moved into this area to improve performance.

Percentage of Council Tax collected: The target of 97.10% was narrowly missed (97.01%, equating to just £57,000 short of the sum expected) and still represents the best collection performance achieved by the Council. The target should be reached by the end of April 2013.

End of year performance for the time to process changes in circumstances was 12 days compared to a target of 10 days. For the processing of new benefit claims, performance was 26.65 days compared to a target of 14 days. The Benefits Fundamental Service Review recommended a number of process improvements based on the implementation of a number of technological solutions. It has taken longer than anticipated to implement the new technology which means that performance has not improved to where we would have expected. The two main tools to drive this improvement are Risk Based Verification (RBV) and an electronic claim form (eClaim). RBV went live at the end of January and eClaim is in a live pilot stage. As such we would expect to meet the challenging performance measures we have set by Quarter 2 of 2013/14.

Customers getting through first time on Councils Main Service lines: Performance in the Contact Centre been steadily improving since October 2012 and as a result the year end performance has increased to 87.73%, although this falls short of the target of 95%. Monthly performance in March 2013 had risen to 97.52%.

Percentage of rent collected: End of year performance was 96.83% compared to a target of 97.60%. The increase in rent arrears is attributable to the Direct Payments pilot that wasn't taken into account when setting targets for 2012/13. Two significant increases in arrears occurred during the year; the first in July 2012 at Phase 1 of implementation (an increase of £443k), and the second at phase 6 throughout December 2012 (an increase of £229k). There has been significant improvement in performance since December 2012 with arrears reducing by £253k due to the concentrated efforts of the rents team.

### **Finance**

Percentage of invoices paid on time: End of year performance was 94.33% compared to a target of 97%. Performance during March 2013 was just 10 invoices short of achieving target, and all Service Areas achieved over 90% for the first time, but lower performance earlier in the year has prevented the target from being reached.

Housing Benefit Security - Number of prosecutions and sanctions per 1000 caseload: End of year performance was 4.88 compared to a target of 5.35. The number of successful sanction cases in year was set at 23 per investigator (69 in total). 61 sanctions have been achieved, but 10 potential sanction cases have been closed in Quarter 4 due to unreasonable time delay.

Number of cases per investigator at any given time: All but 2 officers have had a case load of below the target of 45, resulting in overall performance of 47.

Percentage of debtors on direct debits: End of year performance was 11% compared to a target of 15%. This has risen moderately through the year but

despite efforts to push this to new and existing customers, performance has not come close to the target.

Investment return above base rate: Performance improved in March 2013 due to several of our deposits with Local Authorities (that pay a lower yield) maturing. Our result for the year was 0.43% above base rate. This is under the target of 0.5% above base rate due to interest rates from all our counterparties steadily decreasing over the last 12 months.

Percentage of remittance advices emailed: Although end of year performance of 84%, narrowly missed the annual target of 85%, monthly performance for the last 4 months of the year has exceeded this target, which is a positive sign for the future.

Number of returned Council owned dwellings through civil and criminal proceedings: No dwellings were returned compared to a target of 2 for the year. The Prevention of Social Housing Fraud Act, which would make the subletting a social housing property a criminal offence, has not been enacted to allow this action by the Council.

### **Human Resources and Facilities**

Income from Town Hall and Museum operations: End of year performance was £532,165 compared to a target of £670,000. The service is in the early stages of embedding a sales process to improve on income generation in 2013/14

Percentage of black and ethnic minority employees: Performance was 5.7% compared to a target of 9%. This is an area where we need to improve significantly. Work is planned to understand what barriers to employment there may be from various communities in the City and then we will take steps to overcome those barriers. We will be focusing on raising the profile of the Council as an employer of choice in 2013/14.



### **Risk Performance- Exceptions**

#### **Business Improvement and Technology**

No exceptions to report in this area, as all risks show either no movement or an improvement.

#### **Customer Services**

Three risks relating to inability to deliver financial savings; corporate focus for customer first programme and reduced rental income collection for tenants have all been closed in this quarter as sufficient work has been carried out to mitigate and improve the position on these risks.

#### **Finance**

There is one declining risk relating to the recruitment and retention of key staff.

#### **Human Resources and Facilities**

There is one declining risk relating to the maintaining and developing an effectively resourced team with the right skills, due to the inability to recruit to key posts on first advert.

**Law and Governance**

No exceptions to report in this area, as all risks show no movement.

Integrated Report- City Regeneration Q4 2012/13

Financial Performance

City Development



Housing



Corporate Property



Performance Summary

Service	No Data	Red	Amber	Green
City Development	0 (0%)	2 (67%)	0 (0%)	1 (33%)
Corporate Property	3 (13%)	3 (13%)	0 (0%)	18 (75%)
Housing	0 (0%)	1 (17%)	0 (0%)	5 (83%)
<b>Total</b>	<b>3 (9%)</b>	<b>6 (18%)</b>	<b>0 (0%)</b>	<b>24 (73%)</b>

Direction of Travel

Service	No Data	Red	Amber	Green
Previous Quarter	1 (3%)	4 (12%)	5 (15%)	23 (70%)

Service	No Data	Declining	No Change	Improving
City Development	0 (0%)	0 (0%)	0 (0%)	3 (100%)
Corporate Property	0 (0%)	1 (5%)	11 (50%)	10 (45%)
Housing	0 (0%)	1 (17%)	1 (17%)	4 (67%)
<b>Grand Total</b>	<b>0 (0%)</b>	<b>2 (6%)</b>	<b>12 (39%)</b>	<b>17 (55%)</b>

Risk Summary

Service	No Data	Red	Amber	Green
City Development	0 (0%)	1 (13%)	3 (38%)	4 (50%)
Corporate Property	0 (0%)	2 (17%)	4 (33%)	6 (50%)
Housing	0 (0%)	1 (25%)	1 (25%)	2 (50%)
<b>Total</b>	<b>0 (0%)</b>	<b>4 (17%)</b>	<b>8 (33%)</b>	<b>12 (50%)</b>

Direction of Travel

Service	No Data	Red	Amber	Green
Previous Quarter	0 (0%)	6 (20%)	6 (20%)	12 (33%)

Service	No Data	Declining	No change	Improving
City Development	0 (0%)	1 (11%)	7 (78%)	1 (11%)
Corporate Property	0 (0%)	1 (8%)	11 (92%)	0 (0%)
Housing	0 (0%)	0 (0%)	4 (100%)	0 (0%)
<b>Total</b>	<b>0 (0%)</b>	<b>2 (8%)</b>	<b>22 (88%)</b>	<b>1 (4%)</b>

## CITY REGENERATION DIRECTORATE

### Directorate Overview

Overall financial performance has been very good but some budget concerns, especially associated with income levels remain. This hasn't necessarily affected performance as this has been maintained at 73% of measures meeting or exceeding target at the end of Quarter 4 compared the end of the previous quarter. The number of measures off target has reduced from 8 to 6 compared to the previous quarter. Risk in certain areas remains and this may have some impact on both financial and service performance in certain areas of City Development.

#### 1. Directorate Financial Performance

##### **City Development**

During 2012/13 the service area experienced a net year-end overspend due to the non-achievement of budgeted Building Control and Planning Fee income. Concerns regarding the budgeted level of Building Control fees will be problematic moving forward as given the current economic climate they are proving too difficult to achieve. Re-adjustments reflecting these concerns may be needed within the MTFP as well as more innovative ways of generating income levels. It is believed the Planning Fees issue is more to do with timing and more Planning Fee income will be received in 2013/14 as will a continuation of pre-planning advice income.

##### **Housing**

Savings associated with staff vacancies (which have all now been filled) created some savings in the year. The impact of welfare reforms on homelessness is putting pressure on our Housing Service and is a major concern moving forward.

##### **Corporate Property**

The additional rent income levels from the Council's commercial portfolio continue to be strong. However, it is accepted that continued review of the income generated from these assets is needed in order that £6m plus of income is generated for the authority each year.

#### 2. Directorate Performance - Exceptions:

##### **City Development**

Net additional homes provided: End of year performance was 194 compared to a target of 230. House building in Oxford has been sluggish, reflecting the national situation and the absence of large housing sites currently under construction. There may also be a time lag whereby some completions are not formally recorded in the month they take place.

Processing of minor planning applications: End of year performance was 72% compared to a target of 75%, but is still a good achievement. The old National Target was 60%. The drop in performance this year is principally because the number of minor applications requested to be determined by the area planning committees (call-ins) rose from 15 last year to 44 this year. As a result it was possible to determine only 18% of these minor

applications within the 8 weeks.

#### **Housing**

Development of on-line housing applications: Progress has been delayed due to the late release of a new software product which was then found to be unsuited to needs. A second product has since been assessed as suitable, and a business plan is being put together.

Number of new Rough Sleepers spending a second night on the streets: A rough sleeper count in February 2013 identified 1 new rough sleeper spending a second night on the street, missing the target of zero second nights out.

#### **Corporate Property**

Percentage of market tenants satisfied with landlord services: No satisfaction survey has been carried out for 2012/13, and in view of the ongoing market rent reviews this has been deferred to 2013/14.

Achieve budget savings: Actual savings achieved were £319,832 compared to a target of £405,009. This target would have been achieved had the New Pool in Cowley gone ahead through the recouping of fees through time charged to the project.

### **3. Risk Performance- Exceptions**

#### **City Development**

There is one declining risk which still remains as an amber risk, relating to project delays due to poor project management. There is still one red risk remaining in this area relating to major systems failure due to the reliance on ICT systems for processing and whilst mitigating actions are still being undertaken the impact of such failure would be major.

#### **Housing**

No exceptions to report in this area, as all risks show no movement.

#### **Corporate Property**

There is one remaining red risk within this service area in relation to the Westgate redevelopment project. However recent developments on this area indicate that the project continues to show forward movement.

Integrated Report- Community Services Q4 2012/13

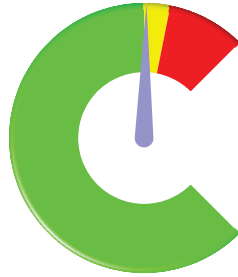
Financial Performance

Environmental Development



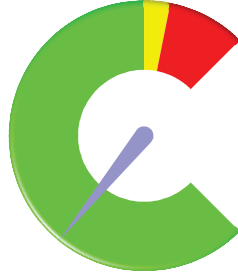
Budget: £1,489,000  
Forecast: £1,393,000  
Variance: £-96,000  
Prev Qtr: £1,297,000  
Movement: £96,000

Leisure and Parks



Budget: £3,103,000  
Forecast: £3,117,000  
Variance: £14,000  
Prev Qtr: £3,162,000  
Movement: £-45,000

Direct Services



Budget: £-1,034,000  
Forecast: £-1,682,000  
Variance: £-648,000  
Prev Qtr: £-1,630,000  
Movement: £-52,000

Community Development



Budget: £3,754,000  
Forecast: £3,565,000  
Variance: £-189,000  
Prev Qtr: £3,567,000  
Movement: £-2,000

Performance Summary

Service	No Data	Red	Amber	Green
Community Development	0 (0%)	1 (25%)	0 (0%)	3 (75%)
Direct Services	0 (0%)	0 (0%)	0 (0%)	9 (100%)
Environmental Development	0 (0%)	1 (14%)	0 (0%)	6 (86%)
Leisure and Parks	0 (0%)	3 (15%)	0 (0%)	17 (85%)
<b>Total</b>	<b>0 (0%)</b>	<b>5 (13%)</b>	<b>0 (0%)</b>	<b>35 (88%)</b>

Direction of Travel

Service	No Data	Declining	No Change	Improving
Community Development	0 (0%)	0 (0%)	2 (50%)	2 (50%)
Direct Services	0 (0%)	2 (22%)	5 (56%)	2 (22%)
Environmental Development	0 (0%)	0 (0%)	2 (29%)	5 (71%)
Leisure and Parks	0 (0%)	3 (15%)	12 (60%)	5 (25%)
<b>Grand Total</b>	<b>0 (0%)</b>	<b>5 (13%)</b>	<b>21 (53%)</b>	<b>14 (35%)</b>

Risk Summary

Service	No Data	Red	Amber	Green
Community Development	0 (0%)	0 (0%)	1 (50%)	1 (50%)
Direct Services	0 (0%)	0 (0%)	4 (36%)	7 (64%)
Environmental Development	1 (13%)	0 (0%)	5 (63%)	2 (25%)
Leisure and Parks	0 (0%)	0 (0%)	6 (55%)	5 (45%)
<b>Total</b>	<b>1 (3%)</b>	<b>0 (0%)</b>	<b>16 (50%)</b>	<b>15 (47%)</b>

Direction of Travel

Service	No Data	Declining	No change	Improving
Community Development	0 (0%)	0 (0%)	2 (100%)	0 (0%)
Direct Services	0 (0%)	0 (0%)	11 (79%)	3 (21%)
Environmental Development	1 (11%)	0 (0%)	8 (89%)	0 (0%)
Leisure and Parks	0 (0%)	1 (8%)	9 (75%)	2 (17%)
<b>Total</b>	<b>1 (3%)</b>	<b>1 (3%)</b>	<b>30 (81%)</b>	<b>5 (14%)</b>

## COMMUNITY SERVICES DIRECTORATE

### **Directorate Overview**

Whilst savings have been realised especially within the Community Development team this has impacted on performance, especially the ability to meet Anti-Social Behaviour satisfaction targets. That said generally performance has improved with 88% of measures now meeting or exceeding target at the end of Quarter 4 compared to 85% at the end of the previous quarter. The number of measures off target reduced from 6 to 4 compared to the previous quarter. Overall both financial monitoring and the risk management associated with the Directorate has remained very good throughout the financial year with only one service risk now remaining in the red category. It is important that future service area risks identified within the Directorate's risk register are regularly reviewed as the diverse nature of activities across the Directorate and the ability to operate within budgetary levels in 2013/14 onwards remain challenging.

### **1. Directorate Financial Performance**

#### **Environmental Development**

A slight underspend of £0.096m on employees occurred at year-end but generally financial performance for this service area is good.

#### **Leisure and Parks**

Budget overspends associated with leisure management utility costs were realised during the year but they were offset by increased income levels in other areas within the service, resulting in a slight net overspend for the year of £0.015m.

#### **Direct Services**

The complexity, value and range of services provided within this business unit does require significant resources in monitoring projected contribution levels. The outturn position of £0.648m surplus for this service area was projected early during the financial year but challenges remain moving forward, especially the ability to bid and win external contracts.

#### **Community Development Team**

Underspends of £0.189m were similarly identified early and these related to salary savings associated with the recruitment of staff, especially to the CANACT team. The service now has a full complement of staff.

### **2. Directorate Performance - Exceptions**

#### **Leisure and Parks**

Commence work on the new pool at Blackbird Leys: Progress on the pool has been held up by an application for town green status.

Reduce the cost of parks per household: The end of year figure was £41 compared to a target of £39. However, this still compared favourably to a



national benchmark average cost of £61 per household.

Continuously improve our approach to people and equalities: The target for development days per employee of 3.5 days was narrowly missed (3.11 days) due to the need to re-profile the scheduled training. This target will be met for 2013/14.

### **Community Development Team**

Dealing with local concerns about anti-social behaviour (ASB) and crime by the local council and police: End of year performance was 46.6% satisfaction compared with the target of 55%. This indicator is measured using the results of a question in an annual Talkback survey. Although the target was not met this year, we have been doing further consultation work with Talkback panellists around the way we deal with ASB, and hope that by incorporating their suggestions into our new ASB plan and policy, the satisfaction scores will be improved next year.

## **3. Risk Performance- Exceptions**

### **Direct Services**

Showing an overall improving position, with three risks changing and one moving from an Amber risk to a Green risk, this is in relation to delivery of an efficient service.

### **Leisure and Parks**

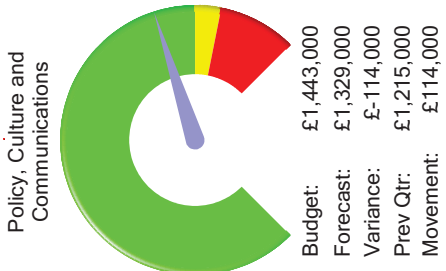
Two risks have been closed this quarter relating to delivery of VFM targets by the Leisure contractor and the impact of Ash dieback disease. These two risks are no longer relevant to the service.

### **Environmental Development**

No exceptions to report in this area, as all risks show no movement.

Integrated Report- Chief Executives Q4 2012/13

Financial Performance



Performance Summary

Service	No Data	Red	Amber	Green
Policy Culture and Communications	1 (8%)	0 (0%)	0 (0%)	12 (92%)
<b>Total</b>	<b>1 (8%)</b>	<b>0 (0%)</b>	<b>0 (0%)</b>	<b>12 (92%)</b>

Risk Summary

Service	No Data	Red	Amber	Green
Policy Culture and Communications	0 (0%)	0 (0%)	3 (100%)	0 (0%)
<b>Total</b>	<b>0 (0%)</b>	<b>0 (0%)</b>	<b>3 (100%)</b>	<b>0 (0%)</b>

Direction of Travel

Service	No Data	Red	Amber	Green
Previous Quarter	1 (8%)	1 (8%)	1 (8%)	10 (77%)

Direction of Travel

Service	No Data	Red	Amber	Green
Previous Quarter	0 (0%)	0 (0%)	3 (50%)	0 (0%)

Service	No Data	Declining	No Change	Improving
Policy Culture and Communications	0 (0%)	0 (0%)	7 (58%)	5 (42%)
<b>Grand Total</b>	<b>0 (0%)</b>	<b>0 (0%)</b>	<b>7 (58%)</b>	<b>5 (42%)</b>

Service	No Data	Declining	No change	Improving
Policy Culture and Communications	0 (0%)	0 (0%)	3 (100%)	0 (0%)
<b>Total</b>	<b>0 (0%)</b>	<b>0 (0%)</b>	<b>3 (100%)</b>	<b>0 (0%)</b>

## CHIEF EXECUTIVES DIRECTORATE

### Directorate Overview

Financial performance was generally good as was service area performance which improved with 100% of measures meeting or exceeding target at the end of Quarter 4 compared to 86% at the end of the previous quarter. No major concerns to the management of the service risk register were identified during the year. As such overall general performance was good although better planning of some budget provision which is earmarked to performance targets is needed moving forward.

#### 1. Directorate Financial Performance

##### **Policy, Culture and Communications**

The directorate had a projected outturn position of £1.329m, which was £0.114m lower than the approved latest budget. This is as a result of reduced expenditure within the educational attainment budget.

#### 2. Directorate Performance - Exceptions



##### **Policy, Culture and Communications**

There were no exceptions as all targets were met or exceeded.

#### 3. Risk Performance- Exceptions

##### **Policy, Culture and Communications**

There were no exceptions to report as there have been no changes to the risks in this quarter.

**Draft Finance Monitoring as at 31<sup>st</sup> March 2013 (Quarter 4)**

**Appendix 1:** March 2013 monitoring – General Fund Draft Outturn

**Appendix 2:** March 2013 monitoring – Capital Programme Draft Outturn

**Appendix 3:** March 2013 monitoring – Housing Revenue Account Draft Outturn

**Appendix 4:** March 2013 monitoring – Carried Forward List

**EXECUTIVE SUMMARY**

1. This report sets out the Council's draft final outturn position as at the 31st March 2013 and highlights major variances to the approved latest budget. In summary
  - As Appendix 1 demonstrates the General Fund Revenue account outturn position was as per the latest budget. This was achieved through a variety of transfers to earmarked reserves during the last quarter utilising resources previously identified from unused budgeted contingency provision (detailed later in this report). The services element of the General Fund only showed a movement from the outturn position predicted at Q3 of £0.257million.
  - Appendix 2 details the draft capital outturn position which shows a surplus variance against the latest budget of £0.739million as at the end of the financial year. There have been several reductions to the capital programme during the year, notably the new competition swimming pool project that accounts for most of the slippage.
  - Appendix 3 indicates that the HRA's draft outturn position for 2012/13 was a deficit of £1.321m for the year. The outturn for the year was in fact a surplus of £1.080m; approximately £2.402m more than budgeted due to less funding needed for the HRA capital programme and increased income from both dwelling and non-dwelling rents. £7m has been transferred to the Major Repairs Reserve to either fund the increased HRA capital programme from 2013/14 onwards or have the option to repay debt.
  - The collection rate for Council Tax arrears was 97.01%, up on March 2012's position of 96.80%.
  - Business Rate collection at the end of March 2013 was 98.88% compared to 97.75% for 2011/12.
  - The payment of invoices within 30 days has improved slightly since Q3's position of 94.33%. However, this is still below the 2012/13 target of 97%.
  - HRA total arrears were £1.348million as at the end of March. This represents a significant improvement on Q3 when they stood at £1.595million, a reduction of over 15% for the quarter.
2. As part of the monitoring process Finance staff have met and had budget monitoring discussions with Cost Centre Managers and Heads of Service to verify the current budgetary position.
3. The main projected General Fund outturn variances compared to the latest budget are shown below:
4. **Chief Executive's Directorate** – A favourable variance of £0.114million was realised at year-end due to additional slippages of spend within Policy, Culture and Communication.
5. **City Regeneration Directorate** – A favourable outturn variance of approximately £0.670million, which was only £0.007million different from that reported at Q3. The main

reason for the variance is the additional rent generated from the Council's commercial property portfolio.

6. **Community Services Directorate** – A £0.918 million favourable variance, which was again only slightly different, £0.002 million, from that reported at Q3. This has principally been caused by the predicted additional contributions generated by Direct Services from their range of service activities during the year.
7. **Organisational Development and Corporate Services Directorate** – As at the end of March the Directorate is projecting a £0.462million adverse variance, an increase of £0.362million than that reported at Q3. This has been caused from Emergency Planning flood works having to be absorbed by the Council and reduced Town Hall income.

## GENERAL FUND OUTTURN

8. Appendix 1 provides a General Fund revenue outturn position, broken down by Service Area. Table 1 below also details the summarised GF position as at the end of March 2013 and compares the position to that reported in Quarter 3.

**Table 1 General Fund Revenue**

GF Outturn Report 12/13	Approved Budget (per Budget book)	Latest Budget	Actual YTD	% Budget Spent to 31st Mar 2013	Outturn Variance Q4	Outturn Variance Q3	Outturn Variance Movement from Q3 to Q4
	£000's	£000's	£000's	%	£000's		
<b>Directorates</b>							
Chief Executive	1,525	1,443	1,329	92%	(114)		114
City Regeneration	4,457	641	(30)	(5%)	(670)	(677)	(7)
Community Services	3,882	7,312	6,394	87%	(918)	(921)	(3)
Organisational Dev & Corp Services	12,180	12,962	13,423	104%	462	100	(362)
<b>Directorate Total Excl SLA's &amp; Capital Charges</b>	<b>22,044</b>	<b>22,357</b>	<b>21,117</b>	<b>94%</b>	<b>(1,241)</b>	<b>(1,498)</b>	<b>(257)</b>
SLA's & Capital Charges	(1,274)	(1,276)	738	(58%)	2,013		(2,013)
<b>Corporate Accounts</b>	<b>1,815</b>	<b>1,831</b>	<b>(849)</b>	<b>(46%)</b>	<b>(2,680)</b>	<b>367</b>	<b>3,047</b>
<b>Contingencies</b>	<b>3,151</b>	<b>775</b>	<b>61</b>	<b>8%</b>	<b>(714)</b>		<b>714</b>
<b>Total Corporate Accounts &amp; Contingencies</b>	<b>4,966</b>	<b>2,606</b>	<b>(788)</b>	<b>()</b>	<b>(3,394)</b>	<b>367</b>	<b>3,761</b>
<b>Net Expenditure Budget</b>	<b>25,736</b>	<b>23,688</b>	<b>21,066</b>		<b>(2,621)</b>	<b>(1,131)</b>	<b>1,490</b>
Transfer to / (from) GF working balances	(1,622)	(1,622)	(1,622)	100%			
Transfer to / (from) Ear Marked Reserves		2,049	5,053		3,005		(3,005)
<b>Net Budget Requirement</b>	<b>24,113</b>	<b>24,114</b>	<b>24,497</b>		<b>383</b>	<b>(1,131)</b>	<b>(1,514)</b>
<b>Funding</b>							
External Funding	11,719	11,719	12,028	103%	309	310	1
Council tax	12,587	12,587	12,661	101%	74		(74)
Less Parish Precepts	(193)	(193)	(193)	100%			
<b>Total Funding Available</b>	<b>24,113</b>	<b>24,113</b>	<b>24,497</b>		<b>383</b>	<b>310</b>	<b>(73)</b>
<b>(Surplus) / Deficit for year</b>			<b>(0)</b>	<b>(0)</b>		<b>(1,441)</b>	<b>(1,441)</b>

9. As at the end of March the outturn position was as per the latest budget position. This has been achieved by utilising unused contingency provision to specific earmarked reserves, mainly £3.3million for a Westgate Re-Development Reserve to provide temporary car parking at Westgate.
10. **Chief Executive's Directorate** - The directorate is currently estimated to have a projected outturn position of £1.329million, which is £0.114million lower than the

approved latest budget. This is as a result of reduced expenditure within the educational attainment budget. This budget spend has subsequently been re-profiled in line with the current agreed programme.

11. **City Regeneration Directorate** - The directorate is currently estimated to have a projected outturn favourable position of £0.030million, which is £0.670million lower than the approved latest budget but only £0.007million different to that reported at Q3. City Development was £0.176million overspend is as a result of a decline in Building Control Fees against budget and reduced Planning Fees. GF Housing services was £0.269million underspend created by staff budget savings and Corporate Property was £0.577million favourable at year-end caused by positive commercial property rent reviews.
12. **Community Services Directorate** - The directorate is currently estimated to have a projected outturn position of £6.394million, which is a favourable variance of £0.918million against the latest budget and primarily relates to savings/additional income associated with Direct Services. This outturn position is only £0.003m different to that projected at Q3. Environmental Development was £0.096million underspent caused by salary savings incurred towards the end of the financial year. Leisure & Parks Services was £0.015million adverse caused by pressures on the leisure management area due to utilities, and fleet and fuel pressures within parks slightly offset by additional income from burial services and tree works. Direct Services was a net £0.648million favourable largely caused by a surplus (£0.078million) from off-street car parking primarily due to St Clements remaining open for an additional 11 months, additional Engineering works won (£0.386million), Streetscene re-structure and employees not being in the pension scheme (£0.418million), Building Services making a contribution from Non-HRA Works (£0.044million), all of which were slightly offset by income targets not being achieved within Motor Transport (£0.145million) and Commercial waste (£0.135million). Lastly Community Development was £0.189million underspent at year-end principally caused by staff savings due to vacancies that have now all been filled.
13. **Organisational Development and Corporate Services Directorate** - The directorate is estimated to have a projected outturn position of £13.423million, which is £0.462 million adverse to the latest budget. This is a £0.362million higher than that reported in Q3. Business Imp & Tech was £0.32 million underspent as a result of lower spending on the technology side of the business. Customer Services was £0.047 million adverse. This was a mixture of additional council tax court cost income, and court fees budgets. The Finance Service was £0.107million favourable caused by salary savings, over provision of legal costs and reduced internal/external audit fees. HR & Facilities was £0.277million overspent. The main pressures within the service were as a result of a shortfall in Town Hall and post room income, as well as additional spending on Town Hall and facilities supplies and services. These pressures were partly offset by savings through vacant posts. Lastly, Law & Governance was £0.276million overspent resulting from £0.161million of costs associated with Emergency Planning flood works that the Council were unable to recover, together with salary overspends and a shortfall in Legal Hub budgeted income are the main reasons for the adverse variance at year-end.

## **CORPORATE ACTIVITIES**

14. With regard to SLA's/Capital Charges and Corporate Accounts it is best to view these two items together. The overspend on SLA's/Capital Charges mainly relates to capital charges where both depreciation charged for the year and deferred charges were approximately £2million higher than budgeted, hence the adverse variance shown. These costs for the GF, in accordance with current accounting rules, are however

reversed out within the Corporate Accounts section so as not to hit the bottom line and as such a cost to Council Taxpayers and this accounts for the majority of the favourable variance for this line. The balance of the favourable outturn associated with Corporate Accounts related to the Local Cost of Benefits.

15. With regard to Contingencies the Employee Inflation contingency of £0.624million was not needed, together with unused amounts from the Pensions Provision Top Up contingency, £0.200million and £0.841million from the unachieved savings reserve. These resources coupled with the service area underspends of £1.241million shown above were used to principally transfer resources to a year-end earmarked reserve of £3.3million for Westgate Re-Development that had the result of bringing the outturn position in line with the latest GF budget at year-end.

16. The Council has utilised £1.622m from existing working balances as originally estimated.

17. The new earmarked reserves created at year-end were:

- £3.279million Westgate Re-Development Reserve to fund temporary car parking facilities that will be required during the projected Westgate re-development.
- £0.150million Emergency Flood Reserve to fund future flood works as and when they arise.

18. Appendix 1 incorporates the transfers and budget adjustments associated with the agreed £0.765million of GF service carry forward requests suggested by CMT. These are as follows:

City Development	£0.150m	Unlawful Dwellings
Direct Services	£0.150m	Marsh Road Depot Improvements
Community Development	£0.039m	Ward Member Budget slippage
	£0.010m	BBL Work club
	£0.106m	Youth Ambition slippage
	£0.032m	Youth Ambition Grants
	£0.050m	Social Inclusion Fund
Customer Services	£0.054m	Unused DCLG grant for CT Benefit claimants
	£0.037m	Grant money for Welfare Reform
	£0.033m	Grant money for support to benefit claimants
HR and Facilities	£0.083m	Apprenticeships
Law and Governance	£0.021m	Archivist Project

## **ACHIEVEMENT OF SAVINGS AND EFFICIENCIES**

19. The Council's budget identifies £1.761million of efficiencies, £0.290million of service reductions and £1.193million of additional fees and charges for 2012/13. As at the end of March some efficiency targets weren't delivered. However, both mitigating activities and additional on-going fees and charges ensured that across all three areas associated with "Efficiency" targets, these were 99% delivered.

20. Table 2 below details the forecast outturn position relating to efficiencies, service reductions and additional fees and charges at the end of March 2013.

**Table 2 – Savings and Efficiencies as at 31st March 2013**

	Efficiencies			Service Reductions			Fees and Charges		
	Approved Savings	Variance	Savings made to date	Approved Savings	Variance	Savings made to date	Approved Savings	Variance	Savings made to date
	£000's	£000's	£000's	£000's	£000's	£000's	£000's	£000's	£000's
Policy, Culture & Communications							(17)	4	(13)
<b>Chief Executive</b>							(17)	4	(13)
Finance	(225)		(225)	(72)		(72)			
Business Improvement & Technology	(130)		(130)						
Law & Governance	(33)		(33)	(53)		(53)	(5)	5	
Human Resources & Facilities	(67)	36	(31)				(30)	30	
Customer Services	(247)	46	(201)						
<b>Organisational Development and Corporate Services</b>	<b>(702)</b>	<b>82</b>	<b>(620)</b>	<b>(125)</b>		<b>(125)</b>	<b>(35)</b>	<b>35</b>	
Direct Services	(120)		(120)				(836)	(117)	(953)
Leisure & Parks	(310)	78	(232)	(35)		(35)	(54)	2	(52)
Environmental Development	(12)		(12)	(98)		(98)	(10)		(10)
<b>Community Services</b>	<b>(442)</b>	<b>78</b>	<b>(364)</b>	<b>(133)</b>		<b>(133)</b>	<b>(900)</b>	<b>(115)</b>	<b>(1,015)</b>
City Development	(5)		(5)	(16)		(16)	(191)	36	(155)
Housing and Communities	(192)		(192)	(16)		(16)			
Corporate Property	(420)	91	(329)				(50)		(50)
<b>City Regeneration</b>	<b>(617)</b>	<b>91</b>	<b>(526)</b>	<b>(32)</b>		<b>(32)</b>	<b>(241)</b>	<b>36</b>	<b>(205)</b>
<b>Mitigating Savings</b>		<b>(137)</b>	<b>(137)</b>					<b>(44)</b>	<b>(44)</b>
<b>Total</b>	<b>(1,761)</b>	<b>114</b>	<b>(1,647)</b>	<b>(290)</b>		<b>(290)</b>	<b>(1,193)</b>	<b>(84)</b>	<b>(1,277)</b>

## HRA OUTTURN

21. The summarised HRA position as at 31st March 2013 is set out in Table 3 and detailed on the attached Appendix 3.



**Table 3 – Housing Revenue Account HRA**

HRA Outturn Report 12/13	Approved Budget (per budget book)	Latest Budget	Actual YTD	% Budget Spent to 31st March 2013	Outturn Variance Q4	Outturn Variance Q3	Outturn Variance Movement from Q3 to Q4
	£'000	£'000	£'000	%	£'000	£'000	£'000
Dwelling Rent	(36,508)	(36,508)	(37,140)	102%	(632)	90	722
Service Charges	(956)	(956)	(970)	101%	(13)		13
Shops/Garages/Furn/Other Rent	(2,208)	(2,300)	(2,433)	106%	(133)		133
Rechargeable Fees/Other	(721)	(621)	(187)	30%	434		(434)
<b>Net Income</b>	<b>(40,393)</b>	<b>(40,386)</b>	<b>(40,730)</b>		<b>(345)</b>	<b>90</b>	<b>435</b>
Rent/Income Collection	361	357	(866)	-242%	(1,222)	(1,296)	(74)
Tower Blocks and Flats	598	597	490	82%	(108)	2	110
Management/Infrastructure	1,839	1,883	2,175	116%	292	(46)	(338)
Depreciation	8,147	5,888	5,888	100%	( )		
ICT services	281	281	281	100%	( )		
Contact Centre	786	786	782	100%	(4)		4
Rent Team	499	502	446	89%	(56)	122	178
Tenant's Participation	208	250	226	91%	(24)	(42)	(18)
Furnished Tenancies	473	543	487	90%	(57)		57
Local Housing Management	835	837	875	105%	38	(4)	(42)
Major Projects/Policy/Technical	626	626	531	85%	(95)	(2)	93
Bad Debt Provision	410	410	274	67%	(136)		136
Site Preparation	201	200	134	67%	(66)		66
<b>Sub Total Tenancy Management</b>	<b>15,264</b>	<b>13,160</b>	<b>11,722</b>		<b>(1,438)</b>	<b>(1,266)</b>	<b>172</b>
Caretaking Service	941	941	941	100%			
Garden Scheme	268	268	268	100%			
Void Property officers/Garage team	248	248	248	100%			
Day to Day Responsive	4,450	4,463	4,844	109%	382		(382)
Planned Maintenance	4,938	5,205	5,286	102%	81	400	319
Direct Services Capital Overheads	636	740	518	70%	(222)		222
<b>Sub Total Repairs &amp; Maintenance</b>	<b>11,481</b>	<b>11,865</b>	<b>12,106</b>		<b>241</b>	<b>400</b>	<b>159</b>
<b>Total Expenditure</b>	<b>26,746</b>	<b>25,025</b>	<b>23,828</b>		<b>(1,197)</b>	<b>(866)</b>	<b>331</b>
Net Transfer To/From Reserves	7,000	6,862	7,506	109%	644	(780)	(1,424)
Revenue Contribution to Capital	383	2,642	1,702	64%	(940)	(383)	557
Additional HRA Subsidy			(231)		(231)		231
Interest On Balances	(35)	(35)	(64)	184%	(29)	(50)	(21)
Interest Payable	8,055	7,100	6,895	97%	(205)		205
CDC, Pensions & Retirement Costs	111	112	15	13%	(97)		97
<b>Total Appropriations</b>	<b>15,514</b>	<b>16,682</b>	<b>15,822</b>		<b>(860)</b>	<b>(1,213)</b>	<b>(353)</b>
<b>Total HRA (Surplus)/Deficit</b>	<b>1,867</b>	<b>1,321</b>	<b>(1,080)</b>		<b>(2,402)</b>	<b>(1,989)</b>	<b>413</b>

## Income

22. Dwelling rent income was higher than budgeted due to the lower number of Right To Buy disposals. The HRA Business Plan estimated 78 RTB disposals representing a uniform 10% reduction in housing stock over a 10 year period. This was in response to the Government's paper Re-Invigorating Right To Buy in which they increased the available discounts up to a maximum of £0.075million. It was difficult to predict the impact of this initiative and as such a prudent approach was adopted for revenue purposes. Non-dwelling income from shops and garages was also up mainly due to favourable rent reviews. Lower rechargeable fees to capital were incurred due to a

reduction in the non-Direct Services element of the HRA programme, together with half the fee income now no longer chargeable.

## **Expenditure**

23. Rent Income Collection shows a large credit for the year. This represents the reversal of most of the £1.2million Southfield Park provision following a successful conclusion to the dispute. £0.633million of this has been transferred to reserves to fund specific future activity and is discussed further in this report. Tower Blocks and flats were also lower than budgeted primarily due to public utility savings and lower disturbance payments being made.
24. Management and Infrastructure expenditure for the year was higher than budgeted due to increased SLA recharges from Community Housing and Business Systems.
25. Despite the increase in HRA dwelling arrears predominately caused by the introduction of the Direct Payments scheme the resultant bad debts provision contribution required from revenue was still contained within the annual budget. This is due to a prudent approach to this area being planned within the HRA Business Plan. This approach continues in future years as we see the continuation of the Government's welfare reforms.
26. Day to day responsive repairs was higher than budgeted due to increased night time call out costs, fire damage and emergency repairs expenditure, together with a higher demand placed on the service during the later months of the financial year. This was mainly offset by the surplus generated by the Building Services service on its £17million annual turnover. The surplus arose from vacant posts and increased contributions from HRA capital works, mainly from Kitchens and Bathroom installations.

## **Appropriations**

27. There was a £7million transfer to the Major Repairs Reserve to fund future capital spend, £0.250million for a stock condition survey to take place in 2013/14, £0.183million being approved carry forward requests for the HRA with the balance made up from setting resources aside to fund the new local pay deal for HRA staff, fund future structure reviews and contribute towards new Welfare Fraud officers.
28. The HRA capital programme was overall underspent for the year against the original budget and this is reflected in a reduced level of revenue contributions of £0.940million. Furthermore, following the final audit of the Council's housing subsidy claim for 2011/12 the authority received £0.231million back from DCLG as part of the claim. Lastly, savings in interest payments were made against the HRA internal borrowing levels due to a lower interest rate being applied than budgeted.

## **CAPITAL PROGRAMME**

### **General Fund and HRA Capital Programme**

29. A capital budget position, approved for the General Fund and HRA Capital Programme for 2012/13 is shown in summary at Table 4 below. Appendix 2 attached shows the Capital Programme on a scheme by scheme basis.
30. As at the end of March the Capital Programme shows a favourable variance of £0.739million.

**Table 4 – Capital Programme as at 31st March 2013**

Capital Scheme	Approved Budget (per Budget Book)	Latest Budget	Actual YTD	% Budget Spent to 31st March 2013	Outturn Variance Q4	Outturn Variance due to Slippage	Outturn Variance due to Over/ Under spend	Outturn Variance Q3	Outturn Variance Movement Q3 to Q4
	£	£	£	%	£	£	£	£	£
City Development	0	511,484	543,817	106%	32,333	(19,311)	51,645	(258,030)	(290,363)
Environmental Development	800,000	550,000	626,403	114%	76,403	76,403	0	(200,000)	(276,403)
Communities and Housing	252,302	340,000	175,196	52%	(164,804)	(19,300)	(145,504)	15,000	179,804
Corporate Assets	5,409,565	3,691,050	3,346,467	91%	(344,584)	(344,584)	0	(329,022)	15,562
Customer Services	126,958	0	0	0%	0	0	0	0	0
City Leisure	9,682,589	1,474,774	1,312,088	89%	(162,686)	(195,132)	32,446	(572,841)	(410,155)
Direct Services	2,564,051	2,283,407	2,152,525	94%	(130,882)	(134,735)	3,852	(219,000)	(88,118)
Business Transformation	637,434	575,860	576,895	100%	1,035	0	1,035	0	(1,035)
<b>GF Total</b>	<b>19,472,898</b>	<b>9,426,576</b>	<b>8,733,390</b>	<b>93%</b>	<b>(693,186)</b>	<b>(636,659)</b>	<b>(56,526)</b>	<b>(1,563,893)</b>	<b>(870,707)</b>
Housing Revenue Account	8,395,000	7,635,211	7,589,646	99%	(45,567)	0	(45,567)	0	45,567
<b>Grand Total</b>	<b>27,867,898</b>	<b>17,061,787</b>	<b>16,323,036</b>	<b>96%</b>	<b>(738,753)</b>	<b>(636,659)</b>	<b>(102,093)</b>	<b>(1,563,893)</b>	<b>(825,140)</b>
<b>Total General Fund Financing</b>	<b>19,472,898</b>	<b>9,426,576</b>	<b>8,733,394</b>	<b>93%</b>	<b>(693,186)</b>	<b>(636,659)</b>	<b>(56,527)</b>	<b>(1,563,894)</b>	<b>(870,708)</b>
<b>Total HRA Financing</b>	<b>8,395,000</b>	<b>7,635,211</b>	<b>7,635,211</b>	<b>100%</b>	<b>(45,567)</b>	<b>0</b>	<b>(45,567)</b>	<b>0</b>	<b>45,567</b>
<b>Total Financing</b>	<b>27,867,898</b>	<b>17,061,787</b>	<b>16,368,605</b>	<b>96%</b>	<b>(738,753)</b>	<b>(636,659)</b>	<b>(102,094)</b>	<b>(1,563,894)</b>	<b>(825,141)</b>

31. Overall the Council achieved a 96% spend against the latest budget for the year. Taking each service area in turn the comments are as follows:

32. City Development £0.032million adverse variance largely caused by increased Wayfinding work that was funded from New Growth Points capital grant.

33. Environmental Development £0.076million adverse variance principally relating to increased contributions towards County Council Occupational Therapist costs relating to Disabled Facilities Grants activity.

34. Communities & Housing £0.165million favourable variance largely caused by reduced Old Fire Station expenditure incurred in 2012/13 relating to final retention and defects period payments.

35. Corporate Assets £0.345million favourable variance caused by slippages relating to capital projects including Covered Market improvements, Broad Street upgrade and roof repairs to 44-46 George Street, Depot Relocation Feasibility studies, various Parks and Leisure buildings and conference/Fire Alarm works to the Town Hall.

36. City Leisure £0.163million favourable variance resulting from slippages on capital projects including General Leisure centre improvements, Lye Valley and Chiswell Valley walkways, delays in Sports Pavilions improvements and slippages to upgrades on tennis courts and existing multi-use games areas.

37. Direct Services £0.131million favourable variance being the net impact of delays in purchasing replacement vehicles and plant.

38. HRA £0.046million favourable variance being the net underspends in the year primarily associated with voids work, disabled adaptations associated with major conversions, general reductions in the Major Projects Team capital activity and structural type works. There were increased spends associated with Kitchens and Bathrooms replacements where an additional 45 properties over and above those originally planned for the year were undertaken along with increased spend associated with consultancy work linked with the AHP New Build properties.

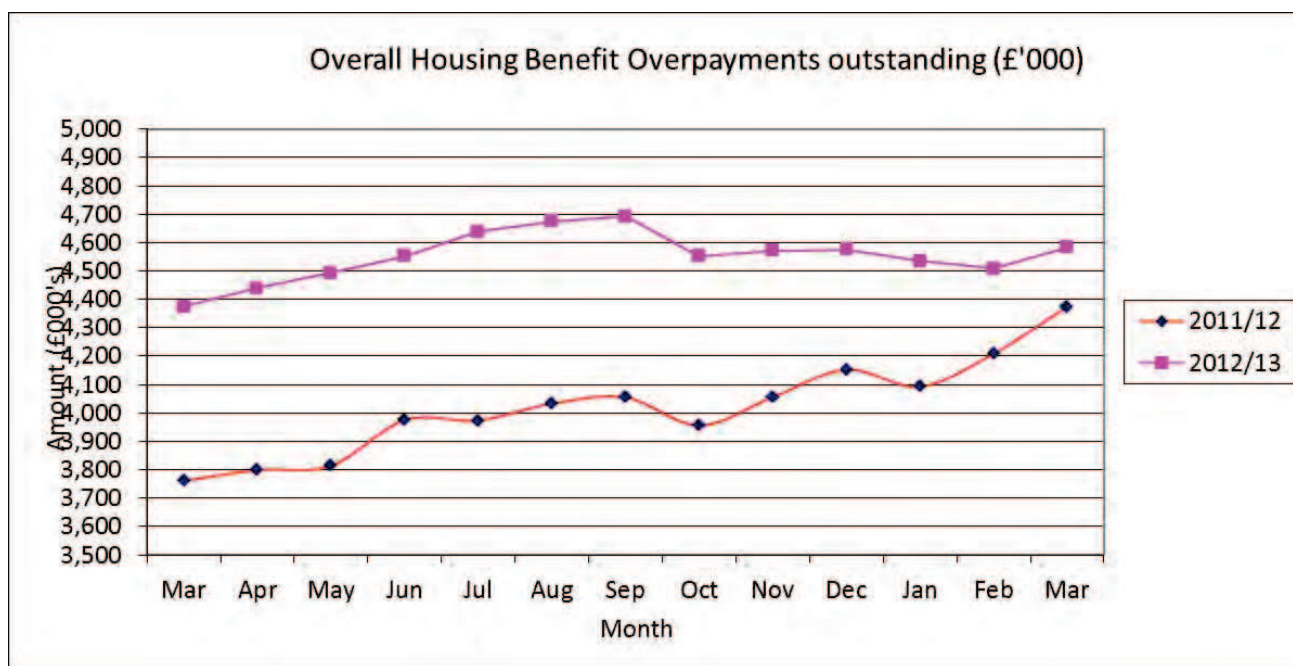
## PERFORMANCE INFORMATION

39. There are a number of additional key performance indicators that need to be assessed along with the financial performance information to provide an overall financial health check position for the authority as at the end of March 2013. These additional indicators are detailed as follows:

### Housing Benefit Overpayments

40. During March new overpayments totalling £0.338million were identified whilst a total of £0.230million was recovered - either by offsets/deductions of Housing Payment or by actual payments received. The monthly collection rate was thus 67.91% making the cumulative year to date result 84.15% (internal target 82%).

41. Total overpayments raised for the period 01/04/12-31/03/13 were £3.689million, a figure that is 2.9% down on last year's equivalent of £3.798million. The overall arrears rose over March from £4.509million at the start of the month to £4.584million at the end of the month. The current total is 4.8% up on the equivalent figure of 12 months ago. Please note that there remain a considerable number of accounts that are awaiting write-off. The outstanding amount will become much more realistic when those write offs have been processed.



### Investment Performance

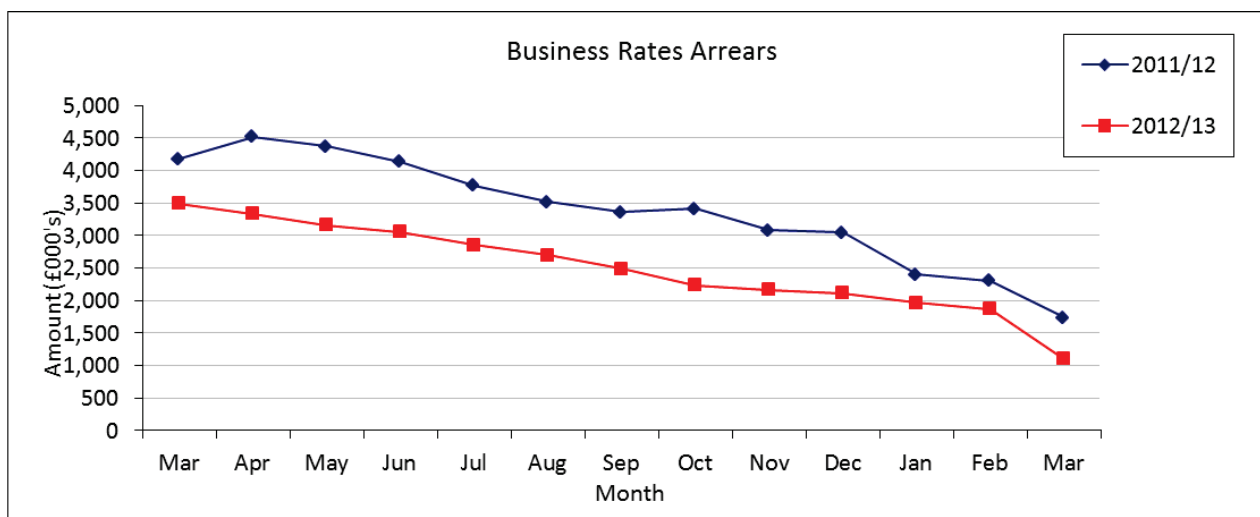
42. The cumulative average rate of return on investments to 31st March 2013 was 0.89%. This continues to be 11 basis points below the treasury performance indicator target of 50 basis points above the Bank of England's Base Rate and is forecast to continue this downturn in performance.

43. The reduction in the rate of return over the last few months has been due to worsening market conditions, which has led to a reduction in lending options and a significant decrease in LIBID rates offered by the remaining counterparties on the Council's Treasury Management Lending List. Although there has been a steady increase in average investment balances (caused by the favourable variances on the General Fund

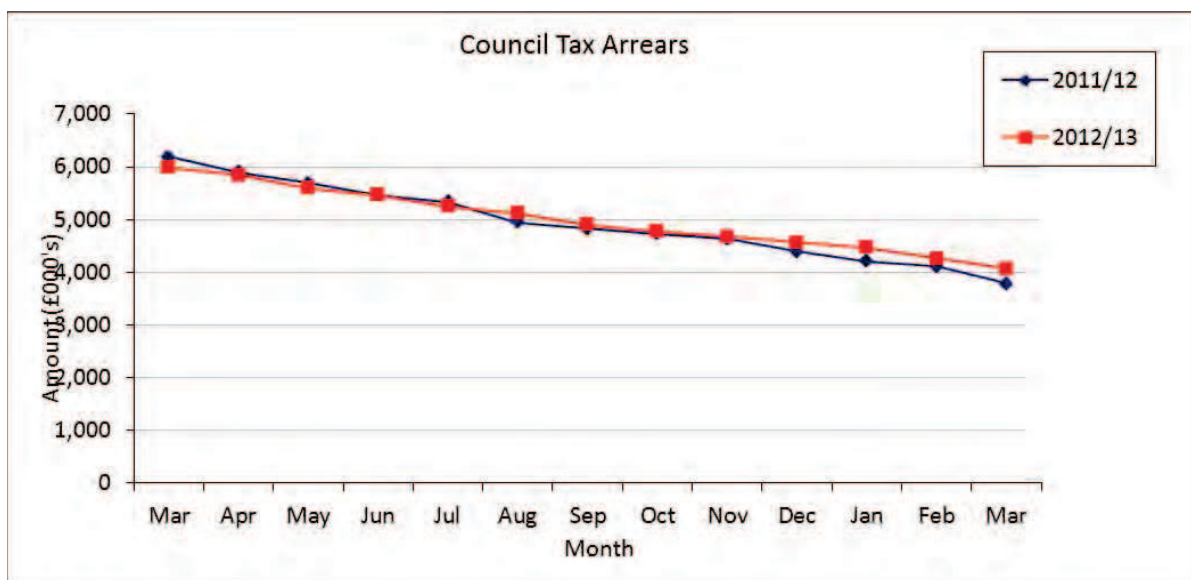
and slippages in both the HRA and GF capital programme), which has led to new deposits placed being invested albeit at much lower return rates than budgeted.

### **Business Rates**

44. The arrears carried forward on April 1st 2012 of £3.490m had fallen to £1.100m a year later, a reduction of 68.47%. This figure was a healthy 36.9% down on the arrears figure 12 months earlier.
45. During March payments received were £0.073m making total arrears cash received in 2012/13 £1.207m. Write offs processed during March totalled £0.697m making the total for the year £1.026m. During March there were credit adjustments of £0.167m that were mainly due to Mandatory Relief being granted to Academies. There was a total of £0.171m refunded.
46. The collection rate for 2011/12 had moved on from 97.75% at year end to 98.88% at the end of March. The 2012/13 collection rate was 97.41% at 31/03/13, 0.34% down on last year's equivalent of 97.75%. We were at 31 March £0.496m down on our profiled year-end collection target 98%.



### **Council Tax Arrears Collection**

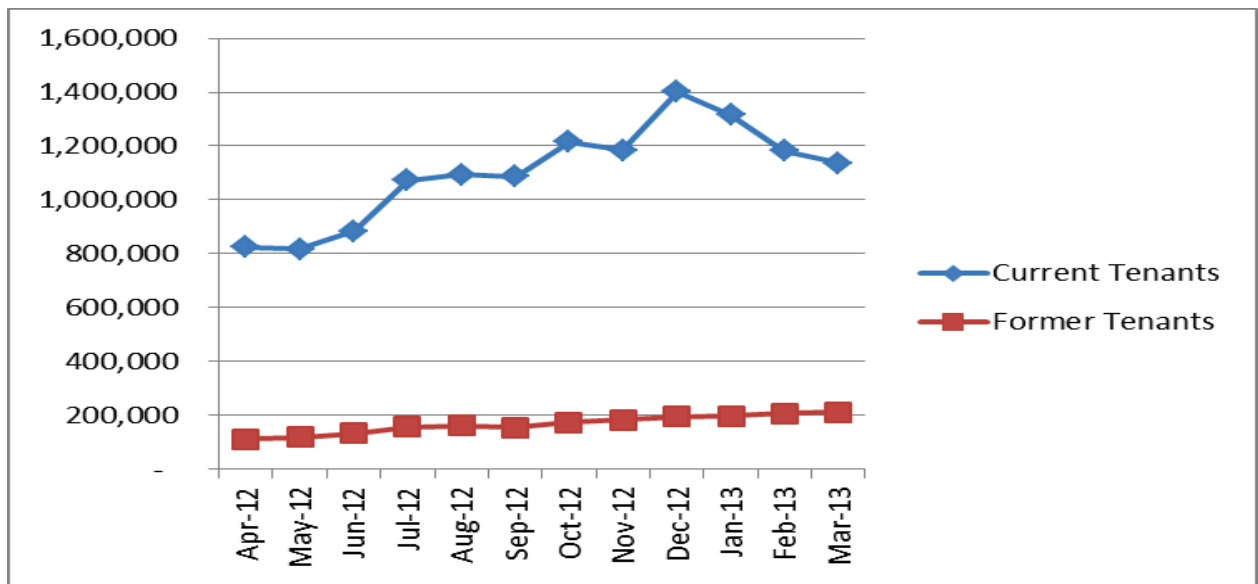


47. The arrears carried forward at the beginning of the financial year were £5.986m and had dropped to £4.070m by March 2013. This represents an overall reduction in the year of 32%. The arrears figure on 31 March 2013 was 7.4% up on the equivalent figure 12 months ago.
48. During March the arrears fell by £0.197m. This was helped by write offs being processed during the month of £0.088m. Payments received during the month totalled £0.089m but a total of £0.017m was refunded. Debit adjustments (retrospective discounts, exemptions etc.) of £0.024m were also undertaken during March.
49. During 2012/13 the Council received arrears cash of £1.456m. This has meant that last year's collection rate had moved from 96.80% (at 31/03/12) to 98.08% as at the end of 2012/13.
50. The current year collection rate at 31 March 2013 was 97.01%, which was up on last year's equivalent of 96.80%. In cash collection terms we were £0.057k down on the profiled collection target for the 31 March 2013 of 97.1%.

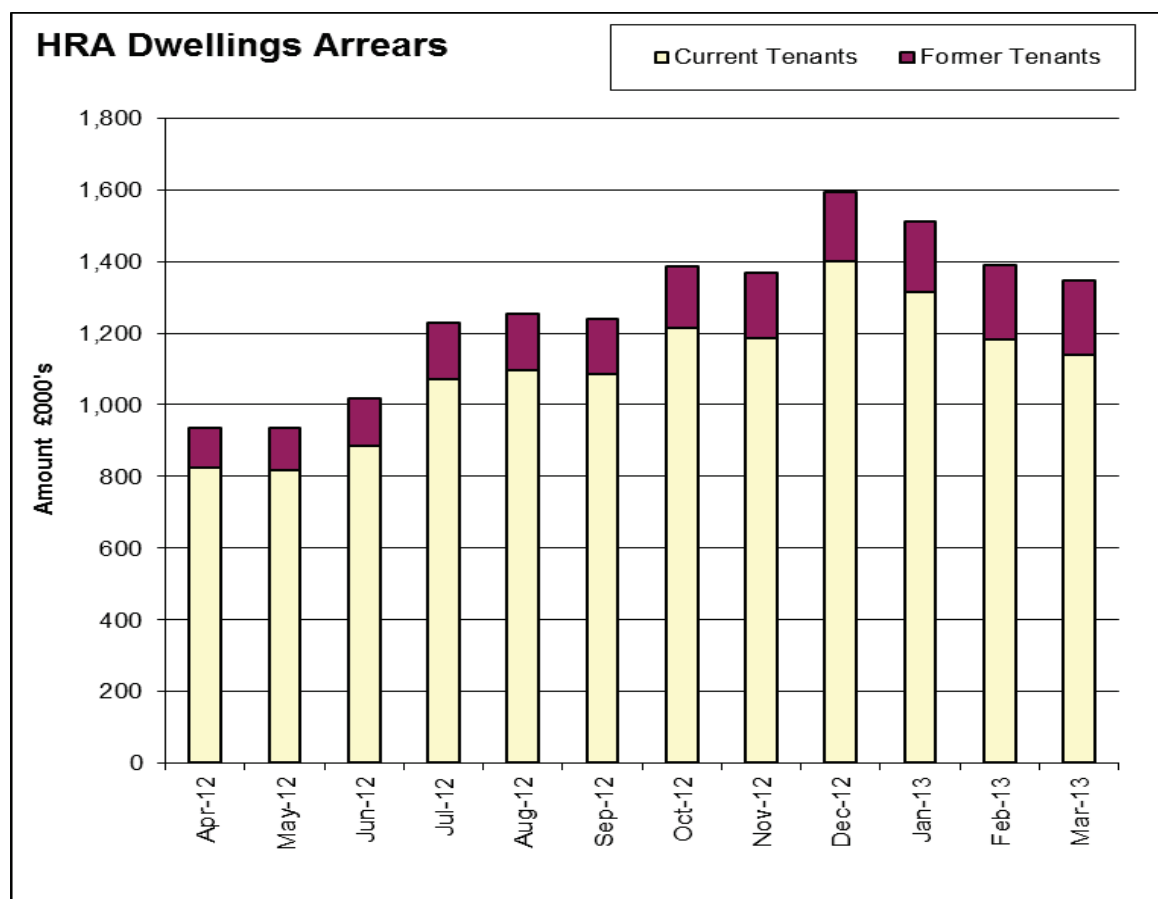
### Housing Rent Arrears

51. Analysis of current and former tenant rent arrears is shown below for the 12 month period ending 31st March 2013.

#### Analysis 1 - HRA Rent Arrears Current Tenants and Former Tenants



## Analysis 2 - HRA Rent Arrears Current Tenants and Former Tenants



52. HRA arrears (including dwellings, garages and rechargeable repairs etc.) totalled £1.348million at the end of the financial year, a reduction of £0.040million on last month's position of £1.388million. The overall total is £0.529million more than that reported 12 months ago, principally created by timing differences arising from the Council being one of the first authorities in the country to pilot Direct Payments. The scheme has been extended and detail regarding compensation for increased arrears resulting from the pilot is still awaited from DWP.

53. Former tenant arrears stood at £0.202million as at the end of March 2013, which is £0.077million higher than that reported for a year ago. This has occurred as a result of several tenants that have recently vacated their property and doing so with substantial arrears associated with their rent accounts. The authority has only written-off approximately £0.022m of former tenant arrears during the year, which is considerably lower than previous years (£0.156m 2011/12, £0.154m 2010/11) and has inevitably contributed to the higher figure. The Rents Team is determined to recover all rent arrears and is confident this figure will reduce during 2013/14.

54. The Council provided a bad debt provision of £0.410million in 2012/13 and only £0.274million was needed despite the increased arrears position.

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GF Outturn Report 12/13	Approved Budget (per Budget book)	Latest Budget	Actual YTD	% Budget Spent to 31st Mar 2013	Outturn Variance Q4	Outturn Variance Q3	Outturn Variance Movement from Q3 to Q4
	£000's	£000's	£000's	%	£000's		
<b>Directorates</b>							
Policy, Culture & Communication	1,525	1,443	1,329	92%	(114)		114
<b>Chief Executive</b>	1,525	1,443	1,329	92%	(114)		114
City Development	1,039	1,441	1,617	112%	176	38	(138)
Housing	7,152	2,962	2,693	91%	(269)	(184)	85
Corporate Property	(3,733)	(3,762)	(4,340)	115%	(578)	(531)	47
<b>City Regeneration</b>	4,457	641	(30)	(5%)	(670)	(677)	(7)
Environmental Development	1,638	1,489	1,393	94%	(96)		96
Leisure & Parks	3,357	3,103	3,117	100%	15	(30)	(45)
Direct Services	(1,113)	(1,034)	(1,682)	163%	(648)	(700)	(52)
Community Development Team		3,754	3,565	95%	(189)	(191)	(2)
<b>Community Services</b>	3,882	7,312	6,394	87%	(918)	(921)	(3)
Transformation Fund	376	621	621	100%			()
Business Improvement & Technology	3,533	3,315	3,283	99%	(32)		32
Customer Services	2,536	2,688	2,735	102%	47		(47)
Finance	2,209	2,172	2,065	95%	(107)	(90)	17
Human Resources & Facilities	1,078	1,616	1,893	117%	277	90	(187)
Law & Governance	2,448	2,549	2,825	111%	276	100	(176)
<b>Organisational Dev &amp; Corp Services</b>	12,180	12,962	13,423	104%	462	100	(362)
<b>Directorate Total Excl SLA's &amp; Capital Charges</b>	22,044	22,357	21,117	94%	(1,241)	(1,498)	(257)
<b>SLA's &amp; Capital Charges</b>	(1,274)	(1,276)	738	(58%)	2,013		(2,013)
<b>Corporate Accounts</b>	1,815	1,831	(849)	(46%)	(2,680)	367	3,047
<b>Contingencies</b>	3,151	775	61	8%	(714)		714
<b>Total Corporate Accounts &amp; Contingencies</b>	4,966	2,606	(788)	()	(3,394)	367	3,761
<b>Net Expenditure Budget</b>	25,736	23,688	21,066		(2,621)	(1,131)	1,490
Transfer to / (from) GF working balances	(1,622)	(1,622)	(1,622)	100%			
Transfer to / (from) Ear Marked Reserves		2,049	5,053		3,005		(3,005)
<b>Net Budget Requirement</b>	24,113	24,114	24,497		383	(1,131)	(1,514)
<b>Funding</b>							
External Funding	11,719	11,719	12,028	103%	309	310	1
Council tax	12,587	12,587	12,661	101%	74		(74)
Less Parish Precepts	(193)	(193)	(193)	100%			
<b>Total Funding Available</b>	24,113	24,113	24,497		383	310	(73)
<b>(Surplus) / Deficit for year</b>			()	()		(1,441)	(1,441)

## Capital Budget and Spend as at 31st March 2013

Capital Scheme	Approved Budget (per Budget Book)	Latest Budget	Actual YTD	% Budget Spent to 31st March 2013	Outturn Variance Q4	Outturn Variance due to Slippage	Outturn Variance due to Over/Under spend	Outturn Variance Q3	Outturn Variance Movement Q3 to Q4
	£	£	£	%	£	£	£	£	£
F1323 Bridge Over Fiddlers Stream		150,000	146,687	98%	(3,313)	(3,313)	0	0	0
F1330 Work of Art Donnington Middle School		1,000	929	93%	(72)	0	(72)	0	(72)
F6013 Bullingdon Community Centre - Enhancement of Community Facilities		4,807	3,270	68%	(1,537)	(1,537)	0	0	0
F6015 Slade Area Public Work of Art		3,379	3,150	93%	(229)	0	(229)	0	(229)
F7008 Landscaping Work at Lamarsh Road		15,636	1,176	8%	(14,460)	(14,460)	0	0	0
F7019 Work of Art at Rose Hill		5,300	9,022	170%	3,722	0	3,722	0	3,722
F7021 St Lukes Church Community Facilities		16,362	16,362	100%	(0)	0	0	0	0
M5014 West End Partnership		315,000	363,222	115%	48,222	0	48,222	0	48,222
<b>City Development</b>	<b>0</b>	<b>511,484</b>	<b>543,817</b>	<b>106%</b>	<b>32,333</b>	<b>(19,311)</b>	<b>51,645</b>	<b>(258,030)</b>	<b>(290,363)</b>
E3511 Renovation Grants	50,000	50,000	52,986	106%	2,986	2,986	0	0	0
E3521 Disabled Facilities Grants	750,000	500,000	573,417	115%	73,417	73,417	0	0	0
E3553 Carbon Reduction									
<b>Environmental Development</b>	<b>800,000</b>	<b>550,000</b>	<b>626,403</b>	<b>114%</b>	<b>76,403</b>	<b>76,403</b>	<b>0</b>	<b>(200,000)</b>	<b>(276,403)</b>
G1013 Dawson Street Gardens	19,000	0	0	0%	0	0	0	0	0
G3013 Diamond Place car park footpath extension	6,324	0	0	0%	0	0	0	0	0
G3014 East Oxford Community Association Improvements	2,550	0	0	0%	0	0	0	0	0
G4006 Florence Park CC Kitchen	1,411	0	0	0%	0	0	0	0	0
G6010 Mount Place Square Refurbishment	383	0	0	0%	0	0	0	0	0
G6011 St Lukes Church Hall Extension	10,000	10,000	10,000	100%	0	0	0	0	0
G6012 South Oxford Community Centre Main Hall Replacement Ceiling	9,238	0	0	0%	0	0	0	0	0
G3015 NE Marston Croft Road Recreation Ground	25,000	25,000	5,700	23%	(19,300)	(19,300)	0	0	0
G3016 Peat Moors all weather pitch	17,000	0	0	0%	0	0	0	0	0
G3017 CCTV Replacement Programme	84,271	0	0	0%	0	0	0	0	0
M5015 Old Fire Station	77,125	305,000	159,496	52%	(145,504)	0	(145,504)	0	(145,504)
<b>Communities and Housing</b>	<b>252,302</b>	<b>340,000</b>	<b>175,196</b>	<b>52%</b>	<b>(164,804)</b>	<b>(19,300)</b>	<b>(145,504)</b>	<b>15,000</b>	<b>179,804</b>
A4808 Blackbird Leys LC Improvements	128,278	0	0	0%	0	0	0	0	0
A4812 Building Improvements (GF Leisure)	22,684	0	0	0%	0	0	0	0	0
A4813 Hinksey Pools main pool liner	110,000	110,000	117,400	107%	7,400	0	7,400	0	7,400
A4814 Leisure Centre substantive repairs	419,641	242,326	174,011	72%	(68,316)	(60,916)	(7,400)	(7,400)	(7,400)
<b>Offices for the Future</b>									
Q2000 Offices for the Future	383,347	543,347	563,391	104%	20,044	0	20,044	0	20,044
<b>Community Centres</b>									
B0022 DDA East Oxford Community Centre Lift	109,083	103,000	101,077	98%	(1,923)	0	(1,923)	0	(1,923)
B0033 Community Centres	315,765	315,765	224,069	71%	(91,696)	(91,696)	0	0	0
B0034 Rose Hill Community Centre	148,000	90,000	81,662	91%	(8,338)	(8,338)	0	0	0
<b>Covered Market</b>									
B0010 Covered Market signage improvements	42,941	22,000	29,584	134%	7,584	7,584	0	0	0
B0027 Covered Market - Improvements & Upgrade to Roof	76,061	70,061	13,090	19%	(56,971)	(56,971)	0	0	0
B0028 Covered Market - New Roof Structures to High St Entrances	115,000	25,000	1,800	7%	(23,200)	(23,200)	0	0	0
B0036 Investment ~ Covered Market	232,251	182,251	150,451	83%	(31,800)	(31,800)	0	0	0
B0063 Covered Market Replacement Sprinkler System	150,000	20,000	24,879	124%	4,879	4,879	0	0	0
B0064 Covered Market - Improvements to Emergency Lighting	50,000	50,000	79,790	160%	29,790	29,790	0	0	0
<b>Investment Properties</b>									
B0003 Roof Repairs & Ext Refurbishment 44-46 George St	30,000	30,000	2,923	10%	(27,077)	(27,077)	0	0	0
B0040 Investment ~ Broad Street	167,500	154,500	35,416	23%	(119,084)	(113,911)	(5,173)	(5,173)	(5,173)
B0041 Investment - Misc City Centre Properties	7,000	7,000	9,520	136%	2,520	2,520	0	0	0
B0042 Investment - Gloucester Green	5,500	17,000	21,457	126%	4,457	0	4,457	0	4,457
B0044 Investment - Outer City	15,000	18,000	17,846	99%	(154)	0	(154)	0	(154)
B0045 Investment ~ St. Michael's Street	43,000	0	3,750	0%	3,750	3,750	0	0	0
B0046 Investment - Ship Street	20,000	0	500	0%	500	500	0	0	0
B0070 Ramsay House Replacement Comfort Cooling System	300,000	175,000	181,294	104%	6,294	0	6,294	0	6,294
<b>Miscellaneous Council Properties</b>									
B0031 Miscellaneous Admin Buildings	25,000	0	0	0%	0	0	0	0	0
B0035 Miscellaneous Civic Properties	52,218	52,218	58,028	111%	5,809	0	5,809	0	5,809
B0037 Car Parks	135,380	62,380	69,328	111%	6,948	6,948	0	0	0
B0039 Houses and Lodges	16,423	0	0	0%	0	0	0	0	0
B0052 Miscellaneous Properties	75,000	0	0	0%	0	0	0	0	0
B0053 Public Toilets	489	0	0	0%	0	0	0	0	0
B0055 Property Surveys	57,600	116,000	120,521	104%	4,521	0	4,521	0	4,521
B0059 FIT Panels on Leisure Buildings	0	1,150	9,683	842%	8,533	0	8,533	0	8,533
B0060 Feasibility Studies Depot Relocation	250,000	90,000	59,453	66%	(30,547)	0	(30,547)	0	(30,547)
<b>Parks &amp; Cemeteries</b>									
B0048 Leisure - Cemeteries	13,500	13,500	16,866	125%	3,366	3,366	0	0	0
B0050 Leisure ~ Depots	74,000	74,000	70,191	95%	(3,809)	(3,809)	0	0	0
B0051 Leisure - Pavilions	110,500	60,500	120,225	199%	59,725	59,725	0	0	0
B0065 Parks & Cemetery - Masonry Walls & Path Improvements	40,000	40,000	25,326	63%	(14,674)	(14,674)	0	0	0
B0067 Fencing Repairs across the City	150,000	75,000	91,564	122%	16,564	16,564	0	0	0
B0071 Parks properties (H&S works)	36,648	14,648	7,624	52%	(7,024)	(7,024)	0	0	0
A4825 Oxford City Football Ground		65,000	65,000	100%	0	0	0	0	0
A4823 Cemetery Development	15,000	2,500	2,479	99%	(21)	0	(21)	0	(21)
<b>Town Hall</b>									
B0054 Town Hall	795,852	398,000	390,220	98%	(7,780)	(7,780)	0	0	0
B0056 City Centre Office Security	75,904	0	0	0%	0	0	0	0	0
B0057 - Town Hall Fire Alarm	195,000	350,904	339,064	97%	(11,840)	0	(11,840)	0	(11,840)
B0068 Town Hall - Conference System Refurbishment	400,000	100,000	66,988	67%	(33,012)	(33,012)	0	0	0
<b>Corporate Assets</b>	<b>5,409,565</b>	<b>3,691,050</b>	<b>3,346,467</b>	<b>91%</b>	<b>(344,584)</b>	<b>(344,584)</b>	<b>0</b>	<b>(329,022)</b>	<b>15,562</b>
C3041 New server for telephone system	11,288	0	0	0%	0	0	0	0	0
C3042 Customer First Programme	115,670	0	0	0%	0	0	0	0	0
<b>Customer Services</b>	<b>126,958</b>	<b>0</b>	<b>0</b>	<b>0%</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>
A1300 Playground Refurbishment	414,797	404,797	419,600	104%	14,803	0	14,803	0	14,803
A1301 Play Barton	113,538	20,951	20,963	100%	12	0	12	0	12

## Capital Budget and Spend as at 31st March 2013

Capital Scheme	Approved Budget (per Budget Book)	Latest Budget	Actual YTD	% Budget Spent to 31st March 2013	Outturn Variance Q4	Outturn Variance due to Slippage	Outturn Variance due to Over/Under spend	Outturn Variance Q3	Outturn Variance Movement Q3 to Q4
A4810 New Build Completion Pool	7,582,254	22,000	21,337	97%	(663)	0	(663)	0	(663)
A4824 Contribution to Skate Park	50,000	313,813	332,806	106%	18,993	0	18,993	0	18,993
Z3010 Rosehill/Iffley Play Sites	38,000	0	0	0%	0	0	0	0	0
A4815 Leisure Centre Improvement Work	700,000	324,013	276,762	85%	(47,251)	(47,251)	0	0	0
A4830 Develop new burial space	0	0	0	0%	0	0	0	0	0
A4818 Lye Valley & Chiswell Valley Walkways	62,000	62,000	0	0%	(62,000)	(62,000)	0	0	0
A4816 Sports Pavilions	450,000	100,000	34,182	34%	(65,818)	(65,818)	0	0	0
A4819 Rose Hill Cemetery Water Leak	8,000	8,000	7,300	0%	(700)	0	(700)	0	(700)
A4820 Upgrade Existing Tennis Courts	50,000	50,000	40,817	82%	(9,183)	(9,183)	0	0	0
A4821 Upgrade Existing Multi-Use Games Area	76,000	93,000	77,824	84%	(15,176)	(15,176)	0	0	0
A4822 Recycling & Bin Improvement (City Parks)	38,000	75,000	75,000	100%	0	0	0	0	0
F0015 Cycle Oxford	100,000	1,200	5,497	458%	4,297	4,297	0	0	0
<b>City Leisure</b>	<b>9,682,589</b>	<b>1,474,774</b>	<b>1,312,088</b>	<b>89%</b>	<b>(162,686)</b>	<b>(195,132)</b>	<b>32,446</b>	<b>(572,841)</b>	<b>(410,155)</b>
F0011 Pay & Display Parking in the Car Parks	84,000	0	0	0%	0	0	0	0	0
F0012 P & R Purchase of Capital Items - Peartree, Redbridge	191,644	10,000	27,335	273%	17,335	17,335	0	0	0
F0014 Purchase of ANPR for use in car park enforcement	50,000	32,000	48,143	150%	16,143	16,143	0	0	0
R0005 MT Vehicles/Plant Replacement Programme.	1,500,500	1,497,500	1,318,622	88%	(178,879)	(178,879)	0	0	0
T2266 Purchase of Brown Bins Waste Recycling	7,907	7,907	7,907	100%	0	0	0	0	0
T2267 Purchase of two hand operated street sweepers	30,000	30,000	30,000	100%	0	0	0	0	0
T2268 Purchase of two vehicles for garden waste collection	155,000	155,000	162,610	105%	7,610	7,610	0	0	0
T2269 Toilet improvements	185,000	191,000	194,055	102%	3,055	3,055	0	0	0
T2270 Bin stores for council flats to assist recycling	325,000	325,000	329,158	101%	4,158	0	4,158	0	4,158
T2271 Low emission vehicle for litter bin collection	20,000	20,000	19,929	100%	(71)	0	(71)	0	(71)
T2272 Wyatt Road Resurfacing Works	15,000	15,000	14,765	98%	(235)	0	(235)	0	(235)
<b>Direct Services</b>	<b>2,564,051</b>	<b>2,283,407</b>	<b>2,152,525</b>	<b>94%</b>	<b>(130,882)</b>	<b>(134,735)</b>	<b>3,852</b>	<b>(219,000)</b>	<b>(88,118)</b>
C3039 ICT Infrastructure	260,434	260,434	220,719	85%	(39,715)	0	(39,715)	0	(39,715)
C3043 ICT Development	200,000	150,000	190,662	127%	40,662	0	40,662	0	40,662
C3044 Software Licences	177,000	165,426	165,514	100%	88	0	88	0	88
<b>Business Transformation</b>	<b>637,434</b>	<b>575,860</b>	<b>576,895</b>	<b>100%</b>	<b>1,035</b>	<b>0</b>	<b>1,035</b>	<b>0</b>	<b>(1,035)</b>
<b>GF Total</b>	<b>19,472,898</b>	<b>9,426,576</b>	<b>8,733,390</b>	<b>93%</b>	<b>(693,186)</b>	<b>(636,659)</b>	<b>(56,526)</b>	<b>(1,563,893)</b>	<b>(870,707)</b>
<b>External Contracts</b>									
N6384 Foresters Towers	1,000,000	35,000	6,564	19%	(78,436)	0	(78,436)	0	28,436
N6387 Controlled Entry	0	175,000	138,997	79%	(36,003)	0	(36,003)	0	36,003
N6393 External Doors	200,000	200,000	172,044	86%	(27,956)	0	(27,956)	0	27,956
N7020 External Adaptations	0	250,000	78,405	31%	(171,595)	0	(171,595)	0	171,595
N7021 Extensions	0	0	32,554	0%	32,554	0	32,554	0	(32,554)
N7018 Minox	0	19,500	1,063	5%	(18,437)	0	(18,437)	0	18,437
N6394 Windows	300,000	300,000	299,257	100%	(743)	0	(743)	0	743
N6389 Damp-proof works (K&B)	0	90,000	88,106	98%	(1,894)	0	(1,894)	0	1,894
N6392 Roofing	250,000	150,000	132,428	88%	(17,572)	0	(17,572)	0	17,572
N6386 Structural	0	125,000	91,609	73%	(33,391)	0	(33,391)	0	33,391
N7010 Headley House - Refurbishment	0	0	2	0%	2	0	2	0	(2)
N6427 Shops	0	69,000	65,232	95%	(3,768)	0	(3,768)	0	3,768
N6396 Sheltered Blocks	0	0	602	0%	602	0	602	0	(602)
N7028 Non Dwelling HRA Assets	117,000	48,000	0	0%	(48,000)	0	(48,000)	0	48,000
N7026 Communal Areas	150,000	35,000	38,027	109%	3,027	0	3,027	0	(3,027)
N7027 Environmental Improvements	100,000	0	0	0%	0	0	0	0	0
<b>New Build</b>									
N7010 Headley House - Refurbishment	0	0	2	0%	0	0	0	0	0
N7011 Cardinal House - Refurbishment	0	15,427	(5,434)	0%	(20,861)	0	(20,861)	0	20,861
N7019 Lambourn Road	0	(12,716)	6,673	0%	19,389	0	19,389	0	(19,389)
N7029 HCA New Build	0	550,000	727,007	132%	177,007	0	177,007	0	(177,007)
<b>Internal Contracts</b>									
N6385 Adaptations for disabled	900,000	600,000	570,510	95%	(29,490)	0	(29,490)	0	29,490
N6390 Kitchens & Bathrooms	2,850,000	2,850,000	3,128,858	110%	278,858	0	278,858	0	(278,858)
N6391 Heating	1,256,000	1,256,000	1,230,123	98%	(25,877)	0	(25,877)	0	25,877
N6388 Major Voids	850,000	550,000	456,386	83%	(93,614)	0	(93,614)	0	93,614
N6395 Electrics	422,000	330,000	330,632	100%	632	0	632	0	(632)
<b>New HRA Bids Approved for 2013/14</b>									
<b>Housing Revenue Account</b>	<b>8,395,000</b>	<b>7,635,211</b>	<b>7,589,646</b>	<b>99%</b>	<b>(45,567)</b>	<b>0</b>	<b>(45,567)</b>	<b>0</b>	<b>45,567</b>
<b>Grand Total</b>	<b>27,867,898</b>	<b>17,061,787</b>	<b>16,323,036</b>	<b>96%</b>	<b>(738,753)</b>	<b>(636,659)</b>	<b>(102,093)</b>	<b>(1,563,893)</b>	<b>(825,140)</b>
<b>Financing - General Fund</b>									
Developer contributions	0	512,503	514,011		1,508	1,508			
Government Funding	590,000	766,927	1,253,911		486,984	486,984			
Capital Receipts	7,079,787	2,382,140	1,613,449		(768,691)	(712,164)	(56,527)	(1,563,894)	(870,708)
Direct Revenue Funding	3,600,000	3,600,000	3,270,642		(329,362)	(329,362)			
Revenue Reserves	457,505	617,505	550,220		(67,285)	(67,285)			
DRF For Vehicles	1,481,485	1,547,500	1,531,161		(16,339)	(16,339)			
Prudential Borrowing	6,264,121								
<b>Total General Fund Financing</b>	<b>19,472,898</b>	<b>9,426,576</b>	<b>8,733,394</b>	<b>93%</b>	<b>(693,186)</b>	<b>(636,659)</b>	<b>(56,527)</b>	<b>(1,563,894)</b>	<b>(870,708)</b>
<b>Financing - HRA</b>									
MRR	8,395,000	7,635,211	7,635,211		(45,567)	0	(45,567)	0	45,567
Capital receipts	0								
Decent Homes Reserve	0								
Prudential Borrowing	0								
External Contributions	0								
<b>Total HRA Financing</b>	<b>8,395,000</b>	<b>7,635,211</b>	<b>7,635,211</b>	<b>100%</b>	<b>(45,567)</b>	<b>0</b>	<b>(45,567)</b>	<b>0</b>	<b>45,567</b>
<b>Total Financing</b>	<b>27,867,898</b>	<b>17,061,787</b>	<b>16,368,605</b>	<b>96%</b>	<b>(738,753)</b>	<b>(636,659)</b>	<b>(102,093)</b>	<b>(1,563,894)</b>	<b>(825,141)</b>

## HRA DRAFT OUTTURN 2012-13

HRA Outturn Report 12/13	Approved Budget (per budget book)	Latest Budget	Actual YTD	% Budget Spent to 31st March 2013	Outturn Variance Q4	Outturn Variance Q3	Outturn Variance Movement from Q3 to Q4
	£'000	£'000	£'000	%	£'000	£'000	£'000
Dwelling Rent	(36,508)	(36,508)	(37,140)	102%	(632)	90	722
Service Charges	(956)	(956)	(970)	101%	(13)		13
Shops/Garages/Furn/Other Rent	(2,208)	(2,300)	(2,433)	106%	(133)		133
Rechargeable Fees/Other	(721)	(621)	(187)	30%	434		(434)
<b>Net Income</b>	<b>(40,393)</b>	<b>(40,386)</b>	<b>(40,730)</b>		<b>(345)</b>	<b>90</b>	<b>435</b>
Rent/Income Collection	361	357	(866)	-242%	(1,222)	(1,296)	(74)
Tower Blocks and Flats	598	597	490	82%	(108)	2	110
Management/Infrastructure	1,839	1,883	2,175	116%	292	(46)	(338)
Depreciation	8,147	5,888	5,888	100%	( )		
ICT services	281	281	281	100%	( )		
Contact Centre	786	786	782	100%	(4)		4
Rent Team	499	502	446	89%	(56)	122	178
Tenant's Participation	208	250	226	91%	(24)	(42)	(18)
Furnished Tenancies	473	543	487	90%	(57)		57
Local Housing Management	835	837	875	105%	38	(4)	(42)
Major Projects/Policy/Technical	626	626	531	85%	(95)	(2)	93
Bad Debt Provision	410	410	274	67%	(136)		136
Site Preparation	201	200	134	67%	(66)		66
<b>Sub Total Tenancy Management</b>	<b>15,264</b>	<b>13,160</b>	<b>11,722</b>		<b>(1,438)</b>	<b>(1,266)</b>	<b>172</b>
Caretaking Service	941	941	941	100%			
Garden Scheme	268	268	268	100%			
Void Property officers/Garage team	248	248	248	100%			
Day to Day Responsive	4,450	4,463	4,844	109%	382		(382)
Planned Maintenance	4,938	5,205	5,286	102%	81	400	319
Direct Services Capital Overheads	636	740	518	70%	(222)		222
<b>Sub Total Repairs &amp; Maintenance</b>	<b>11,481</b>	<b>11,865</b>	<b>12,106</b>		<b>241</b>	<b>400</b>	<b>159</b>
<b>Total Expenditure</b>	<b>26,746</b>	<b>25,025</b>	<b>23,828</b>		<b>(1,197)</b>	<b>(866)</b>	<b>331</b>
Net Transfer To/From Reserves	7,000	6,862	7,506	109%	644	(780)	(1,424)
Revenue Contribution to Capital	383	2,642	1,702	64%	(940)	(383)	557
Additional HRA Subsidy			(231)		(231)		231
Interest On Balances	(35)	(35)	(64)	184%	(29)	(50)	(21)
Interest Payable	8,055	7,100	6,895	97%	(205)		205
CDC, Pensions & Retirement Costs	111	112	15	13%	(97)		97
<b>Total Appropriations</b>	<b>15,514</b>	<b>16,682</b>	<b>15,822</b>		<b>(860)</b>	<b>(1,213)</b>	<b>(353)</b>
<b>Total HRA (Surplus)/Deficit</b>	<b>1,867</b>	<b>1,321</b>	<b>(1,080)</b>		<b>(2,402)</b>	<b>(1,989)</b>	<b>413</b>

SUMMARY OF CARRY FORWARD REQUESTS 2012/13

Description	Amount Requested	Directors Not		Total
		Approved	Approved	
	£	£	£	£
PCC	30,000	0	30,000	30,000
City Development	157,000	150,000	7,000	157,000
Housing	140,000	0	140,000	140,000
Leisure and Parks	5,000	0	5,000	5,000
Direct Services	250,000	150,000	100,000	250,000
Community Development	245,301	237,247	8,133	245,380
Customer Services	257,696	124,031	133,665	257,696
Human Resources and Facilities	82,946	82,946	0	82,946
Law and Governance	21,124	21,124	0	21,124
	<b>1,189,067</b>	<b>765,348</b>	<b>423,798</b>	<b>1,189,146</b>
HRA	182,896	182,896	0	182,896

**SUMMARY OF CARRY FORWARD REQUESTS 2012/13  
POLICY, CULTURE AND COMMUNICATION**

Description	Submitted By	Amount Requested	Directors		Total	Consequences of not approving
			Approved	Not Approved		
Customer First - Revenue	P McQuitty	£ 30,000	£ 30,000	£ 30,000	£ 30,000	Income targets for 2013/14 will not be realised.
		30,000	0	30,000	30,000	

**SUMMARY OF CARRY FORWARD REQUESTS 2012/13  
CITY DEVELOPMENT**

Description	Submitted By	Amount Requested	Directors		Total	Consequences of not approving
			Approved	Not Approved		
		£	£	£	£	
Cycle City	M Bates	7,000	7,000	7,000	7,000	Continue with work to improve cycle network and encourage more cycling in the City.
Unlawful dwellings	j Copley	150,000	150,000	150,000	150,000	
		<u>157,000</u>	<u>150,000</u>	<u>7,000</u>	<u>157,000</u>	

**SUMMARY OF CARRY FORWARD REQUESTS 2012/13  
HOUSING**

Description	Submitted By	Amount Requested	Directors		Total	Consequences of not approving
			Approved	Not Approved		
		£	£	£	£	
Temporary Accommodation Costs	S Clarke	100,000	100,000		100,000	Underspends incurred in 2012/13 to use against targets set for 2013/14
Welfare Reform - Organisational Response	S Clarke	40,000	40,000		40,000	Staffing underspends incurred in 2012/13 used to fund outreach officer in 2013/14 re Welfare Reform
		<u>140,000</u>	<u>0</u>		<u>140,000</u>	<u>140,000</u>



**SUMMARY OF CARRY FORWARD REQUESTS 2012/13  
LEISURE AND PARKS**

Description	Submitted By	Amount Requested	Directors		Total	Consequences of not approving
			Approved	Not Approved		
		£	£	£	£	
Parks Training	Sarah Bowers	5,000		5,000	5,000	Pursuance to gain Arboriculture Association accreditation
		5,000	0	5,000	5,000	

**SUMMARY OF CARRY FORWARD REQUESTS 2012/13**  
**DIRECT SERVICES**

Description	Submitted By	Amount Requested	Directors		Total	Consequences of not approving
			Approved	Not Approved		
March Road Depot Improvements	G Bourton	£ 250,000	£ 150,000	£ 100,000	£ 250,000	To improve the layout of Marsh Road Depot to facilitate increased turnover in line with MTFP. No budget was under spent as these resources are the utilisation of additional income that was generated by the service in 2012/13.
		250,000	150,000	100,000	250,000	

**SUMMARY OF CARRY FORWARD REQUESTS 2012/13**  
**COMMUNITY DEVELOPMENT**

Description	Submitted By	Amount Requested	Directors		Total	Consequences of not approving
			Approved	Not Approved		
		£	£	£	£	
Ward Member budget	A Cristofoli	39,113	39,113		39,113	To support Member spends in their Wards
Older Peoples Isolation Project	A Cristofoli	3,133		3,133	3,133	Represents the balance of the £20k awarded in 2012/13 to support isolated older people in community.
BBL Work club	A Cristofoli	10,049	10,049		10,049	Deliver drop in sessions for unemployed in the area.
Social Inclusion Fund	A Cristofoli	50,000	50,000		50,000	This was a bid provided in 2012/13 but not actioned.
Homeshare Project	A Cristofoli	5,000		5,000	5,000	Scoping exercise will not be undertaken
Youth Ambition Project	I Brooke	106,079	106,079		106,079	Agreed programme of project scoping, albeit delayed, will not be able to be implemented in full.
Youth Ambition Grants Programme	A Cristofoli	32,006	32,006		32,006	Community and voluntary groups would not receive their funding.
		<u>245,301</u>	<u>237,247</u>	<u>8,133</u>	<u>245,380</u>	

**SUMMARY OF CARRY FORWARD REQUESTS 2012/13**  
**CUSTOMER SERVICES**

Description	Submitted By	Amount Requested	Directors		Total	Consequences of not approving
			Approved	Not Approved		
		£	£	£	£	
Customer First - Revenue	H Bishop	12,145		12,145	12,145	Not known. Depends on outcome of ICT review and prioritisation.
Discretionary Housing Payment Expenditure	H Bishop	121,520		121,520	121,520	Unable to top up claimants Housing Benefit rent requests. Thus more people getting into debt. Have £0.916m in Homelessness Reserve.
New Burdens Funding for Council Tax Benefit reform	H Bishop	53,707	53,707		53,707	Unused grant money from DCLG to develop and deliver a support system for Council Tax Benefit claimants.
Universal Credit Pilot	H Bishop	32,614	32,614		32,614	Unable to support benefit claimants back into work.
Funding to assist with Implementation of Welfare Reform	H Bishop	37,710	37,710		37,710	Grant money from DCLG to assist in the delivery of Welfare Reform.
		<u>257,696</u>	<u>124,031</u>		<u>133,665</u>	<u>257,696</u>

**SUMMARY OF CARRY FORWARD REQUESTS 2012/13  
HUMAN RESOURCES AND FACILITIES**

Description	Submitted By	Amount Requested	Directors		Total	Consequences of not approving
			Approved	Not Approved		
Apprentices	S Howick	£ 82,946	£ 82,946		£ 82,946	Appointment of apprentices was made mid-year, so this is to finance the salary commitments that now fall in 2013/14.
		£ 82,946	£ 82,946	0	£ 82,946	

**SUMMARY OF CARRY FORWARD REQUESTS 2012/13**  
**LAW AND GOVERNANCE**

Description	Submitted By	Amount Requested	Directors		Total	Consequences of not approving
			Approved	Not Approved		
Archivist Project	J Thomas	£ 21,124	£ 21,124	£ 0	£ 21,124	The Archivist project of the City's valuable historical records will not be undertaken.
		21,124	21,124	0	21,124	

**SUMMARY OF CARRY FORWARD REQUESTS 2012/13**  
**HRA**

Description	Submitted By	Amount Requested	Directors		Total	Consequences of not approving
			Approved	Not Approved		
External Painting	C Pyle	£ 182,896	£ 182,896	£	£ 182,896	Delays in pre-painting works planned for August 2013.
		182,896	182,896	0	182,896	

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**To:** City Executive Board

**Item No:**

**Date:** 12th June 2013

**Report of:** Head of Finance

**Title of Report:** Corporate Debt Management Policy

## Summary and Recommendations

**Purpose of report:** To seek the approval and formal adoption of the Oxford City Council Corporate Debt Management Policy.

**Key Decision:** No

**Executive lead member:** Councillor Ed Turner

**Policy Framework:** Efficient and Effective Council

**Recommendations:** That the City Executive Board;

Approve the Corporate Debt Management Policy and associated action plan, as set out in Appendices A & B attached.

## APPENDICES TO REPORT

### APPENDIX A: Revised Debt Management Policy

## BACKGROUND

- 1.1 The Council's income is diverse in nature ranging from low value debts for one-off items, significant value debts for potentially re-occurring items such as overpaid housing benefits, to business rates, council tax and council house rents.
- 1.2 In respect of income collection the Council's Financial Rules state that Heads of Service are responsible for :
  - raising invoices as soon as reasonably practical for all goods and services provided on credit; and
  - following the systems and procedures laid out by the Head of Finance as contained in the Cost Centre Managers Manual and within the Guidance on Debt Collection on the intranet
- 1.3 In total it is estimated that the Council raises invoices for over £200 million of income per annum using a number of systems depending on the category of debt including

Capita	- Business Rates, Council Tax and overpaid Housing Benefits
Iworld	- Council House Rents
Agresso	- General Debtors
Uniform	- Licences
- 1.4 As at 31<sup>st</sup> March 2013 arrears stood at around £24.6 million.
- 1.5 In 2012/13 the collection rate for business rates was 97.81% compared to a target of 98%. On council tax the collection rate was 97.01% compared to a target of 97.10%. On rent arrears the collection rate was 96.83% compared to a target of 97.60%. The increase in rent arrears is attributable to the Direct Payments pilot that would not have been taken into account when the target was set.
- 1.6 Reduced Government grant and our increased dependence on income from business rates and trading, along with pressures on tenants and Council Tax payer's incomes due to the economic downturn and welfare changes means effective debt collection is more important than ever.
- 1.7 Over the past few months Finance staff have consequently been working with Managers across the Council to:
  - Review current processes for debt management with a view to improving efficiency ; and
  - Updating the Council's current Debt Management Policy

## FINDINGS

- 1.8 A review of processes and procedures indicates that:

- The Council should introduce a process of credit checks before supplying certain goods and services
- The Council should always ensure that invoices are raised promptly, at the point of providing goods or services
- Debt collection across the Council could be more co-ordinated
- Direct Debit, the cheapest method of collection, could be more actively promoted across all areas of the Council
- Recovery of unregulated debt should be managed by the Finance team. Aged debt reporting needs to be specified, automated and used across the Council.

1.9 The revised Debt Management Policy attached at Appendix A seeks to address the issues raised above. Member's attention is specifically drawn to the following areas of the policy:

- To limit the circumstances in which credit will be offered and seek payment in advance wherever possible.
- The Council will encourage payment by electronic means and seek to eradicate payment by cash and cheques where possible
- The Council accepts payment by debit and credit card , making a 1.5% charge for credit card transactions – Para 4.5
- The Council makes use of debt collection agencies for hard to collect debts – Para 4.6
- The Council will set clear procedures for dunning processes for unregulated debts. - Para 4.6
- The Council will check other areas of the Council's business before refunds are issued and will seek to offset debts, including against creditor payments where possible – Para 4.16
- Where multiple debts are owed instalment repayments will be allocated on a pro rate basis unless the customer advises otherwise Para 4.10
- Collections staff will take into account customer's individual financial circumstances when agreeing instalment arrangements to ensure they are reasonable and will not cause undue financial hardship. Para 3.1(10)

An implementation plan set out in Appendix B, driven by the Head of Finance will seek to embed the new policy.

### **1.10 Financial Implications**

The Corporate Debt Management policy is designed to standardise processes for the granting of credit, the recognition of revenues, and the collection of debt. However, given the current economic outlook, and the welfare reforms being implemented from this financial year onwards, increased pressure will be felt by a large number of tenants and homeowners on their own budgets, and this will ultimately impact on their ability to pay their bills promptly.

The reduction in household's disposable income will obviously also have a detrimental effect to businesses in the city, with lower turnover, resulting in higher cases of closure, and even those businesses which do survive, will do so with lower income levels. Small businesses are also currently encountering difficulty in

securing affordable funding from the banking sector, which will result in poor cash flow, and therefore will find it more difficult to pay Council invoices promptly.

An implementation plan to embed the Debt Management Policy, together with the suggested changes contained within this report, will be driven by the Head of Finance.

### **1.11 Legal Implications**

Many discretionary Council services are provided on a contractual basis. All contracts and invoices or demands for payment should contain a clear explanation of the terms upon which the services are provided including terms as to payment. It is the breach of those terms which would entitle the Council to pursue, if necessary through legal proceedings, the recovery of the debt. Debtors will always receive a letter before action before proceedings are issued by the Council in the hope that the issuing of proceedings may be avoided.

There are a range of enforcement options available to the Council, including Court action such as instructing bailiffs, attachment of earnings orders, charging orders upon property, committal to prison, bankruptcy. Officers will use the most appropriate method of debt collection depending on the circumstances of the case and this may include a combination of a number of enforcement options.

### **1.12 Risk Implications**

By introducing this policy, there is reputation risk to the Council, as we are introducing stronger collections processes at a time when our customers are looking for more flexibility, rather than less. However, as part of the policy we are ensuring that all officers will be aware that there is a need to ensure that all customers who are struggling to fulfil their obligations in relation to debts with the council are provided details of organisations which can provide help and advice with regard to debt.

With the current economic climate, there is an increased risk of homelessness within the city, reducing incomes to the council, whilst increasing costs in re-housing homeless individuals and families.

Further deterioration of the economy may result in larger than expected cuts to local authority funding, adding pressure to an already reduced budget.

### **1.13 Equalities Impact Assessment**

The Public Sector Equality Duty requires public bodies to consider how the decisions that they make, and the services they deliver, affect people who share different protected characteristics which are; age, disability, gender reassignment, pregnancy and maternity, race, religion or belief, sex, sexual orientation, marriage and civil partnership.

The main potential impact with this policy arises from the debts accrued through Council Tax and Housing rent arrears and can be associated with the socio-disadvantaged residents and low earners where there will inevitably be groups

with protected characteristics. The following table identifies potential risks and factors that may mitigate this

<b>Risks</b>	<b>Mitigations</b>
<p>Seeking to eradicate payment by cash or cheque could adversely affect those in this category as they will be less likely to have access to the alternative forms of payment</p>	<p>Work with relevant groups to educate and raise capability to manage finances through electronic methods. Ensure collection staff are aware of the need to support this</p> <p>To consider the impact on the debtor of the consequences of any recovery options pursued, and proportionality of these.</p>
<p>Inability to pay off debts or the negative impact of being unable to meet repayment agreements.</p>	<p>Individual case review and realistic repayment plans. Recognise the difference between the debtor who won't pay and the debtor that can't.</p> <p>Where appropriate, to encourage the debtor to make contact with relevant organisations for debt management advice.</p> <p>Ability to pay is a paramount concern when considering debt recovery. Discounts against Council Tax, and statutory benefits against Council house rents are provided on application, which are designed to offset the effects of low income and the ability to pay.</p>

## **Appendix A**

### **Oxford City Council – Corporate Debt Management Policy**

- 1. Background**
- 2. Introduction**
- 3. General Principles**
- 4. Delivering the Policy**
- 5. Social Inclusion**
- 6. Monitoring and Performance Measures**

## 1. **Background**

Efficient and well administered debt management is vital to the Council; a corporate and consistent approach to debt management will be taken to ensure the Council's interests are protected, and residents who are struggling financially are supported to pay through the provision of appropriate advice and early intervention.

## 2. **Introduction**

### 2.1 This policy:

- sets out the general principles to be applied in relation to debt management across all services provided by Oxford City Council
- has been developed to ensure a consistent approach to the management of debts across the authority
- applies to all sums owing and all services/service areas of the Council
- includes provisions to assist customers to pay sums owed in a sustainable way
- ensures that before enforcement proceedings are commenced a review of each customer's financial circumstances takes place aimed at achieving a realistic and affordable agreed payment plan for all monies owed to the Council
- debtors will be signposted to debt advice as appropriate.

### 2.2 The main service areas involved in debt recovery are Customer Services, Finance, Direct Services, Law & Governance, Housing Services and Corporate Property.

The debts involved are primarily:

- Council Tax
- Non Domestic Rates
- Overpaid Housing Benefit
- Housing Rent
- Commercial Rent
- Leaseholder payments
- Commercial and Garden Waste Collection
- Sundry Debts (includes licensing, sundry rents, subscriptions, etc.)
- Car Parking excess charges

### 2.3 It is vital the Council promptly collects optimal levels of income due within the agreed contracted terms of the service provided. This helps the Council to pay for the services it delivers. Non payment of bills ultimately impacts on the services the Council is able to provide. It is the Council's duty to be equitable, efficient and proportionate in the collection of monies owed. It makes sense for the Council, and all those paying for and receiving services, if the system for paying bills is as simple as possible.

### **3. General Principles**

3.1 The general principles adopted in this policy are as follows:

- To ensure a professional, consistent and timely approach to debt recovery action across all of the Council's functions.
- To limit the circumstances in which credit is offered. To consider the customer's circumstances and ability to pay prior to granting any credit terms, and to only extend credit to those customers in a position to pay the debt in accordance with the Council's terms.
- If the customer's circumstances do not justify the granting of credit, payment in advance should be offered for the goods/services.
- For some debts, particularly those paid periodically, such as trade or garden waste, periodic rents, or licensing, Direct Debit should be the standard payment type, and other payment methods should only be considered on rare occasions.
- To promote a coordinated approach towards sharing debtor information and managing multiple debts owed to the Council.
- To improve the speed of collection and the levels of income collected by the Authority.
- To ensure that debts are managed in accordance with legislative provisions and best practice.
- To distinguish between the debtor who won't pay, and the debtor who can't pay, and take appropriate action in either case.
- To consider the impact on the debtor of the consequences of any recovery options pursued, and proportionality of these.
- To try and protect customers from undue financial hardship by ensuring realistic payment arrangements are agreed upon.
- To treat individuals consistently and fairly avoiding discrimination on any protected ground including age, sex, race, disability, sexual orientation, religion or belief, transgender and to ensure that individual's rights under data protection and human rights legislation are protected.
- Where appropriate, to encourage the debtor to make contact with relevant organisations for debt management advice.

### **4. Delivering the Policy**

4.1 When charging for goods and services provided, The Council will make it as easy as possible for Customers to pay by ensuring:

- That invoices are raised promptly and accurately whilst the customer still recalls the transaction (for the avoidance of doubt, this should be within 5 working days of provision of the goods or services).



- That invoices include sufficient details of the goods/services provided to enable the debtor to recognise the service provided and pay the invoice in a timely manner.
- That invoices are correctly addressed and posted to the customer. The name on the invoice will be that of a person or body possessing “legal personality” based on the information available

***All Invoices will include:***

- Information on how and where payments can be made i.e. giving all the various options we offer, for example:-
    - Bank account details for Bank transfers
    - Paypoint
    - At Post Offices
    - Postal Address
  - A unique reference so that the customer is able to quote the appropriate document numbers to enable their account to be credited quickly and accurately.
- 4.2 All invoices raised will be on headed paper and readily identifiable as being issued by the Council.
- 4.3 The Council will encourage the most cost effective payment methods with the emphasis being on unmediated electronic means wherever possible. “Unmediated”, in the context of electronic payment methods means a method of payment that requires no human intervention by officers of the Council to achieve its crediting to the appropriate customer account.
- 4.4 The Council will promote the use of Direct Debit as a preferred payment method, maximising the use of this wherever possible. Also, as per the aims of the Council, it will discourage the use of cash and cheque, attempting wherever possible, to persuade customers to use more electronic methods of payment.
- 4.5 The Council will accept payment of debt by credit/debit card, but will levy a charge (currently 1.5%) for payment by credit card to cover transaction charges
- 4.6 The Council recognises that prompt recovery action is key in managing its debt, and maximising income. The Council will therefore:
- Monitor the level and age of all debts on a monthly basis
  - Set clear targets for the recovery of debt.
  - Review its recovery procedures, including agreed dunning cycles for all debts, escalation processes and recovery action on an annual basis, to ensure they remain effective and comply with best practice. For clarity, the dunning cycle on non-regulated debts should commence on the due date of the debt, with any secondary contact within a maximum of 14 days. This will assist in the prompt collection of overdue debt.

- Should the normal dunning letter process be unsuccessful, prompt recovery action, either utilising collection agencies, or legal action, should follow within a further 14 days.
- Regularly review the types of recovery action taken to assess the relative merits of each. To include but not limited to: - dunning processes, collections agencies, bailiffs action, court action, payment plans, etc.
- Agree escalation routes on a case by case basis, ensuring that collections action is proportionate to the level of debt owed, and can be clearly proven as appropriate should the debtor later appeal against any actions taken.
- Introduce appropriate levels of fines for failure to advise the Council of changes of circumstances which would affect charges. Initial charge for failure to advise could be as high as £70, followed by further charges of up to £280 each time information is requested, but not provided. Officers of the Council to ensure that the levels of any such fines are proportionate to the level of debt.
- Regularly review debts, and those considered impossible to recover after exhausting all reasonable enforcement methods, or where recovery may prove uneconomic, should be written off.

- 4.7 The approval rules for the writing off of debts are as set out in the Financial Rules of the Constitution
- 4.8 Where legislation permits, the Council will seek to levy and recover from the debtor any and all costs/fees that are legitimately due from the debtor to the Council or its agents. Only in exceptional circumstances, where it would not be in the public interest to pursue costs/fees will they be waived.
- 4.9 The costs/fees due from the customer may include penalties for non disclosure of information relating to any change in circumstances which would affect the calculation of charges to the customer.
- 4.10 Where possible, all debts owed to the Council, regardless of where the debt originated, will be taken into consideration when referring the debt for legal recovery.
- 4.11 Where multiple debts are owed to the Council, wherever possible we will seek to consolidate those debts when taking recovery action. Any payments made by the customer, when multiple debts are owed, will be allocated against each debt on a Pro Rata basis, thereby clearing all debts at the same time.
- 4.12 Unless legislation dictates otherwise, the Council will not raise single invoices for values of £25 or less, and will require payment in advance for all transactions at this level.
- 4.13 Interim invoices will be issued where full costs remain unclear at one month from service delivery.
- 4.14 Invoices will not be issued where goods or service have not been delivered.

4.15 It is the Council's intention that invoices will be sent to customers via email wherever possible. To this end, the relevant Business Unit is responsible for obtaining the email address/s of all new customers at the point of agreeing to provide goods or service/s. All email addresses held by the Authority will be subject to the Council's data protection policy, a link to which is below.

<I:\Debt Policy\Data Protection Policy draft.doc>

4.16 All documentation relating to a demand will be kept either in paper or scanned image format for at least six years after the demand is raised. If at the end of that six year period the demand still remains unpaid, the supporting documentation may be retained until either the bill is paid or the debt is written off.

### **Refunds/Contras**

4.17 Should a refund be required for a customer, the officer responsible for actioning the refund will firstly check all other areas, to ascertain whether any debt is owed to the Council for any other goods or service provided, and take that indebtedness into account, before making any refund.

4.18 Likewise, when the customer is also a supplier to the Council, if overdue debt is outstanding, the Council reserve the right to offset any overdue debts owed to the Council from the monies owed to the supplier. All future supplier contracts will include a clause clarifying this right.

## 5. Social Inclusion

- 5.1 Ability to pay is a paramount concern when considering debt recovery. Discounts against Council Tax, and statutory benefits against Council house rents are provided on application, which are designed to offset the effects of low income and the ability to pay.
- 5.2 Charging policy, statutory or discretionary, will never completely remove the problems of people and families on low incomes. The approach to recovery must therefore be sensitive to individual circumstances and take into account multiple debts owed. Where possible, the Council will enable customers to make one, realistic and affordable repayment arrangement to clear **all** monies owed to the Council.
- 5.3 At all stages of the debt recovery process, collections staff should be mindful of the customer's financial situation, and be prepared to promote the services of qualified debt advisers (i.e. C.A.B., National Debt-Line, neighbourhood advice centres, etc.).
- 5.4 Where multiple debts are owed, each instalment payment agreed upon will be allocated on a pro rata basis to each debt, until all overdue debts are cleared, unless the customer specifies, in writing, the order in which they want the debts to be cleared. The customer should be made aware of any consequences of making this choice.
- 5.5 A standardised "income and expenditure" form will be used to ensure that collections officers can ascertain a customer's total income and expenditure, and agree a single, affordable, payment, which will clear all overdue sums in an appropriate period of time.
- 5.6 Income relating to all types of debt should be handled in accordance with the Council's Constitution and the Financial Rules (contained within Section 18.20). Link below.  
[http://mycouncil.oxford.gov.uk/documents/s12006/Constitution %20Whole.pdf](http://mycouncil.oxford.gov.uk/documents/s12006/Constitution%20Whole.pdf)

## **Monitoring and Performance Measures**

- 6.1 The monitoring of debts for the authority is undertaken through the use of performance indicators for all debts listed above, which are submitted to Senior Management on a monthly basis by the relevant Service Area.
- 6.2 The Performance targets are set annually by the relevant Head of Service and constantly reviewed throughout the course of the year.
- 6.3 The Performance targets are also reported monthly to the Corporate Management Team, and quarterly to the City Executive Board. Where performance is deemed to be below optimum levels, a performance “clinic” will be undertaken to review the issues and agree actions to rectify the situation.

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**To:** City Executive Board  
Council

**Date:** 12 June 2013

**Report of:** Regeneration and Major Projects Manager

**Title of Report:** Appointment of main contractor for Affordable Homes Programme 2015

### Summary and Recommendations

**Purpose of report:** To obtain approval to proceed to let the main construction contract and subsequent call off contracts for the Affordable Homes Programme.

**Key decision?** Yes

**Executive lead member:** Councillor Scott Seamons

**Report approved by:** David Edwards

**Finance:** Nigel Kennedy

**Legal:** Lindsay Cane

**Policy Framework:** Meeting Housing Needs.

**Recommendation(s): That the City Executive Board;**

1. Authorise the Executive Director for Regeneration and Housing to select the final sites for the 112-114 new homes to be built on (in consultation with the Portfolio Holder);
2. Agree the Cost Plan in Exempt Information Annex 3;
3. Authorise the Executive Director for Regeneration and Housing to let the main build contract and any subsequent "call off" contracts where total build costs (including contingencies) are equal to the Cost Plan; and
4. Authorise the Executive Director for Regeneration and Housing to agree any cost overruns that can be contained within the overall budget envelope of the Affordable Homes Programme to be certified as such by the Project Manager.

**Appendices:**

1. Project Execution Plan (PEP) & Programme
2. Risk Register

**Exempt Information Annex:**

3. Cost Plan
4. Tender and Evaluation Summary
5. ITT
6. PEP (Exempt Information)

**Executive summary**

1. Following approval to proceed with the Affordable Homes Programme 2012-15 (AHP), the Council have appointed professional teams to prepare up to 16 sites for development of 112 new Council homes by March 2015.
2. The tender process will involve the appointment of a main contractor (s) with agreed "call off arrangements" for sites to be brought into this contract as they receive planning permission and are selected by the Project Board and the Executive Director for inclusion in the programme.
3. An agreed "Cost Plan" has been produced by the Council's consultants, which provides a cost "ceiling" for delivery of the 112 new homes.
4. Because of timing constraints with the overall programme, it is proposed that delegated authority is provided in advance to the Executive Director of Regeneration and Housing to authorise the appointment of main contractor (s) and all subsequent contractors, within this agreed overall cost envelope. The Executive Director will only be able to authorise projected cost overruns on individual sites, where these overruns can be contained within the overall programme budget envelope, to be certified as such by the Project Manager.

**Background**

5. On the 15<sup>th</sup> February 2012, through Single Member Decision, the Council agreed to:
  - Approve the proposed Affordable Homes Programme 2012-15 (AHP) as detailed herein;
  - Authorise the Head of Corporate Assets to negotiate and complete the New Framework Delivery Agreement (FDA) with the Homes and Communities Agency (HCA);



- Authorise the Head of Housing and Communities to undertake the decant process of Bradlands under Phase 1; and
  - Authorise the Head of Corporate Assets in consultation with the Executive Member of Housing Needs to approve the final selection of sites for Phase 2 and Phase 3.
6. The Council have subsequently executed a Framework Delivery Agreement (FDA) with the HCA, which, inter alia, commits the Council to deliver 112 new homes by March 2015 in return for the agreed grant funding from the HCA. The grant is payable in part (50%) at the start on site for each dwelling and concluding with the remainder (50%) at “practical completion”. The funding is further conditional on creating at least 44 Affordable Rented units within the programme, with the remainder being Affordable Social Rented.
- Affordable Rent homes can be made available to tenants up to a maximum of 80% of market rent and allocated in the same way as social housing is at present. It is expected that Affordable Rent accommodation will be used flexibly as an alternative to private rented housing and not to replace Social Rent homes.
7. A professional team lead by EC Harris as Project Managers has subsequently been appointed under an existing public sector framework, to mobilise a team to take forward up to 16 sites in total for potential inclusion in the AHP programme to deliver the 112 new homes by March 2015.
8. A dedicated AHP Project Board has been established (Chaired by Service Manager for Regeneration and Major Projects), with agreed governance arrangements, and a Project Execution Plan in place. The Project Execution Plan (PEP) can be viewed in Appendix 1.
9. Site due diligence, design and planning consultation has been undertaken on 16 sites, with the potential to produce up to 154 new homes. Planning applications have a forecast submission between May and June 2013 (with the exception of Bradlands which has a detailed permission in place).

These sites include:

Site	Dwellings numbers
Bradlands	49
Warren Crescent	10
Eastern House	9
Alice Smith House	11
East Minchery Farm	42
Bury Knowle Depot	10
Balfour Road	3
Sandy Lane	3
Tompson Terrace	3
Tucker Road	2
David Walter Close (East)	2
David Walter Close (West)	2
High Cross Way A	3
High Cross Way B	2

Leiden Road	3
Cardinal Close	3
<b>TOTAL</b>	<b>154</b>

10. At this time, the project will only take forward sites to deliver 112-114 new homes, based on the budget envelope agreed within the HRA Business Plan, and therefore the Project Board have approved the following delivery options to achieve the unit numbers and split of tenures between Affordable Social Rented and Affordable Rented units:

### **Option 1**

Site	Social Rent	Affordable Rent
Bradlands	49	0
Warren Crescent	0	10
Bury Knowle	0	10
Minchery Farm	21	21
Cardinal Close	0	3
<b>Total</b>	<b>70</b>	<b>44</b>
<b><u>Total 114</u></b>		

### **Option 2**

Site	Social Rent	Affordable Rent
Bradlands	49	0
Warren Crescent	0	10
Bury Knowle	0	10
Alice Smith House	6	5
Eastern House	5	4
Balfour Road	3	0
Sandy Lane	0	3
Tompson Terrace	3	0
Tucker Road	0	2
David Walter Close (East)	0	2
David Walter Close (West)	0	2
High Cross Way A	0	3
High Cross Way B	2	0
Leiden Road	0	3
Cardinal Close	0	3
<b>Total</b>	<b>68</b>	<b>44</b>
<b><u>Total 112</u></b>		

11. Option 1 is the preferred delivery option as this achieves the project objectives from the minimum number of sites, and is therefore the least complex in terms of deployment. In addition, this option will enable the short term retention of Alice Smith and Eastern House, both of which are currently being used for short term homeless accommodation. The balance of the sites will be held for future potential disposal or development as part of any further Council new build programmes.
12. Although there are currently no additional sites that are in a state of readiness of inclusion into the programme, the Regeneration and Major Projects team continue to work on a number of sites in the pipeline, such as Elsfield Hall, which may be appropriate for being brought into the programme (through formal change control) within the next 3 months. The window for inclusion will not extend beyond this date, in order to meet the March 2015 long stop date for the programme.

### **Contract Tender Process**

13. Following recommendations from the professional team, the Project Board have approved the principles of a Design and Build (D&B) construction procurement route. This route was favoured as being the most suitable for the simultaneous deployment of multiple residential construction teams across the city, within the timescale available. In addition, this route will protect the Council from elements of design & construction risk that would best sit with a main contractor. This route involves the Council preparing detailed Employer's Requirements (ERs). This technical specification for the units, together with the detailed planning consents on each site, will form the brief for the D&B contractor to build out the developments. The construction of each site will then be monitored by the Council's professional team to ensure strict compliance under the terms of the contract.
14. The ERs and tender pack have been prepared by EC Harris in consultation with Council Officers, and each element of the pack has been formally signed off by the relevant professionals and Council Officers. The Project Board have approved this overall tender sign off "gateway".
15. The Project Board have also approved the use of the pre-qualified HCA house building framework, made up of the HCA's own panel of approved contractors (the Development Partner Panel). These are split regionally, but are generally of a size that has a national presence. An initial expression of interest was issued, to which 5 out of 17 contractors responded positively to being included in the tender action. These 5 are detailed in the Tender and Evaluation Summary in Exempt Information Annex 4;
16. The tender structure has been created with a long term view in mind, as well as the immediate need for 112 units. As stated; the project currently has a pipeline of potentially 154 units available, and the team has developed the majority of these to be ready for submission of detailed planning applications. Therefore, a fixed price approach is being requested across option 1 sites with all remaining sites being priced through future negotiation based on the tendered rates for the option 1 sites, as part of this tender action.

17. The tender action has requested that option 1 sites are priced in detail, including rates for a number of aspects of the building, sub structure, super structure, externals and such like. In addition, template housing units have been issued for the other sites that are different to those in option 1. The tenderers are to price all the details and agree that the basis for future site pricing will be to use the data tendered for option 1 and the support information to agree a fair and reasonable price. This approach will be taken for option 2 (un-priced sites and any future sites not included).
18. The commercial assessment will be carried out against the option 1 sites, and support template pricing data for future use. , We have expressly identified that the Council is not committing to letting all units to one contractor, however our intent is to limit the number of contractors to those necessary to deliver the project within the financial envelope and by the March 2015 deadline. Whilst letting one contract is the preference of the Council, it was considered by the professional team that there is a risk of resource management and capability to complete the various types of development proposed within the pipeline of units. It was also viewed that commercial 'buying' of the tender might be seen if one contract was identified at the start of the tender. In addition, the Council would be contractually bound to one contractor and any loss of profit would be requested if termination or reallocation of units was deemed necessary post contract award.
19. The tender process has a number of activities associated with it and these are listed with the representative dates below;
- |  |            |
|--|------------|
| • Tender Documents Issued              | 19/04/2013 |
| • Contractors Proposal (Tender Return) | 14/06/2013 |
| • Mid-Tender Interviews                | 10/05/2013 |
| • Post-Tender Interviews               | 05/07/2013 |
| • Contract Award                       | 09/08/2013 |
20. More details on the tender process, assessment, evaluation may be viewed in Exempt Information Annex 4.

## **Legal implications**

### HCA Framework Delivery Agreement (FDA);

21. The FDA has been reviewed by the Council's Legal services before execution and a number of points have been raised in terms of the Council's liabilities. The document has also been reviewed by our external legal advisers Mssrs Gately, in the context of drafting the main construction documentation.
22. The main implications are;
- a. Under the terms of the FDA agreement, the HCA reserves the right to withdraw grant offer on units that have not reached "practical completion" by the March 2015 deadline.

- b. Grant can also be withdrawn or reclaimed if the Council fails to achieve key milestones or deviates from the program without prior HCA consent. There is a formal “change process mechanism” in place to deal with such material changes and program slippage.
- c. The Council is required to keep the HCA updated of the progress of the project via its Investment Management System (IMS) and Quarterly Review Members of the project team have received training from the HCA to access and update the system with information that is used to track progress electronically.
- d. The Council is required to seek the HCA’s permission to dispose of any of the properties, which is likely to result in a proportionate amount of grant being repaid. This does not affect a tenant’s Right to Buy but will affect the level of receipt retained by the Council if a proportion is paid back to the HCA. The HCA will claim a proportion of the property value and benefit from any uplift.
- e. The HCA requires the Council to appoint an Employer’s Agent although has stated that it is acceptable for a Council to use its in-house department to meet this obligation subject to agreeing a collateral warranty if needed.
- f. The HCA will recover any funding on the basis that it is categorised as unlawful state aid. The Council would have to be considered as undertaking economic activity within the meaning of the rules on state aid and it is unlikely that as a local authority that this would occur.
- g. The Council is required to appoint an independent auditor to produce an FDA compliant report post project.

### Construction Contract

- 23. The Project Board, in agreement with Law and Governance, have appointed construction solicitors, Gately, to advise on the contract strategy (form of contract and amendments etc), and will support the council on post tender issues and construction legal negotiations. The firm was appointed following a Non OJEU closed tender process via the South East Business Portal. Three other firms identified for their expertise in this sector also submitted a tender.
- 24. The chosen contract is a JCT (Joint Contracts Tribunal) Design and Build form of contract with amendments (drafted by Gately) has been developed to be a fixed position in terms of clauses and specification across the development, with each site forming a section of the contract. The contract at the outset could start as one site (which it is envisaged to be Bradlands), with other sections being added to the contract once the Council and the team are satisfied. The benefit is that the project team retain control of site allocation, whilst fixed prices have been sought from all contractors for option 1 sites. Therefore, if it is appropriate to allocate a site to another contractor, they will sign up to an equivalent JCT contract and have the section for the site they are contracted for.

25. This type of contract offers flexibility to add sites that are in the pipeline to the contract as a new section, and the priced data established during the tender and the on-going build, will enable a fair and reasonable price to be agreed. This therefore creates time savings in the procurement of future works if sites are needed for the HCA (AHP programme) or if the Council wishes to develop more of their own stock. Although it is the Council's intention to let one contract for the construction works associated with the AHP Programme, if however, it is deemed beneficial to let more than one contract, through timing, cost or risk purposes, flexibility has been built into the tender and associated contract strategy to do this.
26. The arrangement of the contract in this way will in effect allow each individual site to be pre-tendered with pre-agreed "call off" arrangements in place for the sites to be brought into the main contract or a supplementary contract. In the interests of the efficient management of the programme it is therefore necessary to delegate the letting of the main contract and subsequent "call off" arrangements to Executive Director for Housing and Regeneration.
27. It is proposed that delegated authority be given by CEB (in advance of receiving tenders back) to appoint one or more contractor. The attached cost plan provides a total "ceiling" of the likely construction costs, on a site by site basis. The AHP Project Board and the Executive Director will therefore have the authority to execute the main contract, and all subsequent "call off" contracts, where the total build costs (including contingencies) is equal to the Cost Plan.
28. It is further proposed that the AHP Project Board and the Executive Director will also have the authority to agree any individual site cost overruns that can be contained within the overall budget envelope of the Affordable Homes Programme, and certified as such by the Project Manager.
29. It is imperative that such delegations are in place in advance of receiving the tenders back due to the compressed timeline of the programme. The time constraints imposed by the HCA, of completion by March 2015 as a long stop date, requires that the tender evaluations and planning applications are run in parallel. This will ensure that following the receipt of planning permission, the sites selected will be triggered under the main contract without any delay. The Executive Director will take delegated decisions based on the recommendations of the Project Board and where appropriate following liaison with the Portfolio Holder.

### **Financial Implications;**

30. The Design and Build JCT form of contract will be tendered to provide a fixed price sum and cost plus margin (Option 2) on the basis of the build in accordance with the planning permission and the ERs for each individual site. The contract will have formal change control mechanisms, including timescales and supplementary pricing arrangements, should change control be triggered on any of the sites.
31. The Cost Plan is set out in the Exempt Information Annex 3, which outlines the forecast cost and profile of expenditure agreed within the HRA Business Plan. The Cost Plan, Tender and Evaluation Summary and the Invitation To Tender (ITT) are all classified as Exempt Information on the basis that they contain commercially

sensitive tender and pricing information, which has been produced by the Council's professional advisers in advance of receiving tenders back.

32. Cost management will be the responsibility of the PM and reported to the AHP Project Board in accordance with the arrangements to be put in place for delivery and risk reporting.
33. A number of the proposed sites are currently held by the General Fund, as or when sites are selected for development, the sites will be required to be formally appropriated into the Housing Revenue Account, which will require Full Council approval. Full details and implications of proposed appropriations will be provided by way of a further report to City Executive Board when they are known.

### **Environmental implications**

34. The contract(s) will include detailed waste and traffic management plans to reduce the impact of construction traffic through the estates and ensure minimum waste from materials. This will be the responsibility of the main contractor once appointed.
35. The new properties have been designed to meet the Level 4 of the Code for Sustainable Homes. The Code uses a rating system and introduces minimum standards for energy and water efficiency at each level. A simple points system means the more points achieved the higher the Code level reached.
36. This standard ensures reduced energy consumption of 44% through the use of renewable energy sources, quality insulation and construction materials. The design categories for the code are;
  - Energy/CO2;
  - Pollution;
  - Water;
  - Health and well-being;
  - Materials;
  - Management;
  - Surface water run-off;
  - Ecology and waste;

### **Equalities impact -**

37. The new properties where possible will be designed to meet the following industry standards:
  - a. Lifetime Homes Standard;
  - b. Wheelchair Housing Design Guide;
  - c. Housing Quality Indicators; and
  - d. Secure by Design

38. Contractors will need to show how they will support the Council's commitment to training and development opportunities for local people, use of local labour, apprenticeships and up-skilling for Oxford City Homes' staff. The contractor will also be required to show how they would work within the community and demonstrate any history of involvement with local groups.
39. The pre-qualification questionnaire included criteria for equality of opportunity in terms of employment, training and commitment to using a local supply chain.

### **Risk**

40. The risk register for project delivery is attached (Appendix 2).
41. As it may be seen the principle risk will be failure to achieve practical completion on any units by the deadline of 31<sup>st</sup> March 2015, will result in a reduction of the grant claimable.

### **Recommendations -**

Council Executive Board is requested to:

42. Authorise the AHP Project Board and Executive Director for Regeneration and Housing to select the sites for construction;
43. Agree the Cost Plan in Exempt Information Annex 3;
44. Authorise the AHP Project Board and Executive Director for Regeneration and Housing to let the main build contract and any subsequent "call off" contracts where total build costs (including contingencies) are equal to the Cost Plan; and
45. Authorise the AHP Project Board and the Executive Director to agree any cost overruns that can be contained within the overall budget envelope of the Affordable Homes Programme to be certified as such by the Project Manager.

### **Appendices;**

1. Project Execution Plan
2. Risk Register

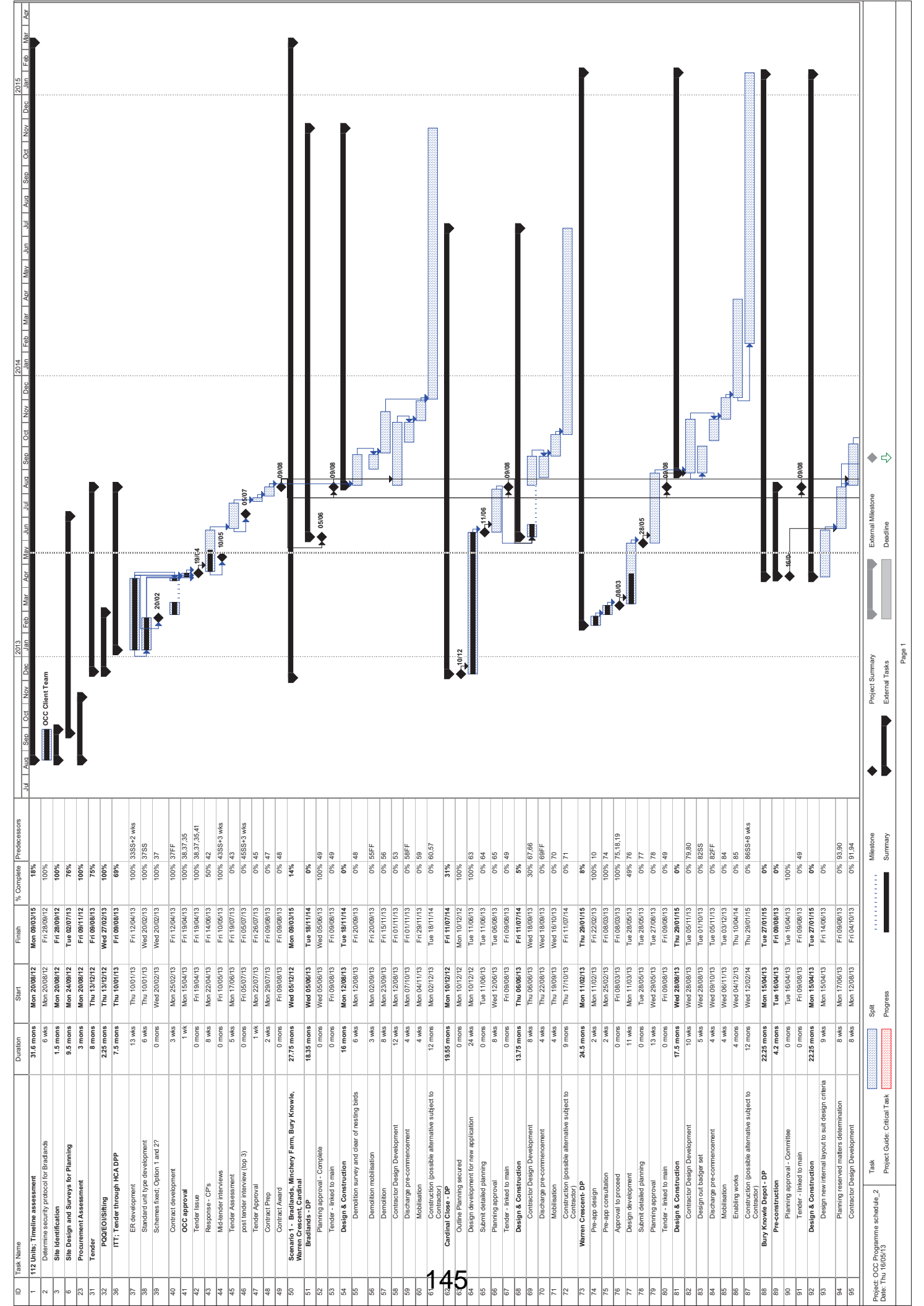
### **Exempt Information Annex:**

3. Cost Plan – EXEMPT INFORMATION
4. Tender and Evaluation Summary – EXEMPT INFORMATION
5. ITT – EXEMPT INFORMATION
6. PEP EXEMPT INFORMATION REMOVED VERSION



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Project: OCC Programme schedule\_2  
 Date: Thu 16/05/13

Task: Project Guide: Critical Task

Milestone Summary

Progress

Spill

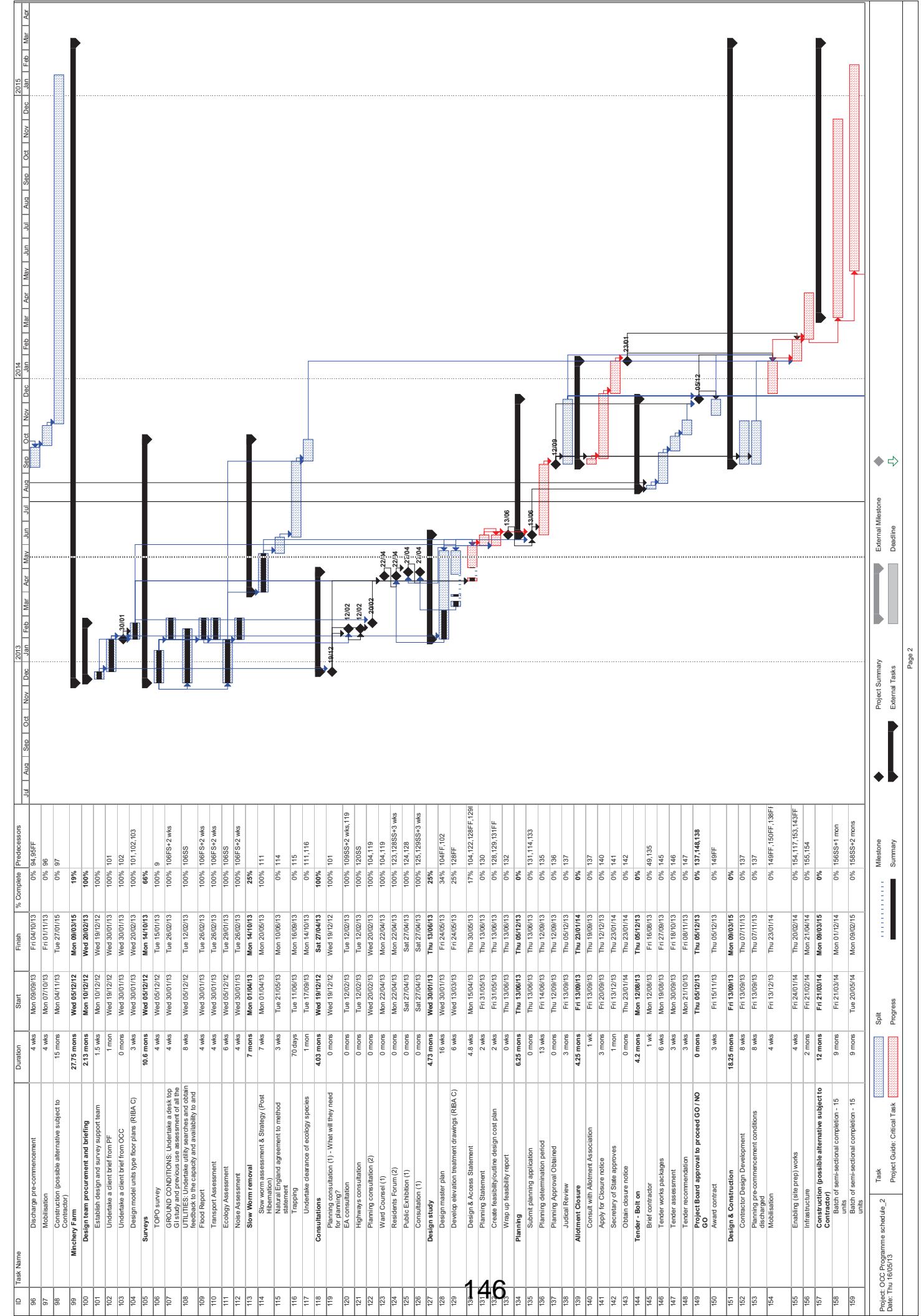
External Milestone

Deadline

Project Summary

External Tasks

Page 1



Task  
 Project Guide: Critical Task  
 Spill  
 Progress  
 Milestone  
 Summary  
 Project Summary  
 External Tasks  
 External Milestone  
 Deadline

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Project: OCC Programme schedule\_2  
Date: Thu 16/05/13



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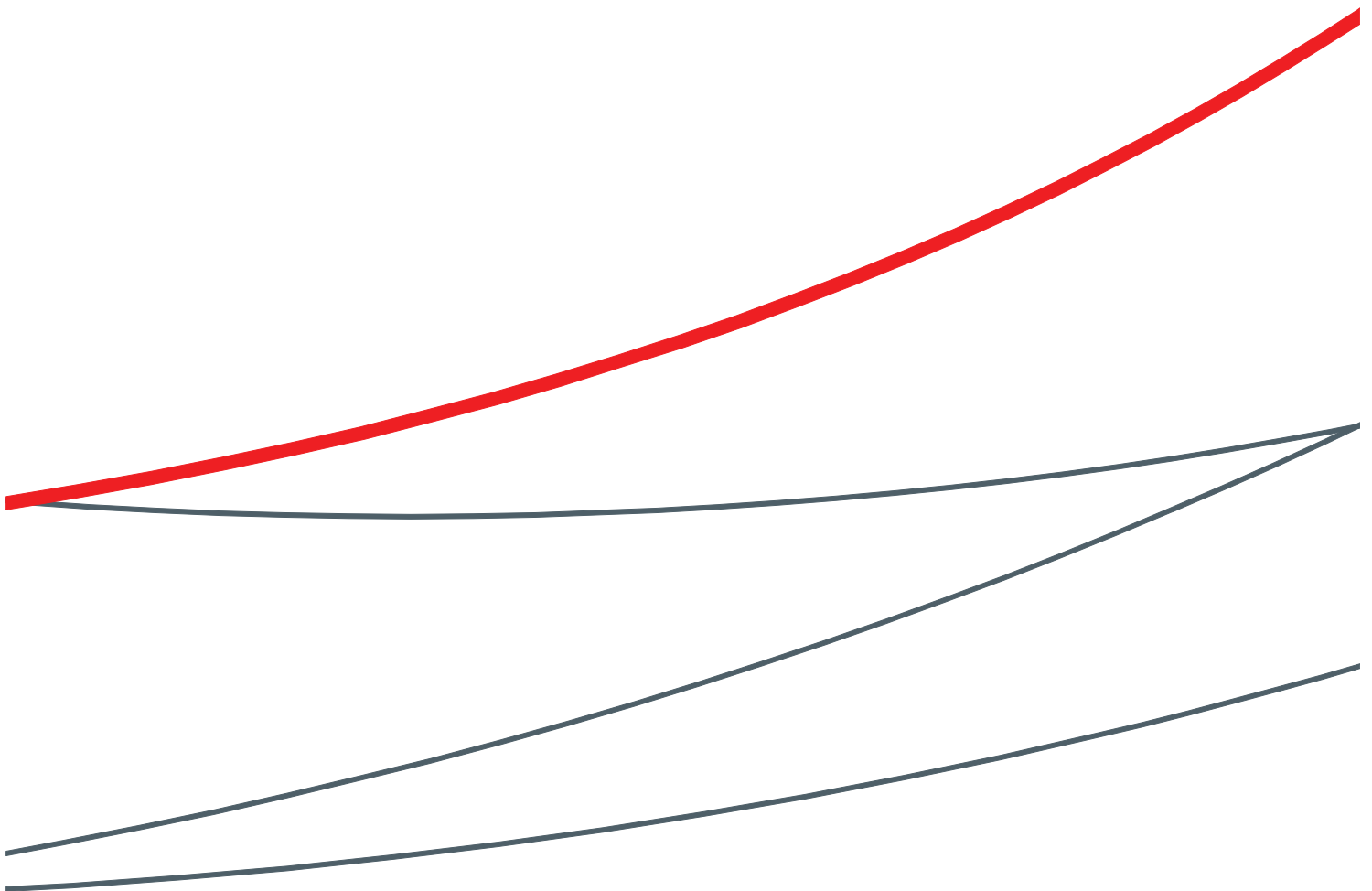
# Project Execution Plan

Oxford City Council

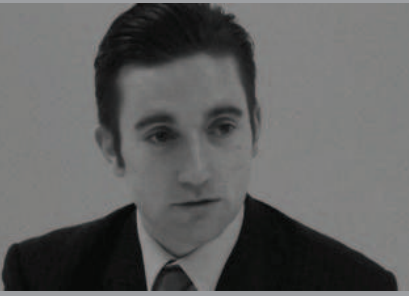
Affordable Homes Programme (AHP) 2012-15

(Exempt Information Removed)

May 2013



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## Version control

Issue	Revision No.	Date Issued	Description of Revision: Page No.	Description of Revision: Comment	Reviewed by:
No 1	Version No 1		Initial Document		
No 2	Version No 2	16 <sup>th</sup> May 2013	Pgs; 5, 6, 9, 12, 13, 14, 16	Clarification to the in scope various sites. Clarification to the source of the financial information. Removal of Steve Sprason and inclusion of Jane Winfield as Corporate Property lead.	Dominic Geoghegan

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## 1. Purpose of the Project Execution Plan (PEP)

The Project Execution Plan (PEP) provides the detailed plan of the work for a project or part thereof and how it is to be managed, organised and executed.

The purpose of the PEP is to demonstrate that the project team has:

- A clearly defined and properly understood strategy and plan for managing, co-ordinating and integrating all activities comprised in the project and their interfaces with other projects
- Undertaken a high level risk assessment of all of the activities comprised within the project and have appropriate responses to remove, reduce or mitigate those risks
- Identified all resource requirements

The PEP and appendices will be continually updated by the Project Manager during the project lifecycle with any deviations to be detailed in the Project Control section below.

## 2. Project Definition

### Background

In 2011 the City Council successfully secured HCA funding of £X towards their Affordable Homes Programme 2011-15 (AHP).

The Council's bid was for the provision of 112 new build affordable homes, mixed between affordable and social rent.

Phase 1 of the programme is the 49 unit Bradlands sheltered housing development, with the additional 63 units being achieved through various sites which together form Phase 2.

### Project Benefits

The project will deliver 112 new Council houses of mixed social and affordable rent tenure. OCC has identified the following soft benefits resulting from the increased housing provision;

- Increases the Council's housing stock.
- Reduction in waiting lists.
- Proactive authority by investing in modern, efficient housing.
- Positive reputational benefits.
- Improved quality of sheltered housing.
- Improved quality of life and customer satisfaction.
- Training/job opportunities.
- Reduced carbon emissions and environmental pollution.
- More efficient use of energy and reduced consumption.

### Project Scope

#### In scope:

This section relates to the works under this project. The new build opportunities are at the following locations only;

#### Phase 1 – Bradlands

This will deliver 49 new sheltered accommodation units

#### Phase 2 – Bulk Sites (Various)

These will deliver up to 63 of the remaining 112 dwelling unit commitment from a number of potential sites, namely;

- |                                   |                                  |
|-----------------------------------|----------------------------------|
| • Balfour Road                    | • Bury Knowle Depot              |
| • <i>Cross Street</i>             | • David Walter Close Garages (2) |
| • Eastern House                   | • <i>Elsfield Hall</i>           |
| • Former East Minchery Allotments | • <i>Hawksmoor Close</i>         |
| • High Cross Way                  | • Leiden Road                    |
| • <i>Nuffield Road</i>            | • <i>Townsend Square</i>         |
| • Sandy Lane                      | • Warren Crescent                |
| • Thompson Terrace                | • Cardinal Close                 |
| • Tucker Road                     |                                  |
| • <i>Ulfgar Road</i>              |                                  |

The sites identified in *italics* are those that have subsequently not made the various sites options as a result of the site status in terms of ability to deliver within the timeframe and the financial envelope.

The above sites are those previously identified under the OCC site disposal work stream. These sites will need to be de-risked prior to progressing the design and submitting to market. De-risking is defined as;

- Legal title and legal searches completed (certificate of title).
- Ground investigations completed and formal report secured.
- Outline planning permission submitted and secured.
- Utility searches have been completed and subsequent recommendation report obtained.

Where there are gaps in the required information, the project team are to procure, on behalf of OCC, adequate consultant support to close the gaps and prepare the sites for mobilisation and build.

### Out of scope:

This relates to services that are expressly excluded from this project or services that have been identified for future inclusion, but are not at this stage included in the project scope.

- Any identification of additional sites not handed over by OCC as part of the initial AHP pipeline.
- Any additional sites brought forward under the programme as a result of over performance against the HCA criteria and delivery within the programme schedule and associated budget.

### Objectives;

The objective of the programme is to deliver 112 new Council homes by March 2015 (back stop). At present these are split 68 Social Rent tenure and 44 Affordable Rent tenure.

### Unit Deliverables

The commitment made by OCC to the HCA is detailed below;

Units		Total	
Social Rent (SR)	1bed	46	
	2 bed	14	
	3 bed	8	
<b>Social Total</b>		<b>68</b>	<b>61%</b>
Affordable Rent (AR)	2 bed	11	
	3 bed	33	
<b>Affordable Total</b>		<b>44</b>	<b>39%</b>
<b>Total</b>		<b>112</b>	<b>100%</b>

## Constraints

The City Council has identified the following project constraints;

Constraint Title	Description
Resource availability	Availability of the required resources to deliver the Project. This will include resources in Finance, Corporate Property and Community and Housing, as well as external advisers.
Timescales	The Project will be delivered on a phased basis with all units being practically completed by March 31st 2015
Cost	In house officer time will be within existing budgets and/or recharged to the capital project. External consultants will be required, also funded from the Project. Project to remain within budget.
Constraint statutory requirements	All deliverables from the Project must meet regulatory requirements.
HCA requirements	Progress must be entered timely on the HCA Investment Management System including compliance with Key Milestones, in accordance with the FDA.
Procurement	Internal procurement regulations and OJEU regulations must be understood and applied to the procurement of services and works.

### **3. Finance and Commercial – See exempt information**

## 4. Procurement Plan

Oxford City Council (OCC) has in-house procurement standing order protocols to observe. The requirements are for OCC to utilise the South East Business Portal for all contracts exceeding £10,000.

In addition to this, OCC are bound by Official Journal of the European Union (OJEU) regulations for services and goods that exceed the threshold limits contained within the European Legislation;

### PUBLIC CONTRACTS REGULATIONS 2006 - FROM 1 JANUARY 2012

	SUPPLIES	SERVICES	WORKS
Entities listed in Schedule 1 <sup>1</sup>	£113,057 (€130,000)	£113,057 <sup>2</sup> (€130,000)	£4,348,350 <sup>3</sup> (€5,000,000)
Other public sector contracting authorities	£173,934 (€200,000)	£173,934 (€200,000)	£4,348,350 <sup>3</sup> (€5,000,000)
Indicative Notices	£652,253 (€750,000)	£652,253 (€750,000)	£4,348,350 (€5,000,000)
Small lots	£69,574 (€80,000)	£69,574 (€80,000)	£869,670 (€1,000,000)

1 *Schedule 1 of the Public Contracts Regulations 2006 lists central government bodies subject to the World Trade Organisation's (WTO) Government Procurement Agreement (GPA). These thresholds will also apply to any successor bodies.*

2 *With the exception of the following services, which have a threshold of £173,934 (€200,000)*

*[\*Source; <http://www.ojec.com/Thresholds.aspx>]*

Owing to OCC's status as a Local Authority, they have the ability to utilise frameworks for the appointment of consultants and or contractors that are OJEU compliant. This enables OCC to have a range of procurement options at their disposal whilst remaining compliant with their in-house standing order process and European Legislation.

A procurement report and associated recommendation will be undertaken separately to this execution plan by EC Harris.

The process being undertaken to complete the procurement assessment is;

- 1 Establish a procurement profile of OCC through the completion of a procurement questionnaire.
- 2 Create and agree with OCC the procurement route assessment criteria resulting from the procurement profile.
- 3 Agree procurement route
- 4 Agree procurement implementation plan
- 5 Review and agree contract strategy to suit procurement route



## 5. Project Monitoring & Control

In order to successfully control the project, a number of key processes / documentation and procedures are put in place and set out in this project execution plan. These are to be adhered to throughout the life of the project.

The key features of the controls are around roles and responsibilities, communication, programming, risks, time, cost, quality, change, reporting, health & safety.

The principle tool in the management of this project is through the use of EC Harris' intranet based portal known as 'Project in a Box' (PiaB).

PiaB is set up as a project management tool for the use of the entire team. Attributes associated with PiaB are;

- It is a central depository for all project information.
- Acts as the form of electronic communication between the team members.
- It enables broadcasting of key information, milestone achievements, updates and the like.
- It holds the central meeting schedule for team meetings for all members to access.
- It holds and aids management of the 'live' risk events.
- It enables open management of actions of all team members.

### Project Organisation

#### Purpose

The purpose of the project organisation structure is to describe and define the management roles, responsibilities, reporting lines and expectations of the project.

#### Content

This section looks to identify and provide detail on the following items;

- Organisation chart.
- Scope of each group or board.
- Members of the structure.
- Delegated Authority levels for each group or board.
- Terms of reference for the group or board.

## Organisation Structure;

### Project Board; LEVEL 3

- David Edwards (Executive Sponsor),(Chair)
- Nigel Kennedy (Senior User Finance),
- Jane Winfield ( Corporate Property Lead)
- Lindsay Cane (Senior Supplier Legal)
- Stephen Clarke (Senior User Housing)
- Jane Lubbock (Senior Supplier Procurement)
- Richard Hawkes (Project Assurance)
- Dominic Geoghegan (Project Manager)
- Alison Dalton (Project Support)

### Project Team; Implementation - LEVEL 2

- Jane Winfield (Corporate Property Lead)
- Richard Hawkes (Project Assurance)
- Rob Kindon (Supplier CP)
- Dominic Geoghegan ECH (Project Manager)
- EC Harris (Cost Manager TBA)
- EC Harris (Affordable Homes Sector Expert)
- Lead designer TBA

### Project Environment; Delivery - LEVEL 1

#### Sub-project Team; Bradlands

- Employer's Agent TBA
- Monitoring team TBA

#### Sub-project team; 63 units various sites

- Employer's Agent
- Monitoring Team TBA

### Corporate Boards; (monthly)

- Housing Board
- Corporate Asset Management & Capital Board (CAMAC)

## Project Board; LEVEL 3

### Scope;

- Approvals to proceed through each gateway.
- Sign off the business case and overall financial commitment.
- Approves any changes to the business case, the financial envelope, or material change to; the design principles for the projects, the financial envelope, timescales for delivery and to the
- Approves any changes to Funding Agreement with the HCA.
- Resolve strategic and directional issues associated with the progress of the project which need input and agreement of senior stakeholders.
- Provide continued commitment and endorsement to the project.
- Authorise delivery, gateway approvals and sign-off at the closure of the project.

### Members;

- David Edwards, Executive Sponsor (Chair)
- Jane Winfield, Corporate Property Lead
- Nigel Kennedy, Senior User Finance
- Lindsay Cane, Senior Supplier Legal
- Stephen Clarke, Senior User Housing
- Jane Lubbock, Senior Supplier Procurement
- Richard Hawkes, Project Assurance
- Dominic Geoghegan, Project Manager
- Alison Dalton, Project Support

**Quorum;** 3 members incl one of; Executive Sponsor, Senior User Finance and Senior User Housing

**Form of communication;** Receive copies of flash reports for information from the programme board. Receive monthly wrap up report tabled 1 week prior to the meeting, previously reported at the programme board with an exception update (or flash report) if required.

**Meeting frequency;** Every 5 weeks; Project update with exceptions on project programme (schedule), cost and risk/issues. Email communication and holding a conference call is acceptable to achieve urgent decisions and sign off as a form of issue and crisis management.

**Authority levels (Tolerance);** Fully accountable for the project. All authority for major change and decision and associated gateway approvals are to be sought from the sponsoring group.

## Project Team; Implementation; LEVEL 2

### Scope;

- Recommendation to proceed through each gateway.
- Sign off of design and any associated changes within the agreed business case, financial envelope and design principles.
- Define and agree acceptable risk profile and associated thresholds for the project.
- Resolve strategic and directional issues between projects which need input and agreement of senior stakeholders.

### Members;

- Jane Winfield (Corporate Property Lead)
- Richard Hawkes (Project Assurance)
- Rob Kindon (Supplier CP)
- Dominic Geoghegan (EC Harris) Project Manager
- Darren Clarke (EC Harris) Affordable Homes Adviser
- EC Harris Cost Manager – Natalie Jean-Marie
- Lead Designer - TBA

**Quorum;** 3 members incl Project Assurance, Supplier CP and Project Manager

**Form of communication;** Receive copies of flash reports for information from the project team. Receive monthly wrap up report tabled one week prior to the meeting focusing on an exception update from the flash reports previously issued. Email communication and holding a conference call is acceptable to achieve urgent decisions and sign off as a form of crisis management.

**Meeting frequency;** Weekly conference call with face to face arranged as required. Project update with exceptions in time, cost and risk/issues that need executive board influence and or sign off.

**Delegated Authority levels (Tolerance);** The project team has the ability to manage the project within the agreed project budget. A monthly forecast of project budget performance must be undertaken and submitted to the Sponsoring Group. Any change to the scope, financial envelope of the project or increase to the project timescale must be escalated to the Sponsoring Group.

## **Project Environment; Delivery; LEVEL 1 (Day to Day Project Management)**

### **Scope;**

- Delivery of the sub-projects within the identified project schedule.
- Sign off of detailed design within the agreed business case, financial envelope and design principles.
- Manage project risk within the acceptable risk profile and associated thresholds for the project.
- Escalate any strategic issues which need input and agreement of senior stakeholders.
- Resolve project level challenges and activities in order to deliver on time, within the budget and to the desired quality.

### **Members;**

- Employer's Agent EC Harris
- Monitoring Team TBA

### **Quorum; TBA**

**Form of communication;** Receive copies of flash reports for information from the project team. Receive monthly wrap up report tabled one week prior to the meeting focusing on an exception update from the flash reports previously issued. Email communication and holding a conference call is acceptable to achieve urgent decisions and sign off as a form of crisis management.

**Meeting frequency;** Conference call held weekly with a face to face meeting held monthly; Project update with key/immediate actions, next period activities, progress (performance) assessment against project time, cost and risk/issues, reported with project impact that need executive board influence and or sign off.

**Delegated Authority levels (Tolerance);** The project team has the ability to manage the project within the agreed cost plan and or agreed tender price. An allowance of 10% of the project contingency can be approved without sign off of the Project Board. Where the contingency spend is in excess of 10% of the contingency sum, prior approval is to be sought from the Project Board. Any change to the scope, financial envelope of the project (overall project budget) or increase to the project timescale must be escalated to the Project Board.

## Roles and Responsibilities

The various parties to the project, their roles, responsibilities and relationships are described in appendices of this PEP as the responsibilities, accountable, consulted and informed (RACI) matrix. **Refer to Appendix C (not available).**

- **Executive Sponsor (Chair): : David Edwards;** is ultimately accountable for the City Councils capital investment, performance and project delivery. Has accountability for the scope, budget and timescale commitment. The Exec Sponsor is to be party to all key decisions and approvals. Chairs the Project Board.
- **Senior User Finance: Nigel Kennedy;** is accountable for the investment decision and the underwriting of the capital and revenue implications of the project..
- **Corporate Property Lead: Jane Winfield;** is responsible for the performance and delivery of the project in terms of time, cost and quality as manager of Corporate Property. Can act within pre-determined delegated authority of the Exec Sponsor on all non key decisions or approvals.
- **Law & Governance: Lindsay Cane;** is responsible for the legal compliance with the HCA Framework Delivery Agreement, and advising the Project Board/Team on all procurement, and construction legal advice required or procuring suitable legal representation thereof where required.
- **Senior User Housing: Stephen Clarke;** is responsible for defining Council and tenant demand and approving the specification and transition of the new stock into the Council's Business As Usual (BAU) housing stock portfolio.
- **Senior Supplier Procurement: Jane Lubbock;** is lead adviser to the project on the public sector procurement process and implementation thereof for all phases of the project.
- **Project Assurance: Richard Hawkes;** is responsible for ensuring that the project is correctly resourced, on target, and that governance of the project is adhered to throughout. Is responsible for appropriate escalation to Exec User and Senior User CP if the project or governance thereof is off track or there is an elevated risk of being off track in the future.
- **Project Support: Alison Dalton;** is responsible for the timely issuing of board papers, taking minutes of board meetings, and issuing update reports to the wider project team. Is responsible, in conjunction with the Project Manager, for all timetabled HCA system updates using IMF platform etc.
- **Supplier CP: Rob Kinson;** is responsible for the engagement, contract and performance management of the external Project Manager and directly appointed Professional Team. Is the primary Council contact with the HCA and ultimately responsible for all HCA updates, day to day compliance and relationship management with the HCA.
- **Project Manager: Dominic Geoghegan (EC Harris);** is an external consultant. Their recruitment is to deliver all phases (Phase 1 & 2) of theAHP project. They are responsible for the performance of the team and managing the delivery of the project to meet the success criteria established. The PM works closely with the Supplier CP and supports the drafting of documents for issue to the project board. The PM establishes the delivery approach and control framework the project will be managed and communicated this to the team and manages the associated actions.

- **Sector Expert: Darren Clarke (EC Harris);** is an external consultant. Their recruitment is to deliver sector specialist support through the project. They are responsible for sharing their previous knowledge of the HCA and to help set the project up and deliver the projects successfully.
- **Wider team members if required;**
  - **Cost Manager;** Quantity surveyor; to assess the 'should cost' of the project at outline feasibility stage using benchmark criteria. To compile a cost plan based on the high level design information present and assessed against benchmark data. To complete a pretender cost estimate prior to tender. To support the drafting of the tender documents, input into the contract clause amendments and compile the final contract documents. To undertake monthly valuations. Report to the PM the assessed cost impact of risk events identified and or change requests to the project.
  - **Lead designer;** to lead the design team in the development of a design solution for the project. Meeting the project brief and the identified success criteria. A design to budget approach will be adopted. Development of a master plan and completion of planning documents will be the primary activity, likely to be RIBA Stage A/B with aspects of C where conservation or detailed planning is required. The Procurement route will determine the point of design responsibility moving from OCC to the contractor partner.
  - **Civil & Structural Engineer;** to contribute to the de-risking phase of the projects by managing (or undertaking directly) the required environment and ground surveys. Produce associated report and recommendations towards the viability of the site. Contribute to the civil and structural design solution, for the client and or the contractor (depending on the time and type of procurement).
  - **Building Services Engineer;** to contribute to the de-risking phase of the projects by managing (or undertaking directly) the required utility searches and capacity checks. Produce associated report and recommendations towards the viability of the site. Contribute to the building services design solution, for the client and or the contractor (depending on the time and type of procurement).
  - **CDM Coordinator;** Manage on behalf of the client, the clients responsibilities for CDM where there are able under the CDM regulations 2007 amendments.
  - **Code for Sustainable Homes (CFSH) Assessor;** to complete a CFSH pre-assessment for the sites and progress with the collation and completion of the CFSH assessment form. To advise the design team of opportunities for maximising the achievement of the Code 5 level requirement. Submit necessary form for approval and sign off at the appropriate stage.
  - **Contractor;** To design and build the required project.

## Stakeholder Engagement Strategy

The stakeholder engagement strategy is designed to create an effective framework to enable effective stakeholder engagement and communication.

- How the stakeholders will be identified, grouped and tracked through the programme (individuals and groups)
- Explanation of the process for adding to or changing the programme communications plan.
- How the importance, influence, interest and impact of a stakeholder to a programme will be measured and assessed.
- How stakeholder analysis information will be processed and stored, with reference to confidentiality
- Description of how the programme will engage with stakeholders, including appropriate channels and mechanisms for encouraging, receiving, and responding to feedback from stakeholders.

Stakeholder profiles/register;

- Stakeholder map showing stakeholders and their area of interest
- Stakeholders area for concern/sensitivity
- Level of support for the programme
- Areas of the programme that stakeholder are interested in and why
- Levels of stakeholder influence on the programme and why; do we need them or do they need us?
- Influence/interest matrix showing current and target positions for each stakeholder engagement
- Benefits distribution – Which stakeholders will receive what benefits and which stakeholder will receive dis-benefit.



## **Communication Strategy**

### **General Communication**

Conversations either direct or by telephone between the parties involved will be encouraged to expedite progress of the projects. However, the Project Manager must be made aware, without delay, of the content of the conversation by telephone, and then by written communication or sketch, if such discussion has an impact on the projects (time, quality or cost).

It must be stressed that the outcome of verbal communications at any level will not relieve the parties of their formal responsibilities; a follow up of any verbal instructions must be completed in written form for clarity.

**No instructions should be progressed without formal written instruction or approval from the Project Manager.**

### **General Reporting**

The Project Manager shall provide a regular weekly flash report to Oxford City Council (OCC) in the format agreed and template included as Appendix B. This will be supported by a formal monthly Project Managers Report.

This reporting will be supplemented by the weekly conference calls held between OCC and the project team to review progress and matters/issues of pressing concern.

The programme board is to escalate reports and associated concerns through to the sponsoring group.

### **Meeting log**

In order to ensure meetings are organised, occur in a timely manner, and at agreed frequency, a project calendar is included on the PiaB portal. This acts as a live meeting schedule and will be populated by the project manager. Adjustments to any proposed meetings should be highlighted in advance to the project manager.

### **Project Directory - PiaB**

A project directory has been developed and will be owned by EC Harris. It is imperative all personnel changes are notified to the project manager prior to and throughout the project (via e mail is acceptable). Refer to Appendix D.

### **Actions and Request for information- PiaB**

It is likely with a project of this size, complexity and nature, that there will be a significant number of meetings with associated actions. In order to easily manage the actions, EC Harris has compiled an action log which should be updated following all meetings by an EC Harris representative. This will be structured as part of the intranet project tool 'Project in a Box (PiaB).

In addition to general project and project actions, it is likely information requests will be made. For ease of use and clarity across the project, all requests for information between parties will be raised as actions within the PiaB portal.

## Risk and Issue Management Strategy - PiaB

All projects contain risk as they are unique in their nature. Projects may appear the same, however they are only ever very similar. All projects are individual and are constrained and complex to the surrounds they are undertaken in.

This project will be no different to the above, there are risks associated with the venture and it is important to register those risks and engage all parties to identify, assess, plan a response and implement a form of mitigation to attempt to either remove, reduce, avoid, accept or transfer the risk. This is seen and set out below.

### Approach to Risk and Risk Management

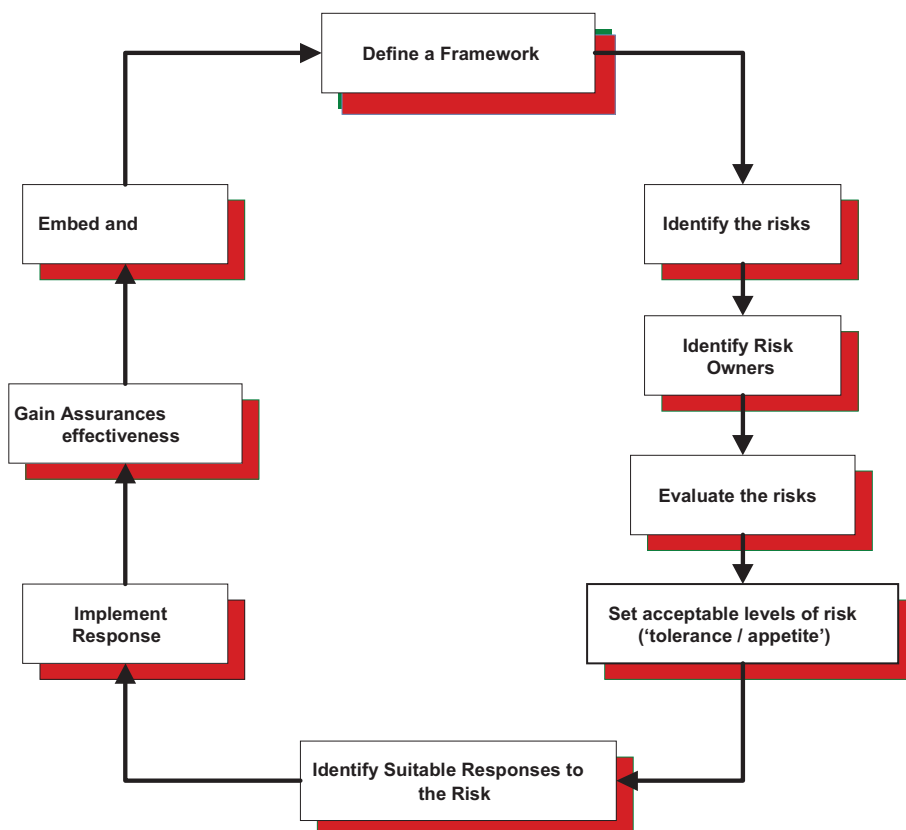
Risk Management is 'a structured approach that allows individual risk events to be understood and managed proactively, optimising project success by minimising threats and maximising opportunities'.

In effect, the above definition identifies the fact that a risk can be a threat or an opportunity to the project objectives and deliverables. A risk management process is identified below, demonstrating how the above process can work:

- **Setting the process & objectives**

- **Risk Review:**

- Identification
- Assessment
- Prioritise & Plan
- Mitigate



•**Risk Response:**

- Remove
- Reduce
- Avoid
- Accept
- Transfer

Risks will be captured on the PiaB portal and managed proactively by the team, and associated risk owners. The risk events will be considered in the context of contingency and potential for additional funding support if the risk profile exceeds the contingency amount contained within the budget.

## Change Control Management

A change control procedure has been created (refer to Appendix C) and is to be followed in all change occurrences following tender action. The procedure comprises a four-stage process (see below). This is for information only at this stage and will be implemented following sign off of the design prior to Tender Issue:

### Stage 1

Definition of the change proposal by the originator, as set out in the Change Order Request (COR).

### Stage 2

An appraisal against time, cost, quality, health & safety, design and any environmental concerns, such as sustainability, code for sustainable homes, by the relevant consultant team and as appropriate, by the Contractor. All responses are managed by the change originator, collected and forwarded to the Project Manager for submission to the Programme Board.

### Stage 3

Recommendations by the Project Manager to the Senior Responsible Owner (SRO) for their acceptance followed by recommendation to the Programme Board and or the Sponsoring Group (if required). Note that these groups are authorised to reject any proposals as necessary.

### Stage 4

Recommendation or rejection by the Programme Board or the Sponsoring Group will be required for all changes depending on the level of impact. The delegated authority levels are stipulated in the organisation structure section of this report and must be implemented throughout the project.

## Cost Management

Cost control is the responsibility of the entire project team, although a lead will be taken by EC Harris. The Cost Manager will be responsible for development of the cost control process, associated cost plans, pre-tender estimate and post contract cost reporting.

Pre-contract cost control will be undertaken by the cost manager through regular updates to the cost plan, as the design develops, to enable potential cost risks to be flagged and managed.

Post contract, cost control will be both the cost manager and with information supplied by the contractor. The cost manager will provide monthly updates on; forecast cost, implemented changes, forecast changes, contingency levels and forecast cashflow.

EC Harris cost management will produce an elemental cost plan at RIBA Stage C. This cost plan will provide an estimate of cost based upon the design to date, materials identified and floor areas. This will provide a baseline to test the budget for the projects. This can then be used to seek approval to proceed with the project through the next gateway.

The cost manager will provide periodical reports indicating the cost position of the project at various stages and a record of the financial movement in the period assessed against the previous period or gateway approval.

The cost manager will be in attendance at design team and project team meetings.

## **Programming (Scheduling)**

The project manager will develop a strategic master programme to summarise the key milestones throughout the life of the project. Progress against the master programme will be reported at high level on a weekly basis in the flash report and in more detail in the monthly report.

As the project develops the programme will be kept up to date and will be supplemented from time to time with more detailed programme, for instance during the construction phases of the various projects.

The assumptions made by the project manager in producing the master programme will be tested with OCC and once appointed the design team members and main contractor.

The format of the programme will be completed in Microsoft Project and reformatted in Microsoft Excel if required for senior stakeholder communication.

The master programme is included as appendix D. Any variations to this will be raised and agreed by the Project Board.

Where gateways are identified, these are based around key information or investment sign off, where the programme board need to approve and authorise.

## **Health & Safety**

At this stage a CDM Coordinator has not been instructed on the project. We recommend the appointment of a CDM Coordinator immediately. This is to ensure that the CDM Co-ordinator will be actively involved in all stages of the design development to confirm that adequate safety reviews are conducted and safety is inherent in the design of the new homes.

Adequate design risk assessments must be undertaken by the design team and these will be monitored and reviewed by the CDM Co-ordinator.

The CDM Co-ordinator will fulfil their duties under the Construction (Design and Management) Regulation and Approved Code of Practice – “Managing Health & Safety in Construction”

The CDM Co-ordinator will produce a pre-tender Health & Safety Plan for each construction contract (i.e. Enabling Works / Main Contract), with input and assistance from the client and the design team as required.

Using the information contained within the Pre – Tender Health & Safety Plan, the appointed Contractor will be required to develop Construction Phase Health & Safety plan prior to commencement of operations. This will be in accordance with the CDM regulations and subject to CDM Co-ordinator and Client agreement.

The file will be compiled as work progresses and following approval by the CDM Co-ordinator, the completed file will be issued to the Client on completion of the construction works.

The Contractor will be responsible for instigating procedures for the reporting of accidents, incidents and dangerous occurrences.

All such incidents shall be reported to the Project Manager at the regular progress meetings and recorded in the minutes.

The contractor will be responsible for instigating procedures for the control and monitoring of safety on site. Regular safety audits should form part of the construction phase health & safety plan, and copies of audits and inspections should be provided to the Project Manager at the progress meetings.

# Appendices

## Appendix A - Flash Report Template

**EC HARRIS**  
**URBAN ASSET**  
**CONSULTANCY**

**Oxford City Council; AHP**  
**Flash Report: 03.05.13 to 09.05.13**

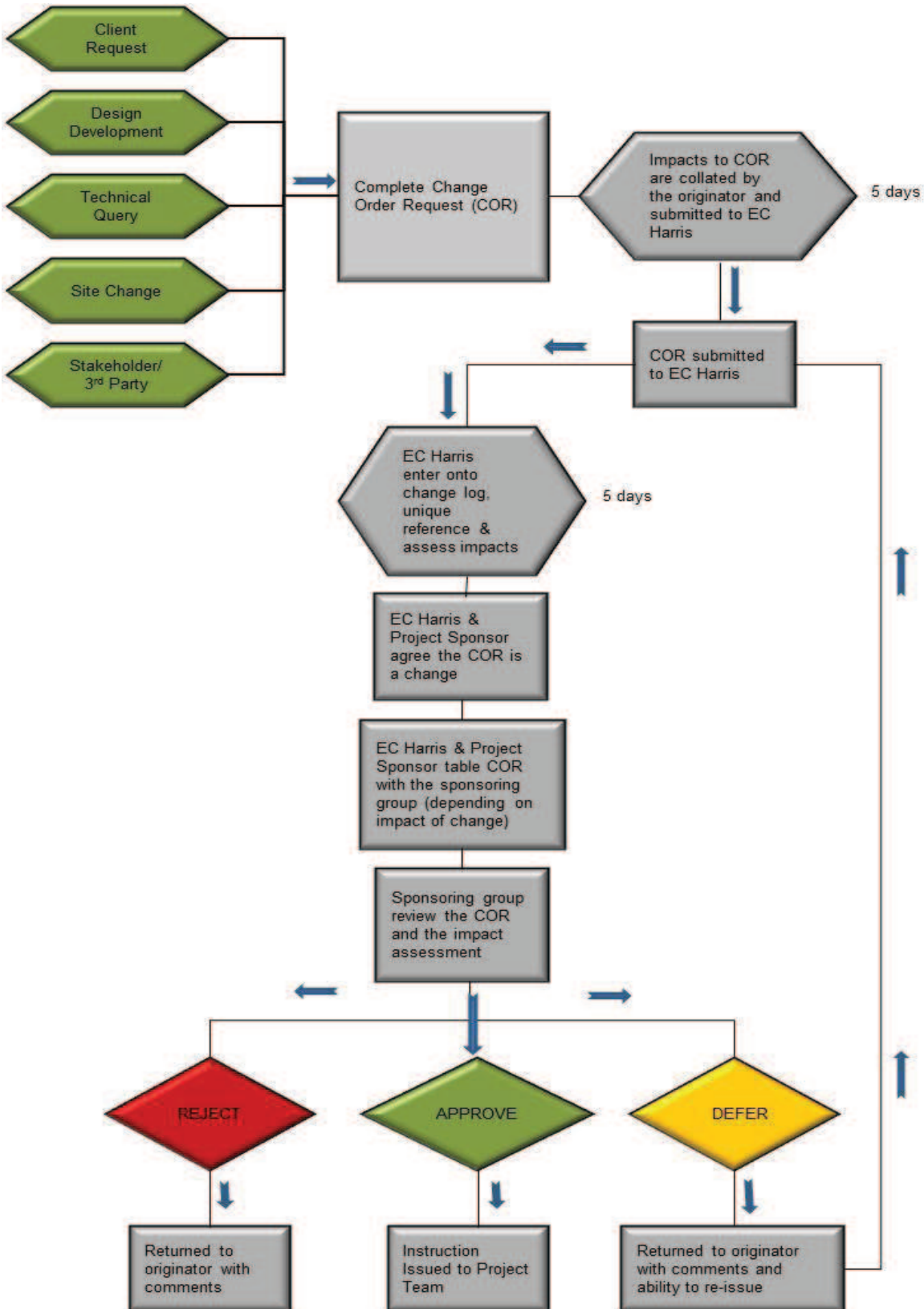
  

<b>Project</b>	OCC AHP 2013-15	<b>Programme</b>																			
<b>Date Issued</b>	09 May 2013		<span style="margin-right: 20px;">Review</span> <span>On Hold</span> <span>Final</span>																		
<b>Accomplishments</b>	<ul style="list-style-type: none"> <li>• East Ministry pre-application discussions commenced with the planning and policy team. Overall outcome is positive to the scheme structure. Further detail is needed from the consultation to help position the use of the DPD allotment and open space.</li> <li>• Initial view is that the scheme has 30% in total allocated to open space, therefore the development will not be affected if the inspector and policy demand adjustments.</li> <li>• An alternative pricing structure has been drafted to the tenderers, including TW and Kier, to offer all the same opportunities. Feedback is requested for Tuesday 14th prior to a formal tender attendance.</li> <li>• Bury Knolls is being redesigned to meet the housing team design requirements. This is likely to take 4 weeks. Dialogue with the planners will continue to help smooth the process.</li> <li>• Oxford Hall change request has been drafted and is being reviewed within the project team prior to board circulation. Approval to proceed will be needed within the next 2 weeks to stand a chance of maintaining programme.</li> <li>• Team Y planning site packs (Central Close, Latten Road, Thomson Terrace, Tucker Road) will be submitted to SH 10th May.</li> <li>• Warren Crescent; Status remains with Natural England. Timeframe is low risk until the end of May.</li> <li>• Site worm site state have conducted a small population is present. Final report will be issued WC 10th May.</li> </ul>																				
<b>Conditions</b>	<table border="1" style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th style="width: 10%;">Levels</th> <th style="width: 90%;">Red requires resolution or allocate to issues and risk register Amber requires specification by the team to reduce risk or plan to close</th> </tr> </thead> <tbody> <tr> <td style="text-align: center;">●●●</td> <td>Natural England's restrictive and negative engagement on Warren Crescent.</td> </tr> <tr> <td style="text-align: center;">●●●</td> <td>All tenderers continue to bid for the scheme. Soil procurement of broadlands and the wider AHP units might be required. Subject to Tender responses and feedback.</td> </tr> <tr> <td style="text-align: center;">●●●</td> <td>Additional sites identified have until the end of May as a realistic cut off date (review, design, obtain planning and tender a site).</td> </tr> <tr> <td style="text-align: center;">●●●</td> <td>All sites need to run concurrently to the point of letting the contract (approx 150 units) to maximise delivery success. This may mean underwriting contract design development prior to planning approval.</td> </tr> </tbody> </table>			Levels	Red requires resolution or allocate to issues and risk register Amber requires specification by the team to reduce risk or plan to close	●●●	Natural England's restrictive and negative engagement on Warren Crescent.	●●●	All tenderers continue to bid for the scheme. Soil procurement of broadlands and the wider AHP units might be required. Subject to Tender responses and feedback.	●●●	Additional sites identified have until the end of May as a realistic cut off date (review, design, obtain planning and tender a site).	●●●	All sites need to run concurrently to the point of letting the contract (approx 150 units) to maximise delivery success. This may mean underwriting contract design development prior to planning approval.								
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<b>Over Next 30 Days</b>	<table border="1" style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th style="width: 60%;">Action</th> <th style="width: 20%;">Who</th> <th style="width: 20%;">When</th> </tr> </thead> <tbody> <tr> <td>Commence the submission of planning documents to OCC for sign off</td> <td>ECN</td> <td>Ongoing</td> </tr> <tr> <td>Begin changes on Bury Knolls</td> <td>GA</td> <td>June</td> </tr> <tr> <td>Submit updates to SHP layout</td> <td>GHA</td> <td>14.05</td> </tr> <tr> <td>Submit consultation detail and statement of community involvement for SHP to LPA</td> <td>ECN</td> <td>14.05</td> </tr> <tr> <td>LPA to submit formal pre-app notes and direction on DPD compliance</td> <td>OCC</td> <td>17.05</td> </tr> </tbody> </table>			Action	Who	When	Commence the submission of planning documents to OCC for sign off	ECN	Ongoing	Begin changes on Bury Knolls	GA	June	Submit updates to SHP layout	GHA	14.05	Submit consultation detail and statement of community involvement for SHP to LPA	ECN	14.05	LPA to submit formal pre-app notes and direction on DPD compliance	OCC	17.05
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	<b>Next Key Meetings</b>		<b>Date</b>																		
	Team conference call		17.05																		

## **Appendix B - Responsible, Accountable, Consulted, Informed (RACI) Chart**

This is a live document and will be updated throughout the project - Not Available

## Appendix C - Change Control Process





**Appendix D – Master Project Programme**

Separate Attachment

[echarris.com](http://echarris.com)

## Affordable Homes Programme 2012-15 ~ Risk Register

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Risk ID	Current Score	Status	Type	Strategy	Cause	Impact	Consequence	Risk Owner	Category	Specific Site	Risk Information			Risk Reduction Plans			Current Risk Scoring		
											Probability 1-5	Cost 1-5	Probability Range	Cost Range	Overall Score				
OCC001	12	Open	Risk	Treat	Project Pipeline is not substantial enough. Therefore sites that fall away cannot be replaced.	Threat in achieving the 112 unit requirement	Potential partial loss of funding and reputation with the HCA.	Richard Hawkes	Operation	(General) Programme level	Keep searching for additional sites to add to the AHP pipeline.	01/06/2013	3	4	25-49%	£500-£2000k	12		
OCC002	12	Open	Risk	Treat	Planning submissions are not successful resulting in a loss in site.	Abortive costs incurred and potential threat to achieving the 112 units.	Potential partial loss of funding and reputation with the HCA.	Richard Hawkes	Operation	(General) Programme level	Meet with the Planners early to manage site expectations and planning likelihood.	01/06/2013	3	4	25-49%	£500-£2000k	12		
OCC003	12	Open	Risk	Transfer	Site identified have specific challenges pertaining to buildability	Abortive costs incurred if sites are not progressed. Potential inflated costs for some sites. Potential threat to achieving the 112 units if sites fall away.	Potential partial loss of funding and reputation with the HCA if the units are not achieved. All schemes must be managed within the financial envelope.	Richard Hawkes	Operation	(General) Programme level	De-risking activities have been procured and an indicative cost plan completed. Await formal tender returns to understand cost impact of potential risk transfer.	01/06/2013	3	4	25-49%	£500-£2000k	12		
OCC004	9	Open	Risk	Treat	Bad weather is experienced during the build phases.	Potential delay to the delivery of the units, could cause loss of part funding from the HCA.	Need to extend the funding back step from March '15.	Richard Hawkes	Operation	(General) Programme level	Open and frequent communication has been established already with the HCA. This will follow on and help to advise the impact of any delay and advise when delay is likely to be experienced.	01/06/2013	3	3	25-49%	£250-500k	9		
OCC005	6	Open	Risk	Treat	Contractors want to redesign the scheme to a lower quality.	Delivery of the units are not in line with quality expectations	Lower than expected product is delivered. Potential defect issues post build and during operation.	Richard Hawkes	Operation	(General) Programme level	A robust set of employers requirements (ERs) and design intent, with planning submissions, has been issued to the contractors to demonstrate the quality expectations. The professional team will manage the ERs and the contractors delivery against them to determine the HCA DPP panel is proposed and commitment is secured for most sites. If necessary a separate procurement route can commence post the original tender if required. This has been factored into the overall	01/06/2013	2	3	10-24%	£250-500k	6		
OCC006	6	Open	Risk	Treat	Tender returns from the contractors demonstrates that there is no appetite for the small sites.	Additional procurement exercise will be needed	Potential delay to secure a contractor for all the sites required	Richard Hawkes	Operation	(General) Programme level	The HCA DPP panel is proposed and commitment is secured for most sites. If necessary a separate procurement route can commence post the original tender if required. This has been factored into the overall	01/06/2013	2	3	10-24%	£250-500k	6		
OCC007	6	Open	Risk	Treat	OCC add sites late to the process	Additional resources and assessment necessary.	Abortive costs could be incurred and not underwritten by the programme	Richard Hawkes	Operation	(General) Programme level	Robust change control and governance will be used to inform the board of the impact and manage expectations throughout.	01/06/2013	2	3	10-24%	£250-500k	6		
OCC008	4	Open	Risk	Treat	Contractor tender return prices are in excess of the cost plan.	unaffordable scheme	Cannot deliver the 112 units	Richard Hawkes	Operation	(General) Programme level	Benchmark costs have been used for the cost plan with assisted contingency allowances for sites unlikely to secure consent about weight the savings in the split procurement route with the additional fees therefore manageable with the financial envelope. If necessary, Early engagement and dialogue will commence on the sites where challenges occur. Constant reporting to the board informing of risk and status.	01/06/2013	1	4	0-9%	£500-£2000k	4		
OCC009	2	Open	Risk	Treat	The tenders return a need and want to split the housing from the sheltered accommodation.	Two contractors are appointed	Additional management and contract administration. Additional professional team fee.	Richard Hawkes	Operation	(General) Programme level	The savings in the split procurement route with the additional fees therefore manageable with the financial envelope. If necessary, Early engagement and dialogue will commence on the sites where challenges occur. Constant reporting to the board informing of risk and status.	01/06/2013	2	1	10-24%	£0-£50k	2		
OCC010	2	Open	Risk	Treat	Other government departments challenge the viability of the sites, such as Natural England and the like.	Cause additional work upfront and potentially limit the development of the scheme.	Potential loss of sites and abortive works if not progressed.	Richard Hawkes	Operation	(General) Programme level	Early engagement and dialogue will commence on the sites where challenges occur. Constant reporting to the board informing of risk and status.	01/06/2013	2	1	10-24%	£0-£50k	2		

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