

Public Document Pack

Public Accounts Select Committee Agenda

Wednesday, 2 December 2015

7.00 pm,

Committee Room 1

Civic Suite

Lewisham Town Hall

London SE6 4RU

For more information contact: Katie Wood (Tel: 0208 31 49446)

This meeting is an open meeting and all items on the agenda may be audio recorded and/or filmed.

Part 1

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Public Accounts Select Committee Members

Members of the committee, listed below, are summoned to attend the meeting to be held on Wednesday, 2 December 2015.

Barry Quirk, Chief Executive
Tuesday, 24 November 2015

| | |
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| Councillor Jamie Milne (Chair) Councillor Mark Ingleby (Vice-Chair) Councillor Abdeslam Amrani Councillor Chris Barnham Councillor Maja Hilton Councillor Ami Ibitson Councillor Roy Kennedy Councillor Helen Klier Councillor Jim Mallory Councillor Crada Onuegbu Councillor Alan Hall (ex-Officio) Councillor Gareth Siddorn (ex-Officio) | |
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MINUTES OF THE PUBLIC ACCOUNTS SELECT COMMITTEE

Wednesday, 28 October 2015 at 7.00 pm

PRESENT: Councillors Jamie Milne (Chair), Maja Hilton, Ami Ibitson, Helen Klier and Jim Mallory

APOLOGIES: Councillors Mark Ingleby, Chris Barnham and Roy Kennedy

ALSO PRESENT: Councillor Kevin Bonavia (Cabinet Member Resources), David Austin (Head of Corporate Resources), Mark Humphreys (Group Finance Manager, Customer Services), John Johnstone (Acting Group Finance Manager), Robert Mellors (Finance Manager, Community Services and Adult Social Care), Barrie Neal (Head of Corporate Policy and Governance), Georgina Nunney (Principal Lawyer), Dave Richards (CYP Group Finance Manager) and Katie Wood (Scrutiny Manager)

1. Minutes of the meeting held on 29 September 2015

1.1 RESOLVED:

That the minutes of the meeting held on the 29 September be agreed as an accurate record of proceedings and the Chair be authorised to sign them.

2. Declarations of interest

2.1 There were no declarations of interest.

3. Financial Forecast 2015/16

3.1 Robert Mellors, Group Finance Manager, presented the report to the committee noting the following key points:

- There was a forecast overspend of £8.1million against the directorates net general fund. This was slightly less than the May estimate of £8.6 million.
- Regarding the Dedicated Schools Grant, there were three schools that had applied for a licenced deficit.
- The Housing Revenue Account was projecting a £2.3 million surplus which would be transferred to reserves at the end of the financial year to be reinvested in housing stock in future years.
- Council Tax collection rates were a little lower than profiled and 0.2% lower than at the same point in the 2014/15 financial year.
- Business rates collection was 0.1% lower than the required profile.
- The capital programme overall spend to 30 September 2015 was £44.8m which was 39% of the revised budget.

3.2 In the discussion that followed, the following key points were raised:

- If there was a deficit at the end of the financial year the Council would be able to use reserves to cover this.
- The lessons that had been learnt from the previous financial year around savings that had not been achieved included: ensuring that only deliverable savings were scheduled; and having better monitoring in place to flag up variances.
- There was still budgetary pressure from the No Recourse to Public Funds group but this had reduced and was expected to be within budget in the 2016/17 financial year.
- The three schools that had a deficit were: Sedgehill; Deptford Green; and All Saints Primary School. There were plans in place to reduce spend and bring the schools budgets back into balance.

3.3 RESOLVED:

That the report be noted.

4. Management Report

4.1 Barrie Neal, Head of Corporate Policy and Governance introduced the report and the following key points were noted:

- The Management Report looked at the Council's performance, projects, risks and finance and highlighted areas for management attention and areas of good performance.
- The information in the report included contextual data in order to give more details on the headline performance.
- In regard to contextual data for Children and Young People, the Executive Director was undertaking a review into the high level of recorded child protection enquiries.
- Programmes and projects were now summarised in one page of the document and included the new addition of the Besson Street Development.
- The section on risk was also highlighted in the report.

4.2 In the discussion that followed, the following key points were made:

- The performance indicator relating to Education and Healthcare Plans was based on a small number of these being issued. This meant that one complicated case could significantly reduce the percentage being delivered on time.
- Risk scores were based on the impact verses likelihood and then categorised in a grid with a score of 1-5. The multiplication of the two elements produced the overall risk rating of red, amber or green.
- The Management Report had recently gone to Business Panel, attended by the Chairs of all Select Committees. Clarification was sought as to the extent to which Select Committees routinely made

use of the data on risk and performance in the report. An update on this would be provided to committee members.

4.3 **RESOLVED:**

That the report be noted.

5. **Mid-Year Treasury Management Review**

5.1 David Austin, Head of Corporate Resources, presented the report to the committee and highlighted the following key points:

- The report presented the current economic conditions in which the Council was operating including the UK economic context.
- Council investments performance for the risk profile was in line with a benchmark group of London Boroughs.
- The Council has a 12-month view on investments which was currently under review. Longer term investments may increase risk but also potential yield.
- With respect to increasing income generated; pooled investments were also being considered. Auditors would make a view on whether these would be considered as capital expenditure or investment.

5.2 In the discussion that followed, the following key point was made:

- The benchmark group of London authorities had a higher percentage of investments in 12 month + arrangements with up to 10% of their portfolios in this bracket compared to 0% of the London Borough of Lewisham.

5.3 **RESOLVED:**

That the report be noted.

6. **Income Generation Review - Final Report**

6.1 Katie Wood, Scrutiny Manager introduced the report to the committee and highlighted the following key point:

- The report collated the evidence heard and research undertaken by the committee at their evidence sessions in April and July and meetings in June.

6.2 Councillor Jamie Milne, Chair of the Public Accounts Select Committee circulated proposed recommendations for discussion and agreement and highlighted that Councillor Ingleby had made some suggestions which the Chair had incorporated into his proposed recommendations, principally in recommendations 2 and 11. In the discussion that followed the following key point was made:

- There was currently the maximum permitted number of cabinet posts therefore amendments to existing portfolios may be a more realistic option than creating new cabinet posts.

RESOLVED:

- (1) That a further update on the strategies being pursued by the Council on proposals for income generation from the private rental sector be reported back to the committee.
- (2) That the following recommendations be agreed and the report and recommendations be referred to Mayor and Cabinet:
 1. That the work undertaken by this committee to identify an income stream and potential partner through a wireless concession be endorsed and secured as soon as possible to ensure that the high level of potential income identified by this review is realised.
 2. That a commercialisation ethos be endorsed and embedded throughout the Council as a method of protecting services to residents whilst maintaining a public sector ethos. Generating income should be seen as a means of protecting services and reducing further cuts. The more self-funding a service can be, the greater the resilience it has to withstand further reductions in funding.
 3. That a commercialisation specialist be appointed at senior officer level as soon as possible, to lead and develop the organisational changes needed to deliver this new commercial approach.
 4. That the portfolio of one cabinet post be amended to include specific responsibility and accountability for commercialisation and income generation and all cabinet posts portfolios include considering income generation options.
 5. That support for staff be embedded in any process or culture change within the Council. The Committee note that commercialisation can feel challenging and staff, managers and elected members need to be guided and supported through the process.
 6. That all Heads of Service be engaged in the process of moving to an increasingly commercial culture and in identifying income streams.
 7. That in addition to a “top down” approach to identifying commercial strategies and income streams, a “bottom up” approach be encouraged for front line staff to report areas where they feel fee levels are wrong and to identify new areas of potential income streams. A platform for staff to do this should be created with clear feedback provided.
 8. That the true costs of Council services be understood to ensure that when full cost recovery is sought, it is based on accurate cost figures.

- 9. That any restructures within the Council ensure the right grade of staff for the work. It is costly to have the wrong grade of staff carrying out certain tasks and management structures should be studied closely with analysis based on role breakdowns and not just title and grade. This is to ensure that services can be profitable or cost neutral by making as efficient use of all skills as possible.
- 10. That the Council's "Contributions" to non-statutory services be thoroughly analysed to help make difficult choices. Some services are routinely being subsidised at higher rates than others purely due to annual and historic price rises affecting costs differently across services. If there is subsidy from the Council it needs to be properly assessed and based on policy not applied randomly from historic price uplifts and ineffective cost analysis of inflationary increases.
- 11. That examples of best practice from other local authorities be continued to be studied as routine to ensure that the Council is considering all potential options to help protect services.

7. Select Committee work programme

7.1 Katie Wood, Scrutiny Manager presented the item to the committee requesting any additional comments on the items scheduled in the work programme.

7.2 **RESOLVED:**

That the report be noted and the work programme be agreed subject to the following amendment:

That an update on the complaints review as listed in savings proposal I3, be scheduled for the meeting in March.

8. Referrals to Mayor and Cabinet

8.1 **RESOLVED:**

That the Income Generation Review report and recommendations be referred to Mayor and Cabinet.

The meeting ended at 7.55 pm

Chair: _____

Date: _____

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Agenda Item 2

| | | | |
|---------------------|----------------------------------|-----------------|-----------------|
| Committee | Public Accounts Select Committee | Item No. | 2 |
| Title | Declarations of Interest | | |
| Wards | | | |
| Contributors | Chief Executive | | |
| Class | Part 1 | Date | 2 December 2015 |

Declaration of interests

Members are asked to declare any personal interest they have in any item on the agenda.

1 Personal interests

There are three types of personal interest referred to in the Council's Member Code of Conduct:-

- (1) Disclosable pecuniary interests
- (2) Other registerable interests
- (3) Non-registerable interests

2 Disclosable pecuniary interests are defined by regulation as:-

- (a) Employment, trade, profession or vocation of a relevant person* for profit or gain
- (b) Sponsorship –payment or provision of any other financial benefit (other than by the Council) within the 12 months prior to giving notice for inclusion in the register in respect of expenses incurred by you in carrying out duties as a member or towards your election expenses (including payment or financial benefit from a Trade Union).
- (c) Undischarged contracts between a relevant person* (or a firm in which they are a partner or a body corporate in which they are a director, or in the securities of which they have a beneficial interest) and the Council for goods, services or works.
- (d) Beneficial interests in land in the borough.
- (e) Licence to occupy land in the borough for one month or more.
- (f) Corporate tenancies – any tenancy, where to the member's knowledge, the Council is landlord and the tenant is a firm in which the relevant person* is a partner, a body corporate in which they are a director, or in the securities of which they have a beneficial interest.
- (g) Beneficial interest in securities of a body where:-
 - (a) that body to the member's knowledge has a place of business or land in the borough; and

- (b) either
- (i) the total nominal value of the securities exceeds £25,000 or 1/100 of the total issued share capital of that body; or
 - (ii) if the share capital of that body is of more than one class, the total nominal value of the shares of any one class in which the relevant person* has a beneficial interest exceeds 1/100 of the total issued share capital of that class.

*A relevant person is the member, their spouse or civil partner, or a person with whom they live as spouse or civil partner.

(3) Other registerable interests

The Lewisham Member Code of Conduct requires members also to register the following interests:-

- (a) Membership or position of control or management in a body to which you were appointed or nominated by the Council
- (b) Any body exercising functions of a public nature or directed to charitable purposes, or whose principal purposes include the influence of public opinion or policy, including any political party
- (c) Any person from whom you have received a gift or hospitality with an estimated value of at least £25

(4) Non registerable interests

Occasions may arise when a matter under consideration would or would be likely to affect the wellbeing of a member, their family, friend or close associate more than it would affect the wellbeing of those in the local area generally, but which is not required to be registered in the Register of Members' Interests (for example a matter concerning the closure of a school at which a Member's child attends).

(5) Declaration and Impact of interest on member's participation

- (a) Where a member has any registerable interest in a matter and they are present at a meeting at which that matter is to be discussed, they must declare the nature of the interest at the earliest opportunity and in any event before the matter is considered. The declaration will be recorded in the minutes of the meeting. If the matter is a disclosable pecuniary interest the member must take no part in consideration of the matter and withdraw from the room before it is considered. They must not seek improperly to influence the decision in any way. **Failure to declare such an interest which has not already been entered in the Register of Members' Interests, or participation where such an interest exists, is liable to prosecution and on conviction carries a fine of up to £5000**
- (b) Where a member has a registerable interest which falls short of a disclosable pecuniary interest they must still declare the nature of the interest to the

meeting at the earliest opportunity and in any event before the matter is considered, but they may stay in the room, participate in consideration of the matter and vote on it unless paragraph (c) below applies.

- (c) Where a member has a registerable interest which falls short of a disclosable pecuniary interest, the member must consider whether a reasonable member of the public in possession of the facts would think that their interest is so significant that it would be likely to impair the member's judgement of the public interest. If so, the member must withdraw and take no part in consideration of the matter nor seek to influence the outcome improperly.
- (d) If a non-registerable interest arises which affects the wellbeing of a member, their, family, friend or close associate more than it would affect those in the local area generally, then the provisions relating to the declarations of interest and withdrawal apply as if it were a registerable interest.
- (e) Decisions relating to declarations of interests are for the member's personal judgement, though in cases of doubt they may wish to seek the advice of the Monitoring Officer.

(6) Sensitive information

There are special provisions relating to sensitive interests. These are interests the disclosure of which would be likely to expose the member to risk of violence or intimidation where the Monitoring Officer has agreed that such interest need not be registered. Members with such an interest are referred to the Code and advised to seek advice from the Monitoring Officer in advance.

(7) Exempt categories

There are exemptions to these provisions allowing members to participate in decisions notwithstanding interests that would otherwise prevent them doing so. These include:-

- (a) Housing – holding a tenancy or lease with the Council unless the matter relates to your particular tenancy or lease; (subject to arrears exception)
- (b) School meals, school transport and travelling expenses; if you are a parent or guardian of a child in full time education, or a school governor unless the matter relates particularly to the school your child attends or of which you are a governor;
- (c) Statutory sick pay; if you are in receipt
- (d) Allowances, payment or indemnity for members
- (e) Ceremonial honours for members
- (f) Setting Council Tax or precept (subject to arrears exception)

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| PUBLIC ACCOUNTS SELECT COMMITTEE | | |
|----------------------------------|---|-------------------------------------|
| Report Title | Public Realm Works - Monitoring | |
| Key Decision | No | Item No. 3 |
| Ward | All | |
| Contributors | Director of Regeneration and Asset Management | |
| Class | Part 1 | Date: 2 nd December 2015 |

1. Purpose:

1.1 The Public Accounts Select Committee agreed to undertake a review of the delivery of the council's public realm works as part of its work programme for 2015/16. This report and appendices, coupled with evidence to be provided at the meeting, will provide information for the Committee to discuss as part of the monitoring process.

2. Recommendations:

2.1 The Select Committee is asked to note the contents of the report and consider the information presented at Committee.

3. Policy Context:

3.1 A number of strategies and plans are relevant to the proposed monitoring.

3.2 Lewisham's overarching Sustainable Communities Strategy sets the vision for the future of the borough. One of its key priorities is to create a 'clean, green and liveable environment – where people live in high quality housing and can care for and enjoy their environment'. A contributory aim of this priority is to: "protect and enhance our parks, open spaces and local biodiversity".

3.3 Another priority is 'healthy, active and enjoyable place – where people can actively participate in maintaining and improving their health and well-being'. A further contributory aim to this priority is to: "improve the well-being of our citizens by increasing participation in healthy and active lifestyles.

3.4 The Regeneration Strategy '*people, prosperity and place*' is also relevant and links the Council's corporate priorities to the development and regeneration of Lewisham's communities, the local economy, the built environment and public realm.

3.5 Lewisham's latest Strategic Asset Management Plan (2015-2020) sets out

the opportunity to optimise the use of assets to maintain the quality of service provision while further driving reductions in expenditure and exposure to costs; and to reframe the focus across the borough based on the evolving picture on housing, regeneration, development and public realm. During the life of the last Asset Management Plan (2010-2014) the Council made savings of over £100m with significant savings achieved through better use of assets and management of public realm.

- 3.6 Lewisham's Open Space Strategy 2012 – 2017 outlines a vision 'to protect, enhance and cherish open space for the benefit of local people, the wider community and for future generations'. Its principal aims include: promoting and supporting urban renaissance; promoting social inclusion and community cohesion; promoting healthy lifestyles and wellbeing; protecting and enhancing open space; and to promote a safe and secure environment.

4 Background and Narrative:

- 4.1 At the meeting of the Public Accounts Select Committee on 14th April 2015 the Committee resolved to undertake a monitoring exercise looking at how public realm works are conceived, developed and managed within Lewisham as part of its work programme for the municipal year 2015/16.

- 4.2 Members were interested in how public realm works are developed from inception through to delivery and in particular the framework and processes around how the contracts are procured, managed and closed-off, and how any lessons learned are filtered through future public realm works.

- 4.3 The borough has seen significant change over the past decade. Over the same period the Council has delivered a considerable number of important and beneficial public realm schemes across the borough. These have and continue to have a significant impact in supporting the borough's infrastructure, particularly in providing improved places for citizens with a focus on the environment, play, health and public safety.

- 4.4 Public realm is defined as any publicly owned streets, pathways, rights of way, parks, publicly accessible open spaces and any public and civic building and facilities. The quality of our public realm is vital if we are to be successful in creating environments that people want to live and work in. Public realm works are therefore works/projects carried out to create or improve the existing public realm.

- 4.5 As noted above, the council together with its partners have invested in a number of key public realm projects over the past decade with others currently in delivery or being developed. **Appendix A** provides a summary of some recent public realm projects delivered by the council. It also includes those in delivery and others currently planned over the coming years.

- 4.6 These projects fall in three main categories:

i) works to public places such as streets, public squares, public areas

etc.

- ii) works to parks and green spaces
- iii) works to provide access and public realm to support new developments

4.7 Public realm projects are mainly delivered across two directorates - Resources & Regeneration (Regeneration and Asset Management Division) and Customer Services (Green Scene). The projects are conceived and funded in a variety of ways:

- i) Through annual submissions to bid for Local Implementation Plan (LIP) or major works funding via Transport For London (TfL): these schemes generally provide improvements to London streets and high streets aiming to improve driving, cycling, parking and pedestrian experiences and often link to wider London objectives such as the: provision of Cycle Super Highways, improving journey times etc. Some good examples are the recently completed projects on Ladywell Road and Sydenham High Street.
- ii) The council's capital programme, for example: major improvements to Pepys Parks and areas across the housing estate were made possible through a capital receipt from the sale of Aragon Tower on the river front in Deptford.
- iii) Through funding from Government agencies such as: the Greater London Authority (GLA). For example, bids were made for Outer London Funding (OLF) to enable major improvements to Deptford High Street and Catford Broadway encompassing new infrastructure and landscaping to the streets as well as other town centre initiatives.
- iv) Planning Framework via S.106 contributions and Community Infrastructure Levy(CIL) allocations that are derived from Planning Conditions which require developers to provide local infrastructure to support their developments. In some instances these are delivered by the developers themselves (with supervision from the Planning Department and Officers in the Highways team) and in others, the developers provide funding for the authority to undertake the works.
- v) Also, some other schemes or projects are conceived and funded bids or partnerships with agencies such as: Heritage Lottery, The Environment Agency, Big Green Lottery, Pocket Park Funding, The Lottery Fund, EU Life. For example European funding (QUERCUS funding) enabled river works to the North Field in Ladywell Park and to Cornmill Gardens in Lewisham town centre).

4.8 Public realm projects often serve as catalysts for change. They are a key part of a Master Planning process in designing and shaping the "Place" and in helping drive inward investment. The North Lewisham Links (NLL) Programme is a good example of this.

4.9 As well as serving as catalysts, these projects and programme often offer a

number of other benefits and outcomes including:

- i) improved safety and reduced fear of crime: this can be achieved through opening up sightlines and entrances, better lighting, increasing opportunities for use therefore providing natural surveillance as more people use the space generating a greater level of activity;
- ii) good use of materials and plants to create a softer landscape and a greener route to will encourage wildlife
- iii) improved play for all ages and an opportunity for people to enjoy the environment.
- iv) better cycling provision, cycle parking and access for those with mobility issues
- v) better pedestrian connections to encourage walking rather than driving or using public transport for short journeys, linking closely to the health agenda for the borough to improve the health and well-being of its community.

4.10 This report is designed to outline the overall project and programme management framework for project delivery across the council including the delivery of public realm works or projects. It does not focus on any particular project or programme but touches, in broad terms, on the framework for delivering public realm works within LBL and how corporate oversight is provided for management and delivery of all projects. A number of appendices have also been included to support the delivery framework.

5 Project and Programme Management Framework:

- 5.1 The delivery all projects and programmes (including public realm projects) are carried out within Lewisham's agreed project management framework which has been developed around the "Projects In Controlled Environments" (PRINCE2) methodology of project delivery. The process is set out in the Council's Project Management Handbook attached as **Appendix B**.
- 5.2 The Handbook provides a standard framework for project management within the Council. The guidance in the Handbook is followed for all projects where total project costs are £40,000* or above. Compliance with the guidance provided by the Handbook is also required by the Council's Financial Regulations. Its overall aim is to achieve a consistency of approach and adoption of best practice, by providing clear guidance on what is required to successfully manage a project throughout the project lifecycle.
- 5.3 The key document in project delivery is the Project Initiation Document (PID). The PID outlines amongst others: the business case; roles and responsibilities; budget and funding; outcomes and benefits; duration; risks; interface and interdependencies; communication and consultation; governance and control; procurement; and project closure.

6 Governance and Oversight:

6.1 The Regeneration and Capital Programme Delivery Board has responsibility and accountability for the delivery of all Regeneration and Capital projects and programmes (of the built environment) and ensuring that all projects and programmes are adequately and appropriately resourced. This also includes the delivery of all public realm projects and programmes.

6.2 It is been established to support the Regeneration Board's objectives, specifically through ensuring that:

i) it sets the annual Regeneration and Capital programme in advance of each financial year.

ii) a consistent and corporate approach is taken to the development and authorisation of all Project/Programme Initiation Documents (PID) and the associated financing and funding of projects/programmes,

iii) strategic guidance is provided to SROs/PMs at key stages of each project's/programmes lifecycle to ensure key decisions are taken (which require input from senior managers across the Council), accountability is instilled and that project delivery meets wider Council objectives,

iv) a consistent and corporate approach is taken to the monitoring, management and delivery of all projects/programmes.

v) it is enabled to manage the delivery of the Programme through appropriate delegated powers (in accordance with the Council's schemes of delegation and standing orders),

vi) it provides periodic higher level feedback to the Regeneration Board regarding progress and learning points (mainly to assist with revised strategy).

6.3 The Board's work places greater emphasis on the management of risk to inform investment decisions. The Board meets on a bi-monthly basis (ahead of Regeneration Board) to review projects and make recommendations to the Regeneration Board.

6.4 The delivery of a typical project requires Project Managers to submit Highlight Reports to the Board to indicate spend and progress on projects and a traffic light system is used to identify and evaluate project risks. Projects are also required to have internal project monitoring and oversight provided by the Senior Responsible Officer or Sponsor of a particular project.

6.5 All public realm projects and works operate within the governance and oversight framework described above.

7 Procurement and Contract Management:

7.1 Lewisham has produced a guide to the procurement and management of the

whole contract cycle, known as 'Contract Procedure Rules for the supply of Goods, Services and Works' which is attached at **Appendix C**. It sets out the various steps and key stages of the procurement and contract process and rules, council policies, relevant legislations and legal requirements for procurement and letting of all contracts.

7.2 Members should pay particular attention to Chapter 5 where contract risk management is addressed. There is also a practice note that goes into more detail on how to manage contracts attached at **Appendix D**. Again members' attention is drawn to Chapter 3 where further details can be found.

7.3 The delivery of public realm works is undertaken through the guidance provided by these documents.

8 Lessons Learned:

8.1 Once a project is completed a Project Closure report is prepared by the Project Manager highlighting the benefits achieved and any lessons learned to avoid repetition of events that have not gone well through future projects. This is reported and evaluated by the Capital Programme Delivery Board.

8.2 Projects are unique by their very nature therefore it is difficult to identify a specific set of lesson's learned, however **Appendix E** provides some common lessons learned that have already resulted in action taken or will require some further input by officers to avoid them reoccurring.

9 Further Implications:

9.1 At this stage there are no specific financial, legal, environmental or equalities implications to consider. However, each is addressed as part of any project development and delivery.

Appendices

- ❖ Appendix A: Summary Public Realm Projects
- ❖ Appendix B: Project Management Handbook
- ❖ Appendix C: Contract Procedure Rules For Supply Of Goods, Services and Works.
- ❖ Appendix D: Practice Note – Managing Contracts
- ❖ Appendix E: Public Realm Works – Sample Lessons Learned Log

If you would like further information on this report please contact Kplom Lotsu, SGM Capital Programme Delivery extension **49283**

LB Lewisham Public Realm Schemes in the last 10 years to 2015

| <u>Regeneration and Asset Management Team</u> | | | | | |
|--|---|--------------------------|---------------------------------|-----------------------------------|--------------------|
| <u>Scheme</u> | <u>Brief Description</u> | <u>Contractor</u> | <u>Period Undertaken</u> | <u>Lead Officer/Team</u> | <u>Cost</u> |
| Ladywell Fields (north) | Works to northern field: <ul style="list-style-type: none"> • Landscaping • Secondary river channel • Creation of a Weir | Fergal Contractors Ltd | March 2006 – Dec 2007 | Martin Hodge Capital Delivery | £400K |
| Cornmill Gardens | Public realm and river works: <ul style="list-style-type: none"> • Landscaping • Lighting • Monolith Beacon • Planting • Sculptures • Opening up access to the river • Flood defence | Skanska | April 2005 –Dec 2007 | Martin Hodge Capital Delivery | £1.8M |
| Frankham Street Boulevard | Replacement car parking scheme (replaced car park on Deptford Lounge site) including: <ul style="list-style-type: none"> • Paving • Lighting • SUD's system (Sustainable Urban Drainage) • Monolith sign • Mural | Conway | 2008-2009 | David Booth Capital Delivery | £660K |
| Giffin Square | Public realm imp's in conjunction with Deptford Lounge including: <ul style="list-style-type: none"> • Paving & creation of an events space | Galliford Try | 2012-2013 | Galliford Try Capital Delivery | £800K |

| | | | | | |
|---------------------|--|--------------------|-----------|------------------------------------|------------------------------------|
| | <ul style="list-style-type: none"> • Tree's • Lighting • In-ground power • Monolith sign | | | | |
| Clifton Rise | <p>North Lewisham Links (NLL) Scheme:</p> <ul style="list-style-type: none"> • Link to park • New paving • New drainage • New lighting • Street furniture • Monolith sign | Convoys | 2010-2012 | Sandra Plummer Capital Delivery | £230K |
| Fordham Park | <p>North Lewisham Links (NLL) Scheme:</p> <ul style="list-style-type: none"> • Paving • Lighting • Planting • Play installation: (under 5's, older children's play, table tennis tables mini MUGA youth shelter) • Large monolith beacon Park sign | Volker Fitzpatrick | 2010-2012 | Sandra Plummer Capital Delivery | £1.6M |
| New Cross Underpass | <p>North Lewisham Links Scheme:</p> <ul style="list-style-type: none"> • New paving • New lighting and art installation • New drainage • Brick cleaning • New paved approach each end • Monolith way finding sign • New CCTV camera | Volker Fitzpatrick | 2010-2012 | Sandra Plummer Capital Delivery | Included within Fordham Park costs |

| | | | | | |
|--|--|--------------------|-----------|------------------------------------|-------|
| | <ul style="list-style-type: none"> • Trees • Boundary railings and planting (trees, shrubs) | | | | |
| Pagnell St | <p>North Lewisham Links (NLL) Scheme:</p> <ul style="list-style-type: none"> • Renewed paving along park boundary to pavement • Raised table between park and NX underpass • Relocation of bus stop | Volker Fitzpatrick | 2010-2012 | Sandra Plummer Capital Delivery | £34K |
| Amersham Vale - Street Imp's new Cross Rd to New Cross Station | <p>North Lewisham Links (NLL) Scheme:</p> <ul style="list-style-type: none"> • New paving • New drainage • New lighting • Monolith way finding sign • Street furniture | Conways | 2010-2012 | Sandra Plummer Capital Delivery | £55K |
| Margaret McMillan Park | <ul style="list-style-type: none"> • New route from New Cross to Deptford (NLL's) • Paving, • Lighting, • Planting • Playground improvements • Large monolith beacon Park sign | English Landscapes | 2010-2012 | Sandra Plummer Capital Delivery | £678K |
| Watson St | <p>North Lewisham Links (NLL) Scheme:</p> <ul style="list-style-type: none"> • Relocation of Zebra crossing • Monolith sign | Convoys | 2011-2013 | Sandra Plummer Capital Delivery | £45K |
| Douglas Way | <p>North Lewisham Links (NLL) Scheme:</p> <ul style="list-style-type: none"> • New paving • New drainage • New market pitch layout | Maylim Ltd | 2011-2013 | Sandra Plummer Capital Delivery | £865K |

| | | | | | |
|------------------------------|--|-----------------|-----------|---|-------|
| | <ul style="list-style-type: none"> • In-ground market elec supplies • Trees • New lighting • New Catenary lighting • Street furniture • Creation of landscaping to accommodate future link via listed ramp to Deptford station | | | | |
| Giffin Street Public Realm | <ul style="list-style-type: none"> • Improvement to public realm in front of 3 housing blocks including: trees planting, surfacing • Public realm between blocks and Frankham St boulevard including: planting, steps, DDA ramps | Maylim Ltd | 2013 | Sandra Plummer Capital Delivery | £161K |
| Deptford High Street (South) | <p>Outer London Fund Public Realm Scheme including:</p> <ul style="list-style-type: none"> • New design & landscape • New paving • New Lighting • In grd elec market power • New drainage • Trees • CCTV imp's • 6 shop front improvements • Parking RPZ • Town Centre Initiatives | Maylim Ltd | 2013-2015 | Sandra Plummer Capital Delivery | £2.2M |
| Catford Broadway | <p>Outer London Fund Public Realm Scheme including:</p> <ul style="list-style-type: none"> • New design & landscape | Volker Highways | 2013-2015 | Eleanor Hoyle/ Gavin Plaskitt/ Sandra Plummer | £2.1M |

| | | | | | |
|-------------|---|-----------------|-----------|------------------------------------|-----|
| | <ul style="list-style-type: none"> • New paving • New Lighting • In grd elec market power • New drainage • Trees • CCTV imp's • 20+ shop front improvements • Parking CPZ improvements • Town Centre Initiatives | | | | |
| Pepys Parks | <p>Public realm imp's using capital receipt from sale of Aragon Tower including:</p> <p>Lower Pepys Park:</p> <ul style="list-style-type: none"> • Landscaping • Lighting • Trim Trail • MUGA • Older childrens play • Planting • Monolith way finder • Furniture • Football pitch markings <p>Upper Pepys Park:</p> <ul style="list-style-type: none"> • Landscaping • Lighting • Younger childrens play area • Planting • Monolith way finder • Furniture • Imp's to Nature conservation area | Volker Highways | 2011-2013 | Sandra Plummer Capital Delivery | £3M |

| | | | | | |
|---|---|---------|-----------|--|-----|
| | <p>Grove Sq Gardens:</p> <ul style="list-style-type: none"> • Landscaping • Lighting <p>Aragon Gardens:</p> <ul style="list-style-type: none"> • Landscaping • Lighting • Furniture • Pepys 16m lighting sculpture • Monolith way finder <p>Admiralty Sq:</p> <ul style="list-style-type: none"> • Landscaping and paths <p>St Georges Sq:</p> <ul style="list-style-type: none"> • Landscaping • Lighting • Planting • Furniture • Monolith Wayfinder | | | | |
| Parklands – Ladywell Fields (Middle and Southern Fields imp’s incl flood defence) | <p>Middle Field:</p> <ul style="list-style-type: none"> • Landscaping • Paths • Lighting • Dry river bed and sculptures • Planting and trees • Bridge • Works to river • Works with EA on flood defence <p>Southern Field:</p> <ul style="list-style-type: none"> • Landscaping • Paths | Breheny | 2012-2015 | Alison Taylor/ Sandra Plummer Capital Delivery | £2M |

| | | | | | |
|--------------------------|--|-------------|--|---|-------|
| | <ul style="list-style-type: none"> • Lighting • Planting and Trees • Bridge • Works to river • Play area • Orchard | | | | |
| Mountsfield Park | <ul style="list-style-type: none"> • Landscaping • Childrens Play Area • Community Garden • Feasibility, Planning App and reserved (£50K) as match fund for a future cafe | T. Loughman | 2014-2015 | Sandra Plummer Capital Delivery | £525K |
| Evelyn St Junction | Concept plan to provide a new junction to accommodate the future increased population of Convoys Wharf and the expected convoy of pedestrians moving towards Deptford station | TBC | TBC | Simon Moss/ Sandra Plummer Capital Delivery team | TBC |
| Deptford High St (NORTH) | TFL LIP funded Scheme to regenerate the street including: <ul style="list-style-type: none"> • New Landscaping • New carriageway • New Paving • New Lighting • Taxi rank near station • In ground power for some market stalls • Traffic calming • Changes to parking • Imps for cyclists | TBC | Due to Commence on site late 2016 | | £2.8M |

| | | | | | |
|--------------------------------|--|--------------------------|--|--|--------------------|
| | <ul style="list-style-type: none"> • Trees - TBC | | | | |
| Surrey Canal Linear park | <p>North Lewisham Links (NLL) Scheme enabled through S.106 funding from Cannon Wharf: Creating a park and route through Pepys estate to connect the Plough Way development through to the future Oxestalls Rd development including:</p> <ul style="list-style-type: none"> • Landscaping • Paths • Lighting • Play elements • Sculpture • Planting • Trees | T. Loughman | Due to commence on site 23 Nov 2015 – July 2016 | Fran Kellaway/ Sandra Plummer Capital Delivery | £1.2M |
| Beckenham Place Park | <p>Heritage Lottery Fund and work with the EA to encourage greater use and improved facilities for local families and visitors including:</p> <ul style="list-style-type: none"> • Restore the Listed Homesteads to create a learning centre • Restore historic parkland • River works and flood defence • Play and park improvements | TBC | In progress | Alison Taylor Capital Delivery Team | £4.9M |
| <u>Highways Schemes</u> | | | | | |
| <u>Scheme</u> | <u>Brief Description</u> | <u>Contractor</u> | <u>Period</u> | <u>Lead Officer</u> | <u>Cost</u> |

| | | | undertaken | | |
|------------------|--|--------------------|-------------------|---------------------------------------|--------------|
| Kender Triangle | TFL LIP funding to carry out Imp's to make Kender St and Besson St local access roads & to reduce accidents, including: <ul style="list-style-type: none"> • Removal of the gyratory • Public realm & landscaping • Footway works • Surfacing works • Trees • Safer crossing points • Improvements for cyclists | FM Conways | 2009-2011 | Tom Henry/ Keith Gordon Highways Team | £1.5M |
| Brockley Cross | <ul style="list-style-type: none"> • Complex traffic management • Rearranging roundabout • Resurfacing • Lighting • Footways works | FM Conways | 2012-2013 | Tom Henry Highways Team | Approx £300K |
| Ladywell Village | TFL LIP funding to regenerate village centre including: <ul style="list-style-type: none"> • Carriageway works • Paving • Lighting • Raised table • Signal works • Cycling improvements • Cycle parking • Changes to parking • Street furniture | FM Conways | 2013-2014 | Les Senior Highways | £1.8M |
| Sydenham High | TFL LIP funding to regenerate and | JB Rineys & Co Ltd | 2013-2014 | Tom Henry | £2.8M |

| | | | | | |
|---|---|-------------------------------------|--|----------------------------|--------------------|
| Street | improve the High St including: <ul style="list-style-type: none"> • Landscaping and footway widening • Carriageway re-alignment • Creation of public spaces • New Lighting • Tucan crossing • Drainage works • Relocation of bus stops • Tucan crossing • Trees • Traffic calming measures (20mph zone) | | | Highways team | |
| Coulgate Street | Various Street improvements | Eurovia Infrastructure Ltd | Due to commence :31 Jan 2016 | Tom Henry | £365K |
| <u>Schemes Delivered by the Green Scene Team</u> | | | | | |
| <u>Scheme</u> | <u>Brief Description</u> | <u>Contractor</u> | <u>Period undertaken</u> | <u>Lead Officer</u> | <u>Cost</u> |
| | | | | | |
| Deptford Park | Improvements to the Children's Play Area | Need more info from Martin | | Martin Hyde | |
| Folkestone Gardens | Introducing a Freestyle Skate park to play area | Freestyle Skate Parks | | Martin Hyde | £250K |
| | | | | | |
| <u>Schemes Delivered By Developers</u> | | | | | |
| <u>Scheme</u> | <u>Brief Description</u> | <u>Contractor/ Developer</u> | <u>Period undertaken</u> | <u>Lead Officer</u> | <u>Cost</u> |
| Bridge House Meadows | Improvements to the park in preparation to provide better access | Rail For London (RFL) | 2011-2012 | TFL/ RFL | £500-£1M |

| | | | | | |
|------------------|--|--|--------------------------------|------------------------------|--------------|
| | to the future station in Surrey Canal Road and to reinstate after the London Overground Ext link from Surry Quays and Queens Rd Peckham works through the park including implementation of two underpass's | | | | |
| Batavia Rd | Works to street realm: <ul style="list-style-type: none"> • Pedestrian street • Lighting • Paving • Trees • Street furniture • Public café space • Public Artwork | Wilmot Dixon | 2014 - 2015 | Planning | Approx £700K |
| Deptford Station | Working with Network Rail to provide a brand new station for Deptford including some public realm works | Volker | 2011-2013 | David Booth/ Network Rail | £10M |
| Deptford Project | Cathedral Group: <ul style="list-style-type: none"> • Works to Listed ramp and creating an opening to Douglas Way • Landscaping and paving • Lighting • Opening the arches to create small business hubs | Bower Contractors Cathedral Group Developers | In progress: 2013 -2015 | Planning | |
| Lewisham Gateway | Public realm improvements to support large scale housing provision | Muse Contractors Road works: VolkerFitzpatrick | In progress | Planning | Approx £20M |
| Amersham Vale | Park are along Edward St to | Barratts | TBC | Planning | Part of |

| | | | | | |
|----------------------------|---|----------------|--------------------|----------|--------------------------------|
| | provide compensatory space lost at Fordham park through build of Deptford Park School | | | | whole development as per s.106 |
| Plough Way | Provision of a linear park and route to connect through Pepys estate and to the future Oxestalls Road development | Berkeley Homes | In progress | Planning | Approx £800K |
| Oxestalls Road Development | Works to create new streets within development Linear route with a water feature Opening up the Underpass | Lendlease | | Planning | £3M |
| Cannon Wharf Development | Creating Public Realm, Square, pedestrian streets Green Market Square | Barratt Homes | In Progress | Planning | Approx £2M |



Project Management Handbook

Delivering your projects to time, cost and quality



Version 4: June 2015

Performance and Programme Management Team

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1. Introduction

This Handbook provides a standard framework for project management within the Council. **The guidance in the Handbook needs to be followed for all projects where total project costs are £40,000* or above. Compliance with this guidance is required by the Council's Financial Regulations.** Its overall aim is to achieve a consistency of approach and adoption of best practice, by providing clear guidance on what is required to successfully manage a project throughout the project lifecycle. i.e.

- Identifying the key phases of a project lifecycle
- Describing the essential components and processes of each Phase
- Providing generic templates
- Describing structures, roles and processes that ensure proper project governance
- Putting an emphasis on early planning and decision-making, to ensure that projects only proceed when there is a good business case, sufficient resources and adequate pre-planning.

Who needs to use it? The Handbook is a reference for anyone who needs to be involved with a project within the Council:

- Project managers - responsible for developing & day-to-day management of the project
- Members of the project team
- Senior managers responsible for authorising projects, giving strategic direction & support
- Corporate project support staff, who will use the Handbook to disseminate good practice

Structure of the Handbook. The sections of the Handbook describe what is required at each phase of a project, preceded by a section on roles & responsibilities within a project structure:

- Project Organisation & Governance – roles & responsibilities, structures for delivery & decision-making
- Project Start-up – Establishing a business case, confirming objectives, intended benefits, early planning
- Project Initiation – Detailed planning, producing the Project Initiation Document (PID)
- Managing Project Delivery – Implementation phase; managing delivery, monitoring & reporting progress, dealing with issues
- Closing a Project – Review of performance against PID, lessons learned.

Appendices provide information on project management tools and on Lewisham templates, structures & requirements.

This Handbook has been produced by the Programme Management Team, whose role is to provide support to Lewisham's project management community. Contact the Team for further advice about this Handbook or on other aspects of project management. The Handbook, templates and further guidance will be maintained on the [Capital Delivery Board sharepoint site](#).

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Note: The £40,000 figure applies to external project costs, i.e. not including staff costs covered by existing revenue budgets. Also note that senior managers may determine that initiatives below this level need to be managed as projects due to their high impact / sensitivity.

2. The Lewisham Approach to Project Management

Why do we need a project management framework?

Most public sector organisations now recognise programme and project management as central to the successful delivery of their key programmes of work. Project activity in Lewisham represents a very substantial investment of public money and is critical to our work as a Local Authority, but inevitably involves an element of risk. To ensure projects are delivered on time, on budget and with the intended outcomes for our community, it is vital that we have an effective project management methodology.

The approach described in this Handbook is founded on well-established principles of project management and broadly follows the PRINCE2 model. PRINCE2 is now recognised as the preferred framework for public sector project management and many Authorities are adopting an approach based on this model. Where appropriate, PRINCE2 terminology has been adopted to provide a common language and enable communication with external organisations and consultants.

The Lewisham Approach has been developed in response to:

- An increasing need to manage a wide range of complex projects (construction, regeneration, ICT, service re-configuration) more effectively through all Phases
- A need to support project managers working within Lewisham
- A need to define and strengthen the senior management role in project development and delivery
- The results of Best Value Reviews, other internal reviews and lessons learnt from project delivery in LBL
- The Gershon review of Efficiency
- Other initiatives / pressures from Central Government, requiring the public sector to further improve its project management performance

Principles of Good Project Management

A structured project management methodology helps the project manager deliver effectively and significantly improves the likelihood of project success. It's starting point is reaching a common understanding of the project's objectives & scope, how it is to be organised and delivered, the resources required and the risks involved. The Council's approach is based on gaining a thorough appreciation of a project before committing substantial resources.

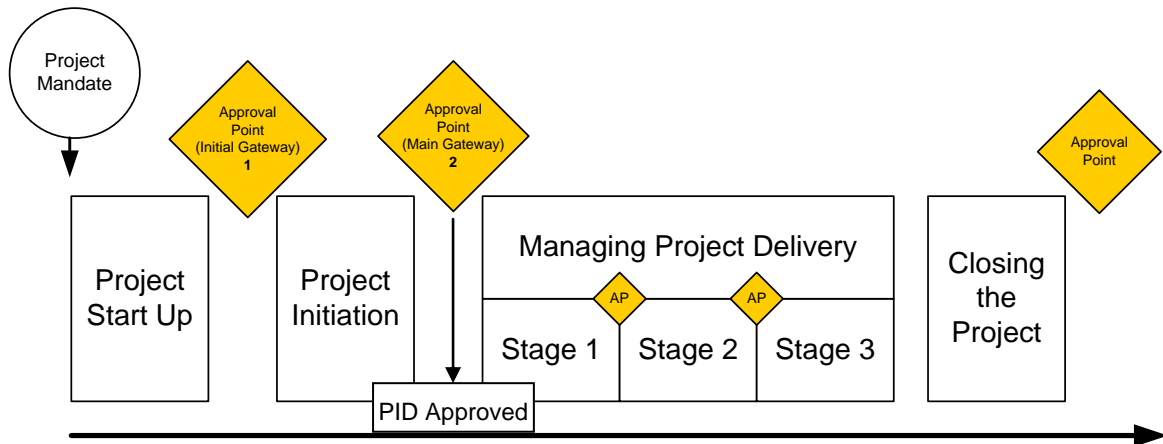
Using a structured approach will ensure:

- A controlled and organised start, middle and end
- Clearly defined Roles & Responsibilities
- A governance structure that provides adequate control & support, appropriate decision points, management by exception
- Regular reviews of progress against the project plan and Business Case
- The involvement of key stakeholders at the right time during the lifecycle
- Active management of Risks
- Early warning of issues / deviations from the plan and the means to manage these
- Adequate control of changes
- Good communications within the project, with senior managers and with other stakeholders



The Project Lifecycle

The project lifecycle diagram below shows the 'management' phases of a project, the boundaries between them represent decision / approval points (Gateways), i.e. getting agreement to the commitment of resources and the authority to proceed from the Project Board and Project Review Group. For large or complex projects the 'Managing Project Delivery' phase may involve a number of stages with additional approval points.



Key project management outputs ('deliverables' / 'products') from each phase:

| Project Start-Up | Project Initiation | Managing Project Delivery | Closing the Project |
|--|--|--|---|
| <ul style="list-style-type: none"> Objectives & Scope Outline Business Case Project Approach High level Plan Initial Risk assessment Overview of Costs Initial Stakeholder Analysis Project structure <p><i>The above will be produced as a <u>draft PID</u> or <u>Project Brief</u></i></p> | <ul style="list-style-type: none"> Project Plan Updated Risk Register Refined Business Case Cost Plan Project Controls Communications Plan <p><i>Produced as part of the <u>Project Initiation Document</u></i> The PID & Project Brief templates can be found on the Project Management Template site</p> | <ul style="list-style-type: none"> Highlight (progress) Reports Exception Reports where required Change Requests Updated Project Plan, Risk Register, Lessons Learned Log & Issues Log | <ul style="list-style-type: none"> Closure / Lessons Learned Report Plan for Post Completion Review (where appropriate) |

These 2 phases are often combined in small, non-complex projects

Figure below shows how project activities might fit within these management phases. Note that this is only an example.

| | Project Start Up | Project Initiation | Managing Project Delivery | Closing the Project |
|---------------------------------------|---|---|---|---|
| Major I.T. Procurement Project | <ul style="list-style-type: none"> -Initial Scoping with SRO -Soft market testing -Option Appraisal work -Outline Bus. Case, incl. initial view of Costs, Risks. -Start work on assembling a Project Team & Board -Produce a consultant's brief <p>Seek approval to proceed, incl. appt of consultant</p> | <ul style="list-style-type: none"> -Select / appt consultant -Stakeholder Analysis -Set up Project Team / Board -Confirm Objectives / Scope with Board -Capture detailed requirements (spec.) -Refine pre-tender estimate of costs -Define procurement route, prepare tender documentation -Produce detailed Project Plan & Risk Register <p>PID Approval</p> | <p>Tender Process: Shortlisting - M&C Contracts Evaluation – M&C C (award)</p> <p>Install Customise & Configure Data Load & test Pilot & Launch</p> <p><i>Project Mgr monitors delivery, provides Highlight reports to Board/PRG. Uses Exception Reports / Change Control to deal with issues & requested changes</i></p> | <p>Project Mgr completes a Closure report for the Board, including Lessons Learned</p> <p>Approval to close project</p> |

Lifecycle Overview

Phase 1 - Project Start-Up

During this phase the objectives & draft scope are confirmed & some work will usually be started on specifying the 'deliverables' (tangible outputs / products). Key stakeholders will be identified and work may start to engage with them. The project organisation structure and roles / responsibilities for delivering and governing the project will be clarified. An outline Business Case will need to be produced, dependant on the nature of the project this may need to include an options analysis and a justification for the chosen approach. A high level delivery plan (timetable) will be drafted and an initial view formed on likely costs and risks. All this information is presented for approval (Initial Gateway) in the form of a draft PID or Project Brief. See p15 for further details on Start-Up.

Note: Start-Up and Initiation phases are often combined in small projects, without the need for an Initial Gateway. A separate Start-Up Phase with an Initial Gateway is required where further development of the project requires commitment of significant resources. The purpose of an Initial Gateway is to ensure that the project business case is valid, i.e. further investment of resources appears worthwhile and to tease out the key issues. An Initial Gateway is mandatory whenever the project wishes to bid for external funding.

Phase 2 - Project Initiation (Initiation Stage*)

This is the detailed planning phase/stage, further defining requirements for project deliverables and benefits. More detailed work will be done on planning tasks, timescales, costs and risks and the Business Case will be reviewed and refined in light of all this work. Resources will need to be allocated to the identified project tasks and any necessary procurement process started to obtain external expertise. The project controls will be designed; i.e. how progress / quality is to be monitored and reported, documents & data controlled, how issues are to be escalated and changes kept under control. In many cases it will be necessary to carry out a more thorough stakeholder analysis and design a communication plan that ensures that needs / expectations are addressed. **The key output from the Initiation Stage is the Project Initiation Document (PID).** This document provides the basis for the decision to proceed and **no project can go ahead without a PID that has been signed off by the project's Senior Responsible Officer (SRO) and then by the Chair of the Capital Delivery Board – at the Main Gateway.** See p23 for further details on Initiation.

Note: The SRO or Council processes may require more 'approval / decision' actions after PID approval, see overleaf for a note on financial / other approvals.

** Note: This phase is the Initiation Stage in the PRINCE2 model*

Phase 3 - Managing Project Delivery

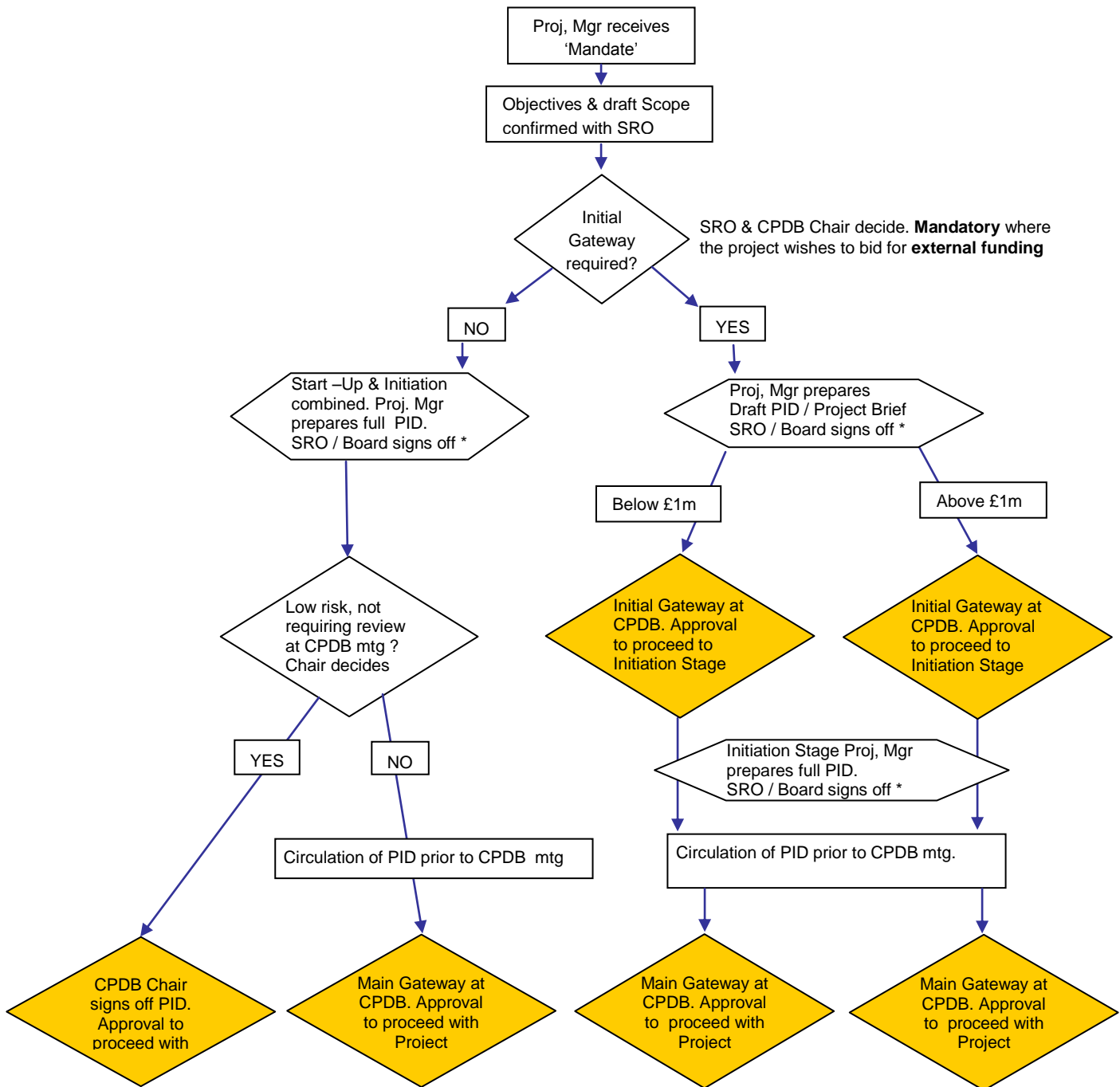
This is the implementation phase of the project, delivering the specialist work of the project as detailed in the PID. The project manager will be initiating & co-ordinating the work, monitoring and reporting delivery against the Project Plan and agreed quality criteria. Issues and Risks are logged as they arise & escalated where necessary. An appropriate change control system will be used to ensure that the impact of requested / required changes is understood and appropriate decisions are made. It is important to recognise that the PID is a live document, used to manage the project. Key elements of the PID must be updated to reflect any slippage / changes in scope / costs / risks etc. See p27.

Phase 4 - Closing the Project

This phase involves ensuring the project deliverables have been handed over, accepted as meeting the requirements and identifying any follow-on actions required. It may also require arranging for support / maintenance / operation of the deliverables. Arrangements need to be made for archiving of project documentation. The project manager will review performance against the PID and document this in the Project Closure Report. This includes 'Lessons Learned' unless a separate exercise is commissioned. The formal end to the project is sign-off of this report by the SRO, confirming project closure. In some cases, there will be a need to plan for a subsequent, post-completion review, in order to evaluate the extent to which the planned benefits from the project were realised. See p32.

Approval of Projects

The process of project approval is flexible to account for projects of differing sizes and complexity. The flow diagram below gives an overview of the different routes. Further detail is given in the sections on Start-Up and Initiation.



Note: **Gateway Reviews** at CPDB may require the attendance of other officers / those with specialist expertise. For some very large schemes an alternative Gateway mechanism may be used (e.g. OGC process using an external team)
 * SRO / Board decisions to sign off a draft / full PID are clearly an essential part of the Gateway process. These are included as part of 'PID preparation' merely to simplify the flow diagram

Note: **Financial & other approvals.** Other approvals may be required in order to allow your project to proceed, e.g:

- External Funding Bids (Ex. Dir or M&C)
- Tender Shortlist & Contract Award approvals, to M&C (Contracts) or Exec. Direc. dependant on nature / size of project
- Approval to commence appointment of consultants
- Approval for 'single tender action' (an exception to the general requirement for open tenders)

For further information see the [Desktop Guide to Procurement](#) or [Financial Procedures](#) as appropriate

Officers must build-in appropriate timescales for these approval processes and those regarding any statutory consents required (e.g. planning permission)

Lewisham's definition of Projects & Programmes

Project

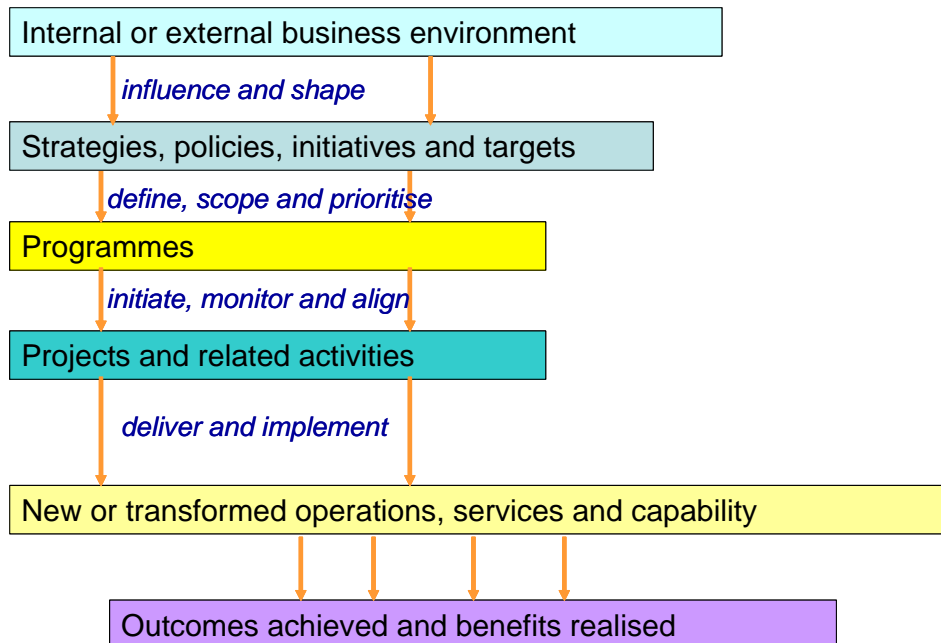
“A series of co-ordinated activities planned to achieve a clear objective within a defined time-scale, within a defined budget & to the required quality.”

It is also often also described in terms of a *temporary structure* that is disbanded when the work has been completed. Projects will normally have the following characteristics:

- clear objective(s) & business case
- specified end product meeting a business need
- produces benefits
- temporary Organisation structure
- clear start & end dates
- defined budget
- involves a change
- unique, non-recurring

Programme

A programme is a portfolio of projects that share a set of strategically important desired outcomes and benefits. Programme management involves organising, directing and implementing these projects in a co-ordinated way to maximise overall benefit realisation. There are very often interdependencies between projects in a programme and there may be shared resources. With this in mind, it will usually be clear whether a group of projects needs to be managed as a programme. Where the above conditions exist, the need for and advantages of a having a level of strategic overview, co-ordination and control above the project level are self-evident. The Programme Manager / Board will be sufficiently detached from the detailed project activities to focus on the overall vision / outcome and will have a grasp of the bigger picture.



Work package

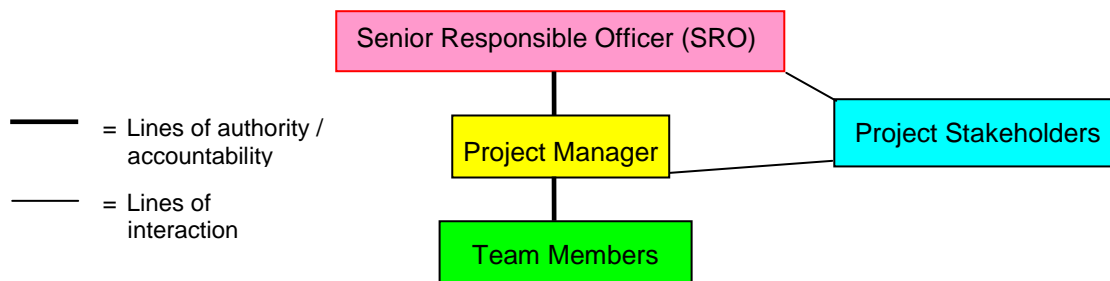
A term used in PRINCE2 to describe the information given to an individual / Team who are producing a project product. It will contain a 'Product Description(s)' / specification for the product, including quality criteria, agreed timescales, reporting requirements to the project manager (called Checkpoint Reports in PRINCE2) and any special instructions.

3. Project Organisation and Governance

For every project, the structures for delivery and decision-making need to be established at an early stage and be appropriate to the project's scale and complexity. Roles and responsibilities need to be clear, documented in the PID and signed up to by all concerned.

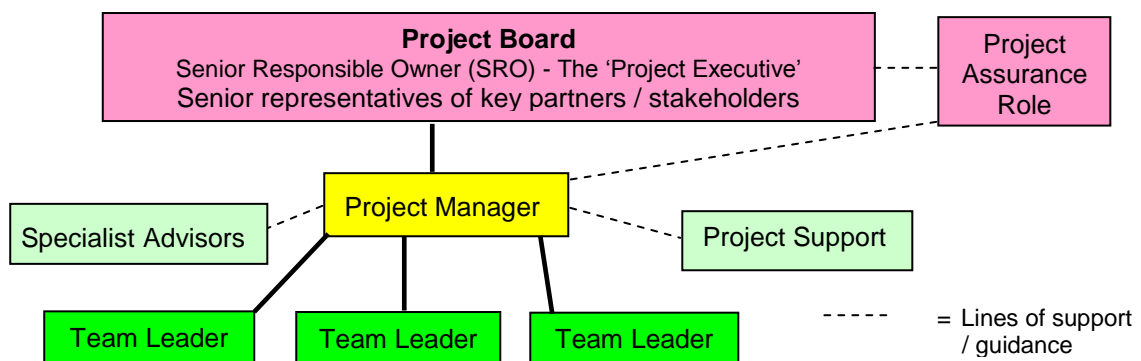
As a minimum, all projects must have a Senior Responsible Officer (also often referred to as the *Project Sponsor*) **and a Project Manager** (an LBL officer – see p13). The diagrams below show typical, basic structures for small and large projects. The remaining parts of this section describe the responsibilities of the main roles.

Small Project Organisation



In a small project, a full Project Board is often not required and approvals / key decisions will be dealt with by the appropriate senior manager acting as the project's Senior Responsible Officer. This will usually be at the Group Manager / Head of Service level. Both the SRO and the Project Manager are likely to need to engage with stakeholders. In this example the Project Manager is carrying out the role of Project Support.

Medium / Large Project Organisation



In larger projects, a full Project Board is more likely to be required, typically where different interests from key partners / stakeholders need to be represented. The SRO, representing the major corporate or service interest, acts as the Chair / 'Project Executive' i.e. the ultimate decision-maker. The Board may decide to delegate their 'project assurance' role to others. In this example there are 3 'workstreams' and the Team Leaders will represent the teams at meetings with the Project Team Meetings.

** Note: The term 'Project Team' as used here includes the Project Manager and Team Members (or Team Managers as appropriate) with responsibility for delivering elements of the Project (products). It is these who will meet on a regular basis to plan, discuss issues & to enable the Project Manager to assess progress. Note that PRINCE2 uses the term 'Project Management Team' in a wider sense to describe the complete project organisation structure, including the SRO / Project Board.*

Project Roles and Responsibilities

Senior Responsible Officer (SRO)

The SRO is the senior manager having overall responsibility for ensuring that a project meets its objectives and delivers the expected benefits. He/ she will own the Business Case for the project. The role needs to be filled by a manager from the relevant area who has sufficient authority to take key decisions. Dependant on the scale of the project, this will usually be a Head of Service or 3rd tier officer. For large / complex projects, the role will often operate within a Project Board, where the SRO will Chair as the ultimate decision-maker (the 'Project Executive' role in PRINCE). SROs should receive training in order to undertake this role.



Main features of the SRO role:

- Confirming project Objectives & Scope
- Ensuring there is a sound Business Case for the project (ensuring good strategic fit with corporate / directorate objectives).
- Ensuring there is a coherent organisation structure for the project. Appointing the project manager
- Being a champion for the project, both externally and within the Council, including briefing senior colleagues
- Providing leadership, direction and support for the project manager
- Ensuring that the project is technically and financially viable / sustainable
- Taking key decisions / giving approvals above the project manager's level of authority (e.g. approval of PID & at other key stages, committing resources, dealing with issues and changes)
- Providing adequate financial and human resources to the project manager, throughout the project lifecycle
- Engaging with key stakeholders / partners at a senior level
- Reviewing progress on a regular basis (monthly Highlight Report as a minimum)
- Actively engaging in the management of project risks, including providing resources to implement risk management measures
- Authorising project closure
- Consider need for and commission post project review.

It's clear from the above that the SRO role is not a passive, figurehead one. The role does however, operate on a 'management by exception' basis. That is, the SRO will agree authorisation points (the default, mandatory one being PID approval at the Main Gateway) and may set tolerances for the Project Manager to work within (e.g. for time, cost & quality). Apart from providing the SRO with routine Highlight (progress) reports, the Project Manager will only need to refer to the SRO for decisions on problems / required changes that are above the PM's level of authority.

Quotes from LBL Project Managers:

" The SRO for my project was accessible and supportive. They were at the right level to be able to deal with blockages and made an enormous contribution to the success of the project".

"The SRO turned up at the opening, but was fairly invisible until then. I got very little support & found it difficult to get him to take the key, tough decisions. His apparent lack of ownership caused real problems".

Should I be the SRO ? - Checklist

1. The project contributes to my objectives and those set for me
2. The project is part of the service plan for my department / directorate
3. I am confident that this project is justified and will deliver benefits for the organisation
4. I have an understanding of the product or service that will be delivered as a result of this project
5. I have some budgetary control over this project
6. I am in a position to take the key decisions necessary to drive the project forward
7. I am in a position to pursue the resources necessary for this project and address any potential obstacles
8. I will be able to sell this project to senior stakeholders
9. Can make time to be the SRO, including being accessible to the project manager
10. I have the authority to take action to cancel the project, if appropriate
11. I am aware of the key risks for this project

If you score 7 or over you should be the SRO.

Project Board

As indicated earlier, for larger projects the SRO may operate within a full Project Board structure. The decision as to whether a Project Board is required will rest with Executive Directors on the advice of the SRO. A Board should always be established where there are external delivery / funding partners. The overall task for Board members is to promote and maintain focus on the desired outcome. A Project Board will collectively undertake the functions outlined on p10, taking the key decisions, resolving issues etc. All Board members need to have sufficient authority to make decisions. Board responsibilities should not be delegated. The SRO will represent the main 'business' interest, usually from the service area concerned and be the ultimate decision-maker. Other Board members will be senior representatives of partners or other stakeholders with an interest in the project. Interests that typically need to be represented are 'end users' and 'suppliers'. The latter will be a senior representative of those designing, developing or implementing the project outputs. They will often be the specialist in the project activity area and will be accountable for the quality of supplier products. Ideally, all Board members also need to be able to stay with the project throughout its lifecycle. Numbers of Board members need to be kept low, typically between 3 & 6, even for a large project.

All Project Board members always have a 'Project Assurance' role, i.e. monitoring the continued validity of the Business Case against external events, ensuring that evidence of satisfactory progress is adequate, agreed standards are being adhered to etc. In very large projects this function is often delegated to others acting on the Board's behalf, but is always independent of the Project Manager and overall responsibility remains with the Board. Project assurance roles within the Board are aligned to the main Board roles. The representative of 'end user' interests would need e.g. to check that the specification of user requirements was complete, accurate & unambiguous, to check that the developing project is on track to provide a usable product and that any changes weren't drastically affecting this. From the supplier perspective, the relevant Board member would need to be confident that relevant standards are being adhered to in making the project products & e.g. relevant quality control measures are in place & being used.

Summary of SRO / Board decision-making:

- Signing off Business Case / Project Brief (where separate Start-Up Phase)
- Signing off PID (authority to proceed) – a responsibility shared with PRG Chair
- Reviewing Highlight (progress) reports on a regular cycle
- Making decisions on Exception Reports (problems / issues), approving the chosen course of action
- Identifying & committing resources where required
- Approving / rejecting Change Requests after considering the impact on the project
- Reviewing the Project Closure Report, applying any lessons learnt within their part of the organisation and assisting with wider dissemination within the Authority. Considering the need for post-project review.

Project Manager

The Project Manager is responsible for delivering the end product of the project on behalf of the SRO / Board. The Project Manager leads and manages the Team Managers/members with the authority and responsibility to run the project on a day-to-day basis. The Project Manager's key responsibility is to ensure the project delivers the right outputs, to the required level of quality and within the specified constraints of time, cost and resources. Actively managing project risks will be key to achieving this. It is essential that the project manager is experienced and trained to a level appropriate to the scale of the project.



Key aspects of the project manager role include:

- Build the Project Team, including the appointment of external staff
- Identify, evaluate & monitor project Risks, keeping Risk Register up to date
- Confirm Objectives, Scope and Business Case with the SRO
- Manage all the pre-planning and produce the PID, (incl. the Project Plan, Cost Plan, Stakeholder Analysis).
- Ensure compliance with the [Construction \(Design & Management\) Regulations 2007](#), where these apply
- Communicate effectively with key stakeholders
- Manage all approval processes, both SRO / Board & other Council requirements
- Schedule and co-ordinate project work, issuing 'work packages' to individuals / teams
- Manage delivery as detailed in the PID, monitor delivery of outputs against the Project Plan & quality requirements. Monitor spend.
- Produce Highlight Reports for the SRO / Board to give regular progress reports at the agreed frequency.
- Control proposed changes to the project (e.g. to scope or requirements), seeking decisions from the SRO / Board
- Escalate problems / issues to the SRO / Board via Exception Reports
- Update Plans to reflect changes, slippage etc
- Manage project administration, including maintaining configuration control of project outputs, adequate version control of all key documents and generating all required project records to maintain an audit trail.
- Manage project closure, preparing Closure / Lessons Learnt report for the SRO / Board

Use of external consultants for project management functions

In large and complex projects an external consultant will often be appointed to carry out project management functions*. **An LBL officer must however still be designated as the Project Manager and will retain overall responsibility for the project within LBL.** They may indeed hold budgets / manage activities that are not within the remit of the external consultant. This LBL officer, often previously referred to as the 'Client Officer' or 'Scheme Manager', may be from the service area concerned. In some cases an internal project manager with appropriate expertise may be given this role (e.g. from within the Property & Programme Management Division).

In these circumstances, it is particularly important to detail the extent of delegation / split of responsibilities between the LBL Project Manager and an external consultant carrying out some of the project management functions. A Responsibility Matrix may be helpful for detailing whether tasks are the responsibility of the LBL Project Manager, the consultant or other team members.

*Note 1: *In PRINCE2 terms, the external consultant will be a 'Team Manager'.*

Note2: Employment of external consultants requires the prior approval of your Directorate Head of Resources. A written business case must be submitted justifying the need for an external consultant. See Procurement, p14.

Activities that will remain the responsibility of the LBL Project Manager (the Client) where an external consultant has been employed to carry out some of the project management functions:

- Identifying requirements, agreeing project objectives (*with SRO*)
- Identification of Strategic Risks (*with SRO*)
- Ensuring compliance with the [Construction \(Design & Management\) Regulations 2007](#), where these apply
- Securing financial & human resources (*with SRO*)
- Securing a budget for additional, ongoing revenue costs (*with SRO*)
- Preparation & obtaining approval for the PID
- Inter-directorate agreements, incl land transfers
- Site acquisitions, agreements to lease
- Identifying & agreeing insurance requirements
- Communication & negotiation with external funding partners.
- Identifying critical interdependencies
- Agreeing project organisation / governance structures
- Agreeing chosen option, procurement route (contract type) etc (*with SRO*)
- Providing information on project funding & any conditions to this
- Providing Highlight Reports to the SRO / Board
- Preparation of reports to CPDB & M&C
- Preparing Stage / Gateway reports
- Escalating Issues to the SRO
- Obtaining agreement to changes in scope, timescales, budget.

Team Members

It is very important for roles & responsibilities of Team members to be clear, to ensure all concerned have a common understanding of exactly what they are being asked to contribute. It is essential for example, to describe the project 'products' that individuals / teams are responsible for creating and to detail responsibilities for progress / issue reporting, financial management etc.

Note, appointment of the wrong people is one of the commonest causes of project failure, it's vital to check that project staff have the appropriate skills & experience.



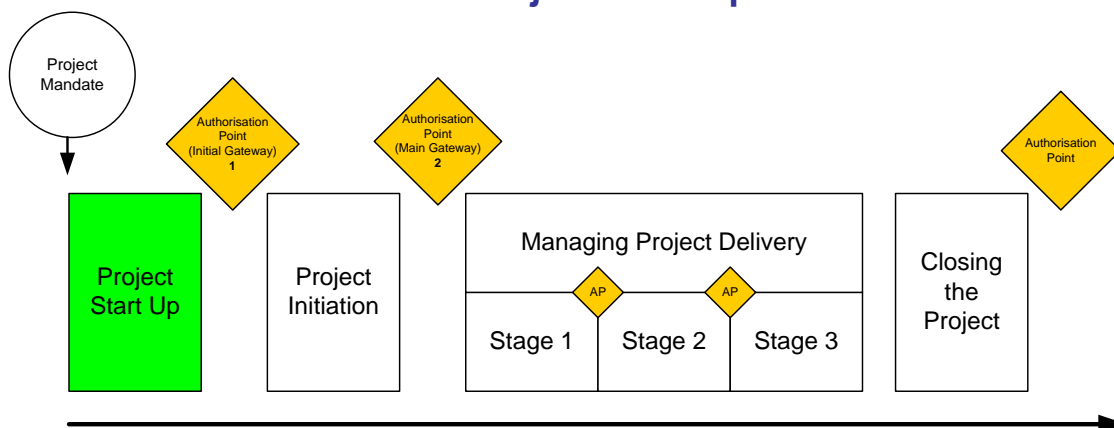
It is usually very important to indicate the extent of the time commitment involved for key staff.

Procurement: Approaches to and responsibilities for procurement will need to be addressed. Consider the need for advice from the corporate Procurement Team, who are able to offer a range of services dependent on the nature & scale of the project. In large, complex projects consider the need to include a member of the Procurement Team on the Project Team. The [Shared Document Library](#) on the [Procurement Team's SharePoint site](#) contains a lot of helpful information on procurement processes, including the [Desktop Guide to Procurement](#) and the [Approval Process for the Appointment of Consultants](#)

You also need to consider potential environmental effects arising from procurement activities. See LBL's [Guide to Green Procurement](#) & the [Carbon Reduction & Climate Change Strategy](#)

4. The Project Management Process

Project Start-Up



Projects are born in many different ways, the initial idea or 'mandate' may be verbal or there may be extensive detail from earlier discussions / plans / feasibility work / programme-level approvals.

The main work during Start-Up is to establish the objective / scope, to confirm that there is a sound rationale for the project, that it appears deliverable and to identify who will fulfil the main roles (SRO / Board and Project Manager). At the end of Start-Up the Project Manager will be seeking approval to proceed with detailed planning and definition (see below).

Start-Up Tasks:

- Identify the SRO for the Project, appoint Project Board members where required
- Appoint a Project Manager and identify Project Team members
- Start Project Definition, e.g. confirm the Objective(s) and draft Scope
- Produce an outline Business Case
- Examine options & deciding on the approach to be adopted to deliver the objective
- Produce a high level Project Plan
- Carry out an initial Risk Assessment
- Produce an initial estimate of project Costs
- Carry out a Stakeholder Analysis

The process used to carry out these tasks will vary according to the scale and nature of the project, it is often helpful to hold an initial project workshop including the SRO. **The main output document from Start-Up will be a draft PID or Project Brief**, submitted first to the SRO / Project Board for sign-off. Corporate templates are available for a Project Brief, PID, Risk Register and a Stakeholder Communication Plan on the [Project Management Templates site](#). The extent of detail required at this stage will also vary. Either use the Project Brief template or where a draft PID is more appropriate, include as a minimum the items listed on p5 under the Start Up column of the Project Lifecycle.

Formal approval to proceed with detailed planning (to fully developed PID) is via the **Initial Gateway review**, conducted at the Capital Programme Delivery Board.

Note: Other Gateway Review mechanisms may be required for very large projects or programmes.

For small / non-complex projects, the Start-Up Phase will usually be combined with the Initiation Phase, without the need for an Initial Gateway. It isn't realistic to prescribe a financial limit to determine whether a separate Start-Up Phase is required, but an important factor will be the level of resources required to develop a full Project Initiation Document (PID). If significant resources need to be committed to fully define needs, explore options, produce initial estimates / plans etc, then a separate Start-Up Phase should be carried out and approval sought to proceed before this detailed planning work is carried out (the Initiation Stage). The decision as to whether a separate Start-Up Phase is required is to be made by the SRO in consultation with the Chair of the Capital Programme Delivery Board. **An Initial Gateway is mandatory where the project wants to bid for external funding. In this case use the Project Brief template.** Also note that after CPDB Chair clearance, sec. 14 of [Financial Procedures](#) also require formal clearance of such a bid, either by Mayor & Cabinet or by the Executive Director with the Head of Business Management & Service Support, dependent on the amounts involved.

The rest of this Chapter gives guidance on completion of the draft PID and other key documents required during this Phase. Further information on the role of the CPDB is given in Annex 3, section 3.4

Project Definition

Project Objectives, Deliverables and Scope

In some cases the initial idea / mandate will require some clarification with the SRO to ensure the project objectives etc are understood from the outset in order to avoid detailed planning of the wrong project. It is also vital at this early stage to ensure that all key stakeholders have a common understanding of the project.

Objectives

What is needed is a clear description of what the project aims to achieve, the overall desired outcome(s). This information will usually be expressed in service rather than technical terms. Objectives should be SMART – specific, measurable, achievable, relevant and timebound. In documenting objectives, avoid words like improve, optimise, clarify, help etc. These are vague words that are likely to mean that the result won't be measurable. Objectives must be relevant to corporate priorities / directorate objectives and underpinned by a valid Business Case (see below).

Deliverables

In most cases it should be possible even at this early stage, to provide an outline description of the tangible things that the project will need to produce in order to achieve the objectives. Also described as 'outputs' (or 'products' in the PRINCE model). Important documents that need to be produced during the project should be regarded as deliverables. Deliverables need to be quantified and quality / performance requirements understood. For construction-related projects or others creating tangible products / assets this is where the detailed specification would be referenced. In many cases the detailed requirements will be worked up during the Initiation Stage.

Scope / Exclusions

The boundaries / parameters of the project, what's included & what is specifically not the responsibility of the project (the work to be done, client groups involved etc). For some projects this will be clear from information in the previous two sections, but in other cases it will be important to clarify scope issues here, e.g. to avoid differing expectations among stakeholders.

Example of a completed PID section 2 for Objectives, Deliverables, Scope

Project Objectives

The Objectives of the project are to:

- rebuild the primary school as by the deadline set – Dec 08
- to the requisite design and quality standards (BB93 AND 99) and within the budget set
- There should be as little disruption to the School as possible during the project and in particular the building phase and the level of teaching or attainment should not be affected

Project Deliverables

A new two form entry primary school with attached nursery delivered in Q1 2009 for a net cost to the Council of no greater than £7.5m.

The School must meet the DFES design standard BB99.

In addition as the School houses a hearing impairment unit (a SEN capability) the acoustic design of the School must comply with the DFES standard BB93

Project Scope/ Exclusions

In project scope are all tasks, activities and actions to rebuild the new primary school to the standards and quality set out in the business case.

Out of the project scope currently is the provision of hard and soft Facilities Management services for the new primary school

Business Case

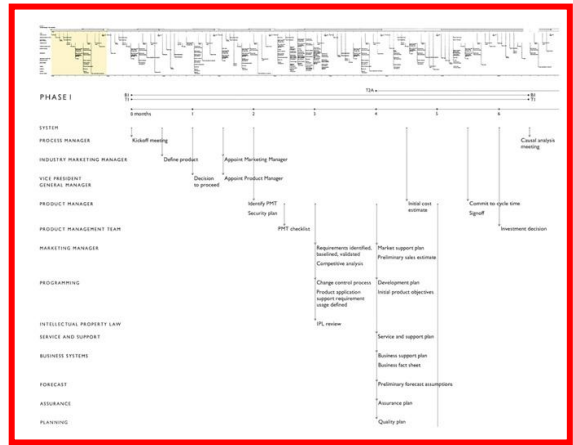
Identifying a business need and providing a justification for the proposed project is a vital early task. At the Start-Up Phase this may only be an outline and will be refined during the Initiation Stage as more information is obtained. In any event an outline Business Case must always demonstrate that investing in an Initiation Stage to further develop the project is justified. In constructing a Business Case, consider the following areas as appropriate to the project:



- **Drivers** for the project - (e.g. operational, legislative, financial) what is creating the need to pursue the project
- **Strategic / policy context** - A Business Case will need to demonstrate that the project fits well with existing relevant policies / strategies (Central Government, LBL corporate priorities, directorate objectives, etc).
- **Option Appraisal / Commercial(Project) Approach.** Where different options exist, the preferred option / approach needs to be justified including justification for the commercial approach including the procurement route being adopted. This may include explaining the implications of the 'do-nothing' option. Reference any preliminary feasibility work done to examine options / approaches. For large scale capital projects it will often be necessary to demonstrate that the proposed option provides the best solution & value for money on a whole life costing basis. Deciding on the project approach will involve considering e.g. :
 - Bespoke product development or off the shelf
 - In-house or outsourced development / provision
 - Going it alone or collaborative development with another Authority
 - Refurbishment / upgrade or replacement
 - Construction procurement: Traditional, design & build, partnering, construction management
- **Service benefits**, (quantitative & qualitative), including a reasoned argument that the benefits outweigh the risks (for the chosen option / approach). Benefits might include improved service delivery or efficiency savings in terms of staff time, transaction costs, running costs, elimination of waste etc. These are directly linked to the project objectives and need to be measurable, often expressed as a target.
- **Affordability**, an initial view, (funding available set against preliminary estimates of whole life costings)
- **Stakeholder analysis** & how they are / will be engaged. Results of any consultation.
- **Service data** (or other relevant data) that demonstrates the need for the project.
- Where appropriate, some evidence that the project objectives / approach represents current **best practice**.
- An indication that the project benefits are **sustainable** & help meet wider LBL sustainability objectives. As a minimum, there needs to be clarity that any asset created can be financially sustained, i.e. any ongoing extra revenue expenditure can be met.

Project Plan

Details of all the key tasks to be undertaken, scheduled against a timeframe. At the Start-Up Phase, it will usually only be possible to give an indicative delivery timetable for the overall project, but it will be necessary to give a more detailed picture of the timescale for the next (Initiation) Stage. A Project Plan is often represented as a **Gantt Chart**, showing the duration of major project work areas. A Gantt Chart template is available on the [Project Management Template site](#). As a minimum, a list of estimated dates for major milestones should initially be given. These are particularly significant events in the project lifecycle, e.g. completion of a key task / Stage / phase. This may include approval points to move to the next stage (e.g. approval of Gateway reports for very large projects). The Project Plan is a key tool for managing the project & for assessing progress and when fully developed needs to be sufficiently detailed to fulfil this function.



A guideline for level of detail required when project planning: break down work areas into tasks/work packages that will be allocated to discrete teams/officers as appropriate. This activity should be informed by key milestones and the level at which the project manager needs to monitor progress.

See Annex 1 for some project planning tools.

A common fault with project plans is not allowing enough time for the planning itself, for lead-in / set up and not allowing for the possibility of slippage. Also consider timescales for:

- Statutory consents
- LBL funding approval processes
- Procurement timescales (including EU requirements where applicable) see p14
- Internal & External provider timescales (utilities, ICT *, other suppliers)
- Activities needed to make a property ready for occupation and arranging accommodation moves. This includes e.g. ICT installations, voice, data & alarm lines, fire safety. **It is vital to consider timescales for these items at a very early stage. Early consultation with Property Services is essential.** See [Guidance Note on LBL Requirements for Inception of Capital Projects involving Property and ICT installations \(excluding schools & housing\)](#)

Quote from an LBL Project Manager:

“The more I pre-planned the luckier I got”.

Risk Management

Risk can be defined as:

'Uncertainty of outcome' (Office of Government Commerce)

or

'The chance of exposure to adverse consequences of future events'.

(PRINCE 2)

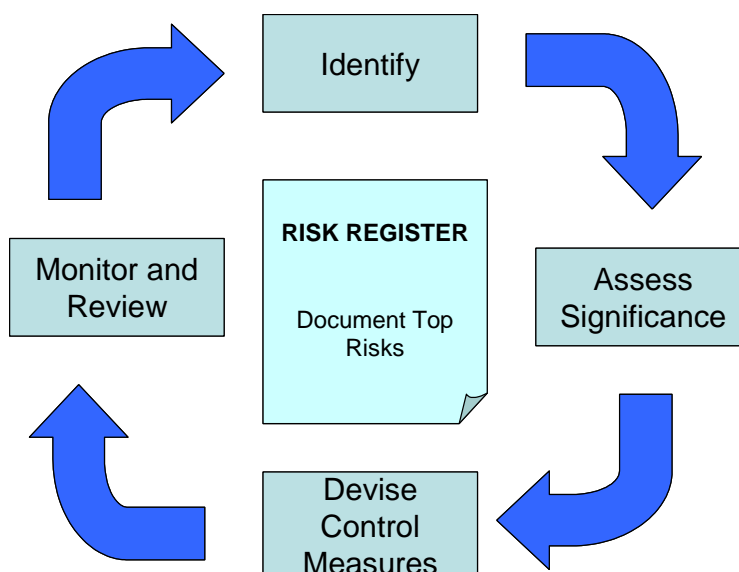


All projects carry an element of risk, since they are unique, non-recurring events with no practice or rehearsal.

Having an early appreciation of risks to a project is essential. It will inform the decision on whether to proceed, help choose the best option, inform resourcing levels etc. An initial analysis of risks should therefore be carried out during Start-Up and it may be helpful to have a **dedicated Risk Management Workshop** involving those with the relevant specialist knowledge. In any event, except for very small projects, it's unlikely that a project manager alone will be able to identify and assess all project risks.

Risk Management Process

Note that whilst there are several potential responses to project risks, (Terminate, Treat, Transfer or Tolerate), **ignoring the risk is not an option**. Also note that where an external project manager is appointed, it is not appropriate to delegate complete responsibility for risk identification/assessment to them. LBL officers may be aware of issues that an external project manager will not be. The results of a risk analysis are documented in a Risk Register, which needs to be added to as the project develops. The Risk Register



template is located on the [Project Management Template site](#). The Risk Register becomes an integral part of the PID. **When the PID is signed off, giving approval for the project to proceed, the SRO / Board are indicating their acceptance of the level of risk involved.**

Risks should be owned by the person best placed to monitor them and with the authority to implement the appropriate control measure. Where this involves committing resources, this is unlikely to be the project manager. High level strategic / business risks are owned by the SRO. Risk Registers and the effectiveness of control measures need to be reviewed regularly at Project Team meetings.

For some projects, team leaders will maintain their own risk register for the area of work they are completing - however all risk registers will need to feed into the overall risk register maintained by the project manager. It is suggested that the top 15 risks should be communicated to the SRO /Board to make this process manageable.

Top tip: If you don't know your top 5 risks - you're not managing the project effectively!

Further information on project risk management, including a Risk Identification Questionnaire the corporate project Risk Register template and completed examples is available [here](#)

Project Costs

At the Start-Up Phase it will often only be possible to give preliminary estimates of project costs, but a basic cost breakdown needs to be provided that includes all items of project expenditure. This breakdown also needs to profile the spend projection over the financial years in which it is likely to be spent. The basis of the costings needs to be explained (e.g. results of feasibility work, quotes, historical costs, officer estimate etc) to give an indication as to the reliability of estimates. Details also need to be given of any assumptions made in estimating costs.



The full costs of delivery of the project outcome are often underestimated in the Initial Business Case / draft PID (Project Brief) produced at this Phase. Specific cost items to consider:

- Realistic Contingency Sums that reflect cost uncertainties (*Note: the PRINCE2 model assumes a contingency budget is set aside for a specific contingency plan / risk response.*)
- Allowance for inflation for longer duration projects
- Recruitment costs
- Training costs
- For building projects, site specific issues ('abnormals') such as asbestos removal
- Compliance with CDM Regulations (appointing CDM Co-ordinator)
- Costs relating to making a property ready for occupation and arranging accommodation moves. This includes e.g. ICT connectivity costs, software testing, installation of voice, data & alarm lines, fire safety. **It is vital to consider costs for these items at a very early stage. Early consultation with Property Services is essential. See [Guidance](#)**

Note: If the project outcome creates (or increases) an ongoing revenue commitment (e.g. increased maintenance costs, line rentals, software licences etc) this needs to be quantified and a revenue budget source agreed, in order to demonstrate that the project is financially sustainable.

Project Funding

At the Start-Up Phase, proposed funding sources for the project need to be identified and detailed in the draft PID.

Note that there are different bidding processes & routes for funding within the Council. (See Annex 3)

See further information on Project Costs / Funding in the Initiation Chapter- p24.

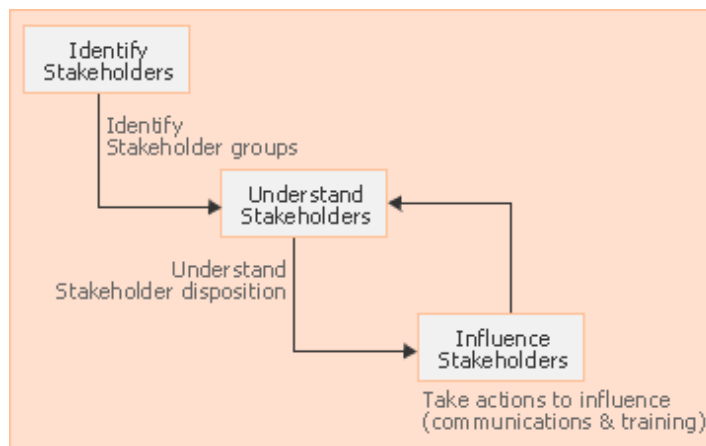
Stakeholder Analysis

Stakeholders are defined as any individual, group or organisation that has an interest in the project or is affected by the project. It is vital to the success of all projects that stakeholders are recognised, their impact on the project understood and that they are managed correctly. Failure to consult or inform on changes / progress will invariably have a negative effect on a project. It is important to carry out an analysis at this early stage as this may e.g. highlight lack of vital buy-in. It is self-evident that insufficient early consultation may adversely affect project content or direction. **Always consider the need to report to Members on any high profile project, seek the advice of the SRO.**



The basic process for a stakeholder analysis is:

- Identify Stakeholders & the interest they represent
- Assess their impact on / importance to the project
- Develop a communication plan to ensure they are engaged with appropriately



This doesn't have to be complicated or onerous, but some time invested in it will certainly pay dividends. The timing of engagement with stakeholders will clearly vary widely according to the nature of the project. It is likely that for some projects, development of a mature Communications Plan will occur slightly later in the project's development, i.e. in the Initiation Stage.

Having an effective Stakeholders Communications Plan will:

- Identify audiences, plan how, when and what to communicate to them
- Schedule regular updates to ensure stakeholders are kept informed of the progress of the project from start to finish
- Positively influence perception about the project and ensure buy-in from stakeholders
- Minimise risks to the project by providing open, effective communication channels that are able to quickly identify and deal with problems that arise
- Build in evaluation to make sure that key decisions are agreed and to check that communication is working/getting through

The [Stakeholder Analysis and Communications Plan template](#) includes advice on carrying out a Stakeholder analysis and developing a communication plan. It's available on the [Project Management Template site](#)

Note: For some projects, where interests and impacts are easy to identify, it will be possible to create a Stakeholder Communication Plan directly without the preliminary steps of mapping their interests & assessing their impact.

*Note: For major projects, in devising your communications plan, consider the need to involve **LBL's Communications Unit**.*

Equalities and Projects

When designing / planning your project you must consider the impact on different groups within local communities and / or staff. A [Project Equalities Checklist](#) is available to help determine potential impacts and to decide whether a full EIA is required. It is recommended that before the Equalities Impact Assessment section of the PID is completed (sec11), the Checklist is referred to & also that the **Scoping Grid** in that Checklist is used to record your initial assessment. Should the Equalities comments in the PID be queried, the information recorded on the Scoping Grid will provide further detail and e.g. justify a decision that undertaking a full EIA was not required. Note that a full EIA will be necessary where project activities:

- will result in a major service change
- involves a considerable amount of money (large capital project)
- will impact on a large number of people
- will result in a major organisational change

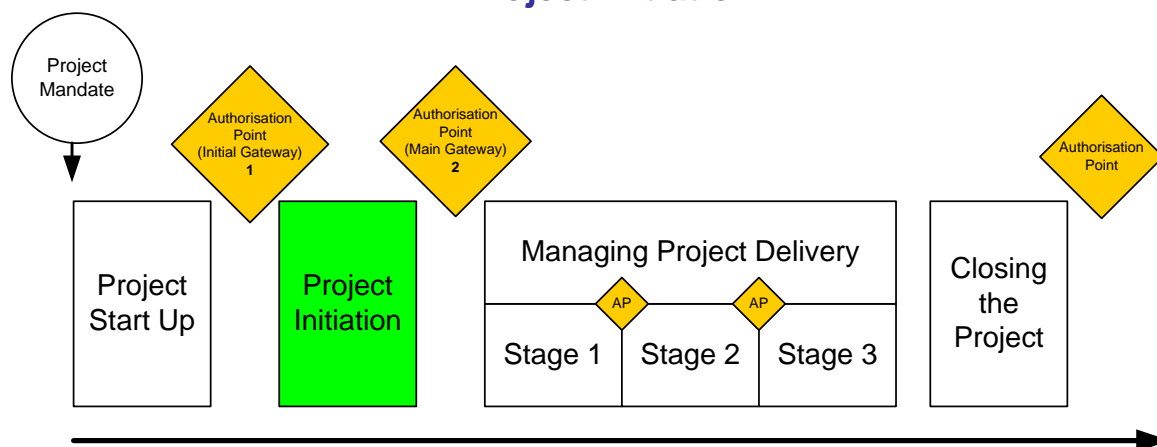
Further advice is also available in the [Equalities Impact Assessment Toolkit](#), or contact your Directorate equalities representative, their details can be found [here](#)

Start-Up Checklist

As a minimum the Start-Up work and draft PID should have addressed the following:

- | | |
|---|--------------------------|
| Objectives & Scope confirmed | <input type="checkbox"/> |
| Organisation structure established, key roles appointed | <input type="checkbox"/> |
| Initial view of Costs | <input type="checkbox"/> |
| External resources & funding source identified, any gaps identified | <input type="checkbox"/> |
| Likelihood of additional, ongoing revenue costs identified | <input type="checkbox"/> |
| Key stakeholders identified / consulted | <input type="checkbox"/> |
| Outline Business Case completed | <input type="checkbox"/> |
| Proposed Project approach determined, including procurement route | <input type="checkbox"/> |
| Compliance with Council procedures established | <input type="checkbox"/> |
| Milestones identified / Outline Project Plan completed | <input type="checkbox"/> |
| Initial risk analysis conducted, Risk Register created | <input type="checkbox"/> |
| Approval to proceed to Initiation Stage (at Initial Gateway) | <input type="checkbox"/> |

Project Initiation



Overview

This Phase (also a PRINCE2 *Stage*) builds on the work carried out in the Start-Up Phase and will involve further definition and detailed planning.

The output from the Initiation Stage will be the fully developed PID, comprised of a number of documents for large projects. The PID is the most critical document in the project as it brings together the key pieces of information and provides the basis for authorisation to continue the project. Other documents required to support the implementation of the project will often be produced at this stage. These may include functional and technical specifications, initial designs, contract documents etc. There may also be the need at this point to set up facilities for the Project Team.

It will often be helpful to hold a project workshop / kick-off meeting to explore the work required to fully develop the project and to ensure that the appropriate level of resources / skills are made available. There will also be a need to brief relevant Council services (particularly Procurement and Legal Services) and external partners on the likely requirements that the project will place on their resources.

The process of project development will clearly vary widely according to the nature of the project and there is no generic process that describes how this needs to be conducted or exactly what will be required. The following areas will however need to be covered:

- **Defining requirements** e.g. producing functional and technical specifications, product descriptions
- **Quality** setting quality criteria for project deliverables and determining how quality levels will be controlled / monitored
- **Procurement** confirming procurement route & timescales
- **Project & Resource Planning** Scheduling and identifying resources for project tasks, producing a more detailed Project Plan
- **Costs** producing a more accurate view of project costs (often as a pre-tender estimate)
- **Reporting** confirming progress reporting arrangements
- **Business Case** As further detail becomes available the B.C. needs to be revisited to ensure it remains valid - and refined
- **Risk** Updating the Risk Register and e.g. adding the more 'operational' risks as technical detail becomes available
- **Stakeholders** engagement / development of the Communication Plan
- **Controls** e.g. agreeing tolerances where appropriate, agreeing a process for escalation of problems & for controlling changes to the project

Several of these areas have been covered in the previous chapter. Further advice on project finances, Quality Assurance of project deliverables, Project Controls and base-lining / approval of the PID is given below.

Project Costs & Funding

- Further, more detailed cost estimation work will normally have been carried out between the completion of the Start-Up Phase and the assembly of the PID documentation.
- The PID template includes cost headings that are examples only, headings can be added or removed to be project specific. Avoid including large, unexplained sums, give a breakdown that demonstrates costs have been thought through, all cost items included & all costs represent value for money. The template asks for information on the basis of costings, to give an indication as to the reliability of estimates. Profiles of projected spend need to be realistic.
- For very large projects a more detailed cost plan will support the PID cost table.
- Cost plans for major capital projects will usually have been developed via feasibility / affordability exercises, often involving option analysis. For capital projects over £1m, estimated costs should be prepared on a **whole life costing basis**, to demonstrate that the chosen option does provide value for money (though costs may not be the only factor determining choice).
- Even for smaller projects, if the project deliverable creates an ongoing revenue commitment (e.g. increased running costs, line rentals, software licences etc) the PID template prompts for these details to be identified & funded, in order to demonstrate that the project is financially sustainable. See Note on p20.
- Specific cost items to consider are contained within the Start Up Phase chapter.
- For some projects the major staff 'costs' will be input from staff paid from core revenue budgets. It may be helpful to quantify this (e.g. hrs per week / team member) in order to flag up impact on other work, need to backfill etc.
- Insurance implications - For Capital schemes, these need to be considered and the Council's Insurance Section contacted at an early stage. (See PID Guidance Notes)
- Funding: The funding table included within the PID should show all funding sources contributing to meeting project costs. Total funding must match total estimated expenditure and there should be no funding gaps at the Initiation Stage. The template prompts for the status of funding to be made clear. Any uncertainties / risks regarding funding should be reflected in the project Risk Register. The template also provides for entering dates of funding approvals.

Please note that for capital projects, codes will not be issued by the Capital Team where there is a funding gap.

Quality Assurance

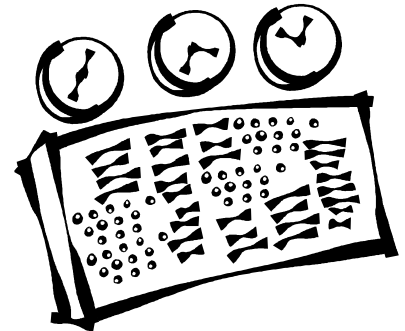
Quality expectations (criteria) for key project outputs need to be specified, since relying on implied needs in relation to quality is open to interpretation and creates uncertainty. Setting out quality criteria will help ensure project outputs are 'fit for purpose'. This needn't be complicated and is often an integral part of specifying requirements (e.g. to a particular standard). Project managers will usually have the benefit of expert advice for technical products.

The methods to be used to assess whether the desired quality levels have been achieved also need to be established (e.g. inspection, testing, customer evaluation) and responsibilities assigned for this. For small scale projects with 1 main deliverable this will be an integral part of progress monitoring. Large projects will require a formal Quality Plan to document quality assurance arrangements and a Quality Log to document the performance of quality checking activities & the results. Templates for these are available on the [Project Management Template site](#).

Note that for projects where Product Descriptions are utilised (typically for more complex projects with multiple products / work packages) the quality criteria / assessment method will be an integral part of each Product Description.

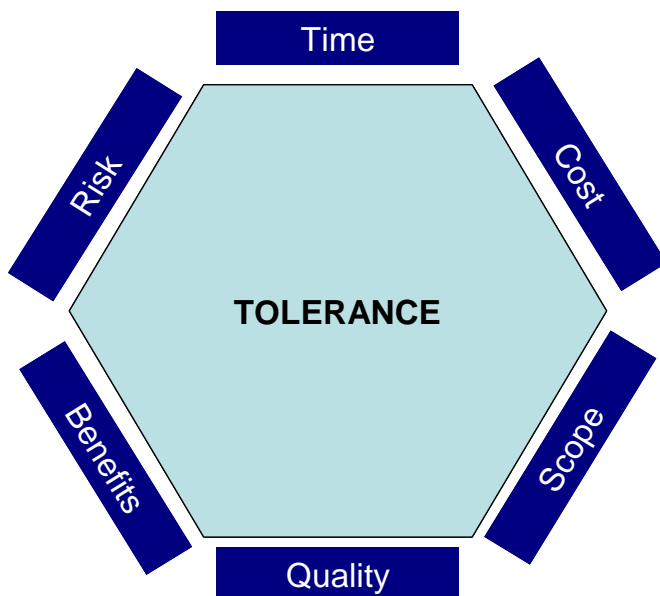
Project Controls

Many of these are covered elsewhere in this Handbook, (organisational structure, authorisation points, risk management, quality assurance). Several others will be covered in the following Chapter on Managing Project Delivery (progress reporting, dealing with issues & problems, controlling changes to the project). Some others need considering at this point:



Tolerances

Consideration needs to be given at this point as to the setting of any tolerances, the SRO agreeing these with the Project Manager & documenting them in the PID. Tolerance in project management is: ***'permissible deviation above and below a plan's estimate of time or cost without escalation to the next level of management'***. Tolerances can also be set for quality, scope, benefits & risk.



The PRINCE2 model for project management recognises that SRO / Board 'manage by exception' i.e. the project manager is given the freedom to manage the project within these agreed boundaries, just giving routine progress (Highlight) reports whilst the project remains within tolerances. Matters are only escalated to the SRO (via an Exception Report) when it is clear that a project is forecast to exceed an agreed tolerance. (See 'Managing Project Delivery' Chapter, p27)

Setting project tolerances therefore avoids unnecessary references to the SRO for authorisation of small variances and allows a project manager to get on with their job. It will also help ensure that large variances are reported.

Project Records & Document Control

It is at this stage that project files will normally be set up, responsibilities for maintenance assigned and the system for storage and retrieval communicated to those concerned. Poor record-keeping is a common problem with projects, often causing significant problems further down the line.

For a generic list of project records, see Annex 4

Top Tip: The Sharepoint Project Workspace template offers greatly improved opportunities for document control & for sharing documents

Key project documents such as the PID are baselined' (i.e. 'frozen') when they are agreed and authorised. A degree of formality needs to be established to control changes to them and it is clearly important to ensure that everybody is working to the current version of key project documents. A simple system of document control (i.e. version control) will need to be established and in large projects a distribution list for project documents created. Document control & distribution list sections are built into the PID template.

The need to change project documents will arise from requests / the need to change the project itself. Processes for controlling changes to the project (e.g. to scope, specification etc) are covered in the following Chapter, 'Managing Project Delivery'.

The Project Initiation Document (PID)

The final task of the Initiation phase is assembly of the project PID. The PID serves several functions:

- It is a baseline document, a definitive statement of project objectives, deliverables, costs & risks. This enables all stakeholders to have a common understanding of the project and is essentially the 'contract' between the SRO / Board & the Project Manager.
- It enables an informed decision on whether the project should be allowed to proceed
- It is a working document that will help to manage and track the project (particularly the Project Plan & Risk Register elements)

When completed, the PID must be signed off and baselined / 'frozen' as Version 1. The PID provides a baseline that can be compared to what is actually delivered at any time during the project, but specifically at the end of the project. All subsequent, proposed changes to the project will need to be managed via a form of change control to ensure their impact on the project is understood (see next Chapter). Approved changes will result in new /subsequent versions of the PID, having change & document control will enable these changes to be tracked and eventual delivery compared against the original PID. Note that changes such as additional financial resources, significant changes to the spend profile / delivery timescale (e.g. spend changing across financial years) will always require a new version of the PID to be approved.

PID Approval – The Main Gateway

See flow chart on p7. All PIDs need to be first considered and signed by the SRO (within the Project Board structure where established). SROs / Boards must ensure that they fully understand the project they are signing up to including the level of risk involved. The PID then has to be reviewed and signed by the Chair of the Capital Programme Delivery Board (CPDB). The Board is chaired by the Director of Regeneration and Asset Management and serves as an independent check that e.g. the project is viable and adequately resourced. In PRINCE2 terms, CPDB carries out a 'Project Assurance' function. PIDs for large projects will normally be reviewed at bi-monthly CPDB meetings, requiring prior circulation to members. The Chair may determine that PIDs for projects that can be readily identified as low risk may be signed off by them between meeting cycles without prior circulation or presentation at a PRG meeting. *See section 3.4 of Annex 3 for further details of CPDB.*

All PIDs, once signed off by the SRO and the PRG Chair, must be uploaded by the Project Manager onto the [CPDB sharepoint site](#).

Note that there may be other approvals required to progress your project, e.g. in order to bid for external funding, to seek single tender action, to approve a tender shortlist or to award a contract. These may be Member decisions or officer decision, depending on the nature of the approval sought, the amount & the Scheme of Delegation in the Directorate concerned. See [Desktop Guide to Procurement](#), or for external funding bids, [Financial Procedures](#). For Capital projects, a copy of the signed PID must be supplied to the Capital Team. Capital codes will not be issued without a signed-off PID.

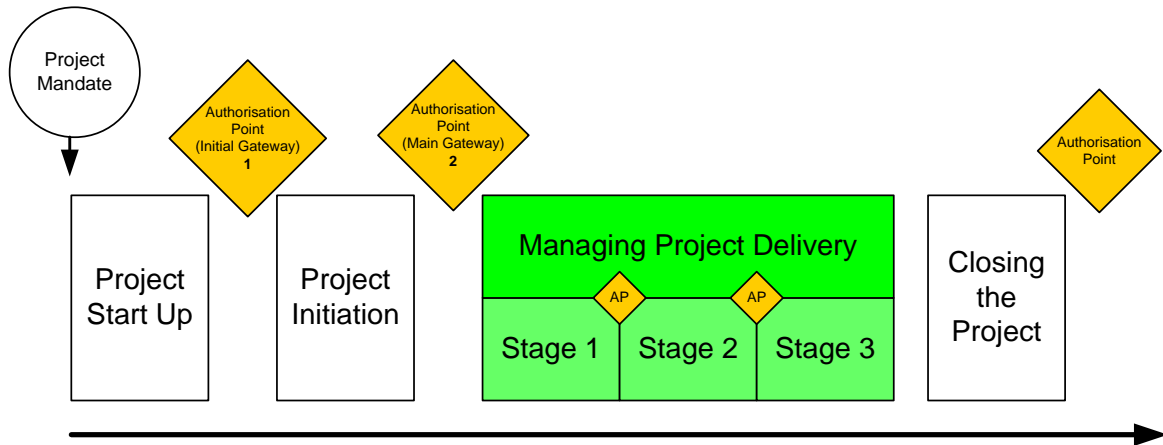
Initiation Stage Checklist

| | tick |
|---|--------------------------|
| Requirements defined / specified | <input type="checkbox"/> |
| Business Case refined | <input type="checkbox"/> |
| Approach / Procurement route confirmed | <input type="checkbox"/> |
| Project Plan refined | <input type="checkbox"/> |
| Project Team in place, resource planning conducted | <input type="checkbox"/> |
| Facilities for Project Team available | <input type="checkbox"/> |
| Stakeholder Communication Plan in place | <input type="checkbox"/> |
| Detailed Cost Plan available | <input type="checkbox"/> |
| Funding confirmed (<i>including any additional ongoing revenue funding</i>) | <input type="checkbox"/> |
| Risk Register updated | <input type="checkbox"/> |
| Quality criteria / controls established (Q. plan) | <input type="checkbox"/> |
| Change control procedures in place | <input type="checkbox"/> |
| Other project controls (e.g. tolerances) established | <input type="checkbox"/> |
| Project Files set up | <input type="checkbox"/> |
| PID assembled and approved by SRO | <input type="checkbox"/> |
| } Main Gateway | |

PID approved by CPDB Chair



Managing Project Delivery



Overview

Once approval to proceed has been obtained the project manager can focus on managing the project through its specialist delivery stage(s).

The benefits of breaking this phase into stages are:

- To assess the project viability at key points throughout the phase, thus preventing 'run-away' projects
- To build in major decision points, such as contract payments and capital investment, and linking these with the delivery of quality products
- To allow more accurate planning on a stage by stage basis
- To ensure that the SRO/Project Board remain in control of the project

*Note that the above model assumes that there are 3 management stages for delivery, i.e. further 'approval points' have been established once the project PID has been approved. **This is an illustration.** In simple projects this phase may consist of one stage only, whilst in large & complex projects there is a definite need to have further management stages with approval points (Project Board meetings).*

In projects where an external consultancy organisation is delivering all the specialist products of the project, management stages within the Project Delivery phase will correlate with contract payment points. A formal gateway could be planned for each end of stage.

For projects representing new innovations, the unique work of the project can be divided up into management stages and correlating milestone decision points can be planned at the end of each stage within this phase. At each of these decision points, the Project Board will give authorisation for more capital spend, based on the on-going viability of the business case.

The Project Manager's tasks during this Phase are:

- Directing the Project Team, allocating work (packages) to produce project products
- Monitoring delivery of products (to time, cost & quality)
- Reporting Progress and continuing to engage with Stakeholders
- Managing & monitoring Risks, updating the Risk Register
- Controlling Changes to the project, managing cost & impact on the Business Case
- Dealing with Issues / Problems, escalating to the SRO as required
- Rescheduling / updating Project Plan
- Recording Lessons Learned

The formality required for allocation of work to Team members will vary widely. In any event it is strongly recommended that requirements / agreed delivery arrangements are put in writing, to ensure clarity. Work packages should include the Product Description(s) / specification for the product(s), including quality criteria, agreed timescales, progress reporting requirements (including any need for formal Checkpoint Reports) and any special instructions.

Monitoring

Project Managers are responsible to the Project Board for the delivery of their project within agreed budget, time, quality and scope parameters. The Project Manager must therefore monitor delivery of project products against planned timescales (the Project Plan) and scope, track expenditure and also ensure that quality of products is checked against agreed quality criteria. For more complex projects, quality criteria, checking methods / responsibilities are planned and documented in Stage and Team Quality Plans & the results of quality checks carried out are recorded in the Quality Log. See below for what to do where the results of monitoring indicate a problem.

Under the Council's Financial Regulations, project managers are under a specific duty to ensure that their project doesn't overspend (See Annex 3). In order to monitor spend effectively, project managers should have access to the Council's financial information system 'Oracle'.

For many projects, an important vehicle for assessing progress will be the Project Team meeting, set at an appropriate frequency. It may be helpful to have more frequent Team meetings initially. Consider alternative means of communication / reporting from Team members to avoid unnecessary meetings (e.g. use of written 'Checkpoint' progress reports).

Risks

The project Risk Register must be regularly reviewed and updated, e.g. at Project Team meetings, to:

- Assess whether risks have materialised (i.e. become an Issue)
- Establishing whether means of controlling risks are proving effective
- Establishing whether any new risks are now apparent

Progress Reporting

The minimum reporting requirement is bi-monthly completion of a [Highlight Report](#) for the SRO and for the Capital Programme Delivery Board members. The current template for this report will always be found on the [Project Management Template Site](#). Where applicable the relevant programme manager must also be sent a copy. **It is essential that these progress reports contain all the appropriate current status information on performance against agreed timescales, any emerging risks or quality issues as well as accurate current spend / forecasts.**

[The Regeneration and Capital Programme Delivery Board](#): The Regeneration and Capital Programme Delivery Board has responsibility and accountability for the delivery of all Regeneration and Capital projects and programmes (of the built environment) and ensuring that all projects and programmes are adequately and appropriately resourced. For further details of the functions of the R&CPDB, see section 3.4 of Annex 3.

Top Tip: Use of Project Workspaces within SharePoint will allow officers to receive alerts that a report has been produced and avoid unnecessary e-mail traffic.

[Capital Team reporting requirements](#)

Project Managers for capital projects are also required to provide the following forecast information to the Capital team on a quarterly basis via your directorate representative:

- the forecast spend position for the life of the project (based on spend reconciled to Oracle, commitments and forecast future project spend profiled over future quarters). There is a template to assist in the compilation of this information;
- the current project status (initial budget estimate, pre-tender estimate, on-site, practical completion, completed) at the end of the quarter i.e. June, Sept, Dec, Mar;
- forecast project completion date;
- a paragraph of explanation for any overspend forecast or completion date slippage;
- a paragraph of explanation of any large variance (>£50k) from the previous quarter forecast position.

You are also required to update the Capital team of any changes to the project, such as additional resources, change of spend / budget profile, etc. - a revised PID may be required so that these changes can be registered in the capital programme. (see below for changes to the project)

Dealing with Issues

An Issue is defined as:

‘A problem, query, concern or change request that affects the project and requires management intervention to resolve’.

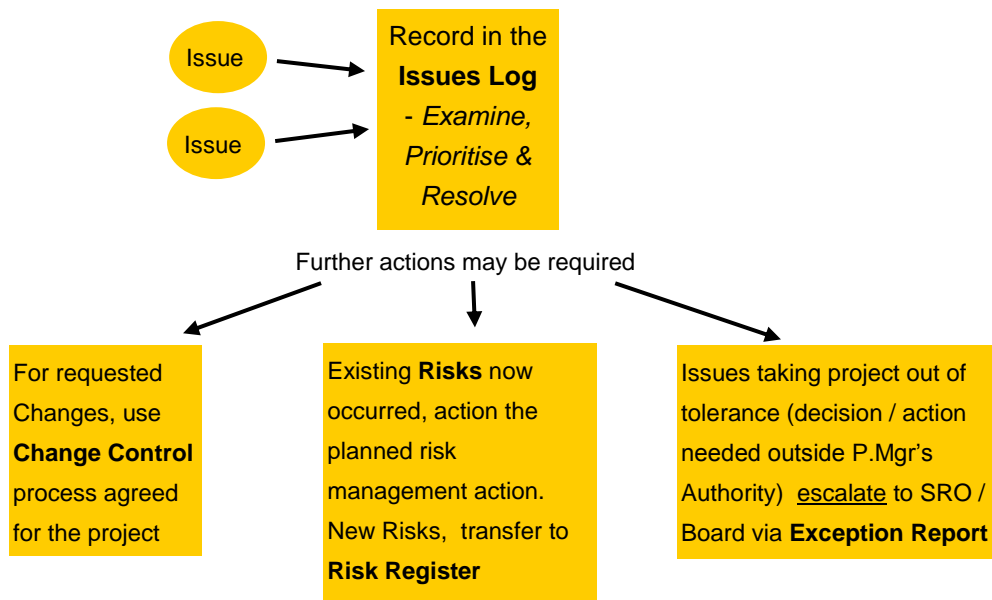
[Overview](#)

Issues that arise need to be handled in a structured way in order that they don't get ignored and derail the project. Issues arise in a multitude of ways, but basically fall into 3 broad categories and these determine how the issue should be handled:

- A problem or concern (e.g. an indication that a project won't be delivered to time, cost or to specification / scope, loss of a key team member etc)
- A request to change to some aspect of the project
- A previously identified risk that has now happened

All issues should be entered in the Issue Log and examined / prioritised to determine how they need to be handled. The Issue Log template is available on the [Project Management Template Site](#).

The diagram below illustrates the routes / actions required for dealing with project Issues:



Even before any formal escalation / change processes are implemented, common sense dictates that Project Managers should inform the SRO promptly (and where applicable the relevant programme manager) of any serious issues / forecast changes to the agreed parameters for time, cost or scope that are likely to impact on the project and that are outside the project manager's level of authority to resolve. The Issue Log should be reviewed on a regular basis to ensure actions are followed up.

Exception Reports

The Exception Report template should be used to seek a decision from the SRO / Board on resolving a problem (Issue) that is forecast to take the project outside agreed parameters, usually of time, cost, or scope. The template is available on the [Project Management Template site](#) & is self-explanatory. It requires a description of the problem, its impact on the project, options to resolve and a recommendation from the project manager. The decision is likely to require amendment to Plans, specifications, cost plan / budgets, or other elements of the PID. The SRO is required to formally note their decision on the report.

Change Control

It will usually be necessary to have some form of change control to deal with requested changes* to the project. These may come e.g. from end users, requesting changes to functionality or from the SRO / other senior managers requesting changes to the scope of what the project is being asked to do. Uncontrolled changes to a project, particularly 'scope creep', can spell disaster for a project and at the very least can make it very difficult for a project manager to deliver within agreed parameters.

The approach needs to be scaled appropriate to the project, e.g. using a simple Change Log where it is only necessary to record brief details to enable tracking, or a Change Request template where more in-depth analysis (of impact etc) needs to be recorded. These templates are located on the [Project Management Template site](#). Requests for a change will first be entered in the Issue Log. The Change Log / Change Request template is then completed by the project manager to record assessment of the request, (i.e. its priority and its impact on cost, timescales & quality) and the decision made.

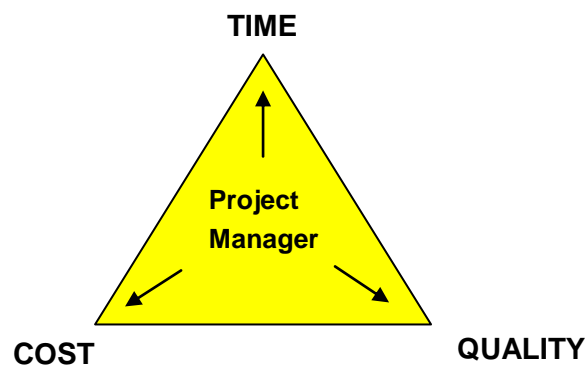
Changes will be prioritised as follows:

- Must Have
- Important
- Nice to have
- Cosmetic, of no importance
- Not a change

Decisions on minor changes that do not materially affect the timescales, costs, quality / functionality and therefore don't take the project 'out of tolerance' will be taken by the project manager. Where this is not the case, the SRO will have to make the decision & sign off the Change Request.

** Note: Necessary changes resulting from dealing with a problem (Issue) are dealt with using an Exception Report, this will record a decision to make a change (e.g. to reduce the scope or quality of a product). It isn't necessary to also use the Change Control route, use this for controlling requested changes. (All changes, from either route, need to be recorded in the Closure Report)*

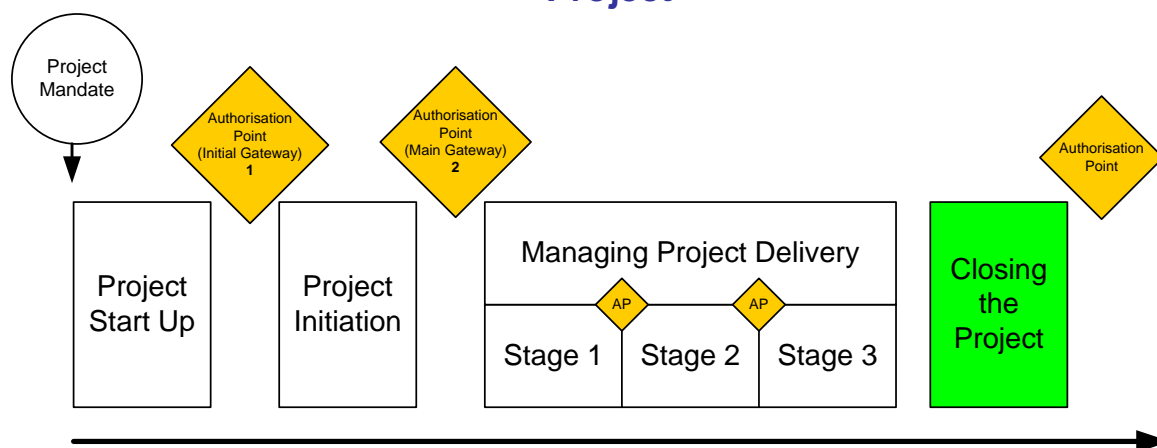
Time, Cost & Quality



In considering options / recommendations for taking action on problems or Requests for Change, project managers need to balance the interaction between time, cost & quality. Recommendations to reduce the scope or change products must take into account user requirements and the extent to which the project's original objectives (or indeed Business Case / vfm) are affected.

Note: In all cases where the budget for a capital project has changed, the Capital team will require an updated PID to be provided, signed by the SRO / R&CPDB Chair to confirm that an extra allocation has been made.

Closing the Project



Closing a project properly ensures that the project has a distinct endpoint, with effective handover and identification of follow-on tasks. It also ensures that lessons learned are recorded for future projects.

The actions for project closure are:

- Confirm that all outputs have been delivered according to their specification, product descriptions
- Confirm the outputs have been formally accepted by the customer and have been handed over to the relevant managers
- Finalise all project documentation & arrange for archiving.
- Identify & record any follow-up actions, including any outstanding issues that cannot be resolved by the project, handing these over to appropriate people for resolution
- Ensure recipients are able to use the project products (training)
- Ensure suitable arrangements for ongoing support and any maintenance are in place
- Note the Lessons Learned during the project and making these accessible to other project teams
- Decide whether a Post-Project Review is required, to examine the extent to which the expected benefits have been realised.

The [Project Closure Report template](#) provides the basis for recording that the above actions have been carried out. The report is completed by the Project Manager & signed off by the SRO at Practical Completion, once the project has achieved its objectives and can be closed down. This will include disbanding the project team and closure of the project cost centre (except for retentions in capital projects). Once the Defects Liability Period has expired, the closure report may need to be revised in order to record and communicate the key outcomes from this final process. For larger projects, the Project Closure Report is usually considered at a final Board meeting.

The Closure Report template includes a section for noting **lessons learned**, compiled from the [Lessons Learned Log](#) used throughout the project. These templates are available on the [Project Management Template site](#). In large and complex projects, particularly where a number of perspectives need to be captured or where there have been difficulties, it may be necessary to carry out an independent Lessons Learned exercise. The output from this would be a separate Lessons Learned Report, normally accompanying the Closure Report.

After sign-off by the SRO / Board, a copy of the Project Closure Report is sent to the Chair of the R&CPD Board and to the Performance & Programme Management Team (to help ensure lessons are shared).

*Note: Projects may be closed down at any point, if there is no longer a Business Case for continuing or if other circumstances dictate it should be terminated. **In this case it is particularly important***

that a Closure report is completed that details the reasons & lessons learnt.

Annex 1 Project Management Tools

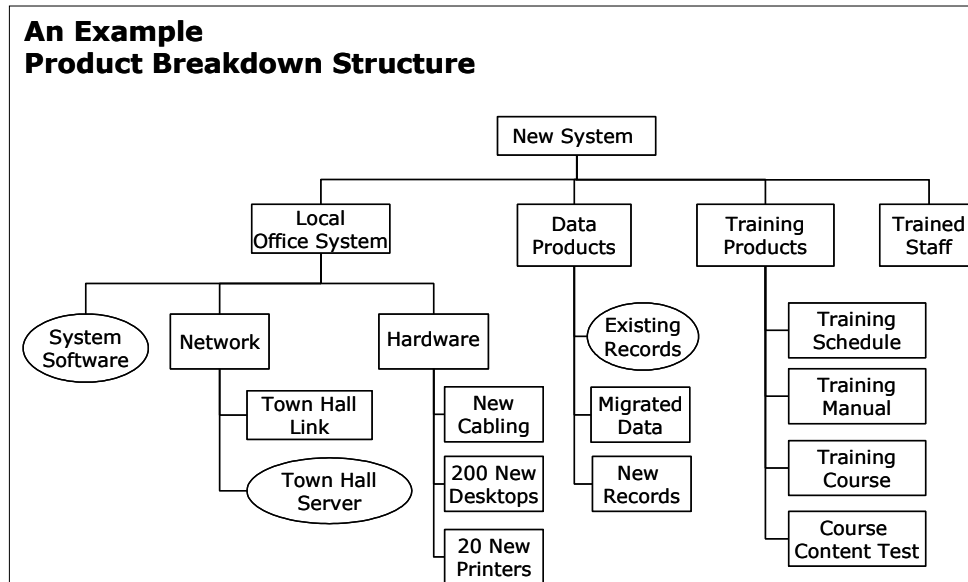
Typical planning tools used by Project Managers are

- Product Breakdown structure
- Product Descriptions
- Product Flow Diagram
- Work Breakdown Structure
- Activity Networks
- Gant Charts

The following diagrams represent the set of planning tools used by experienced PRINCE2 Project Managers.

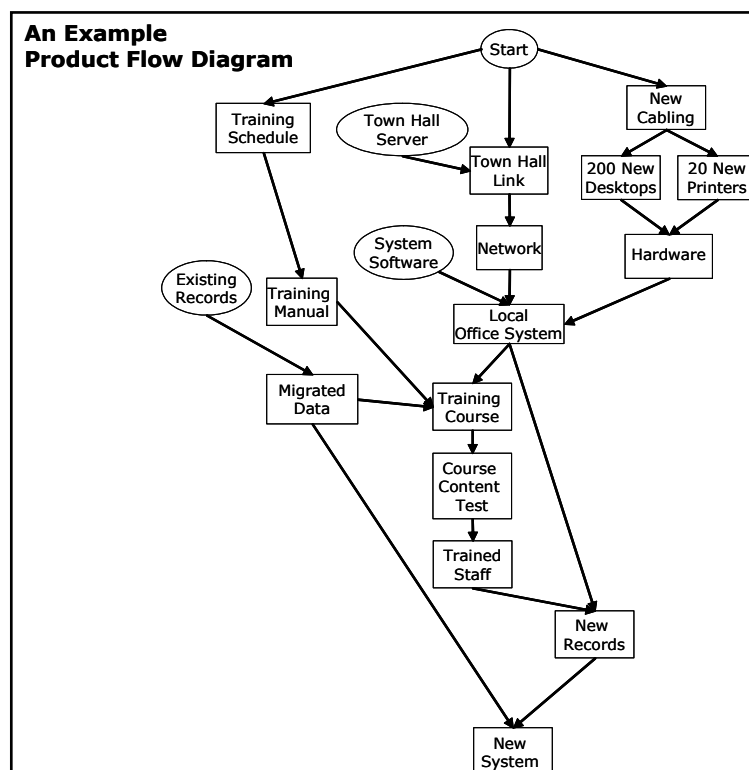
Product Breakdown Structure

The Product Breakdown Structure identifies the scope of products that need to be created by the product.



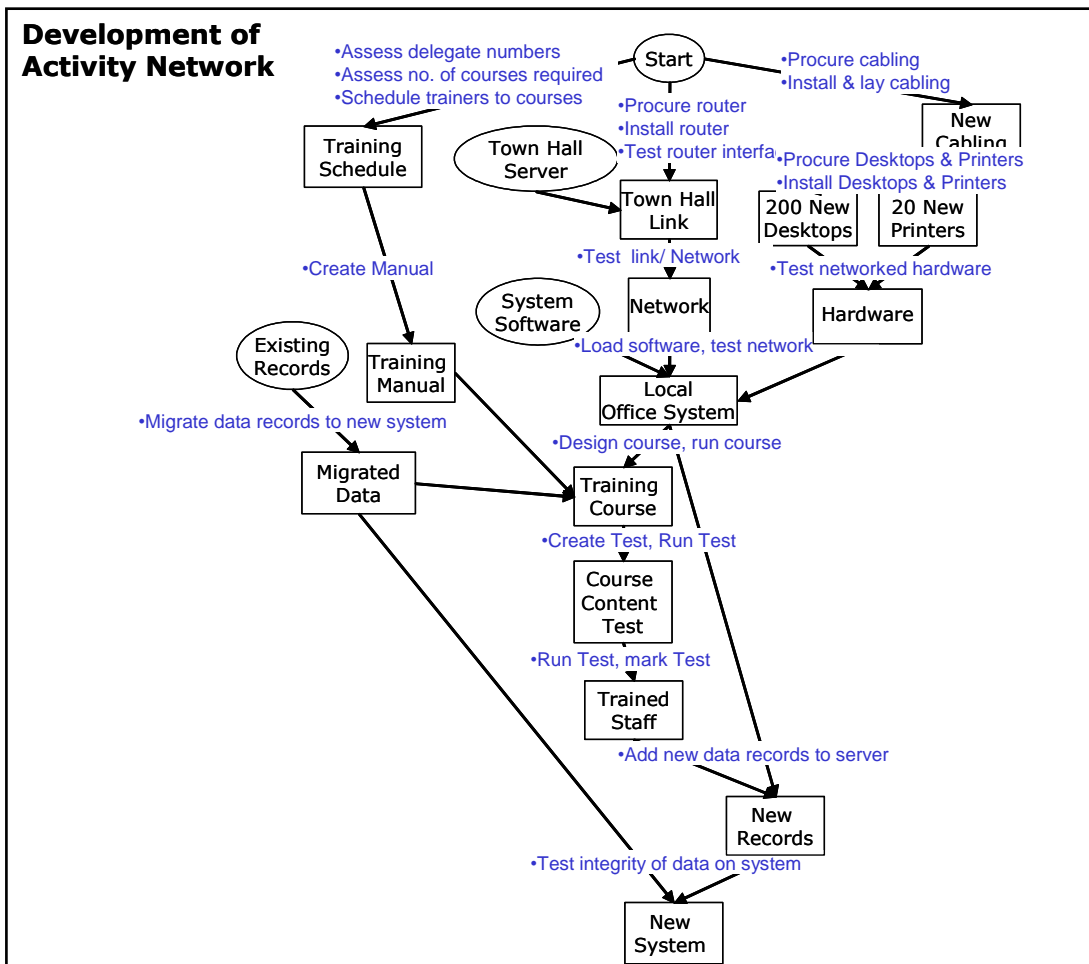
Product Flow Diagram

The purpose of the Product Flow Diagram is to show the sequence in which the products will be created. This helps the Project Manager to identify any products that may have been omitted in the original Product Breakdown Structure and ensures that the full scope of products to be created is identified..



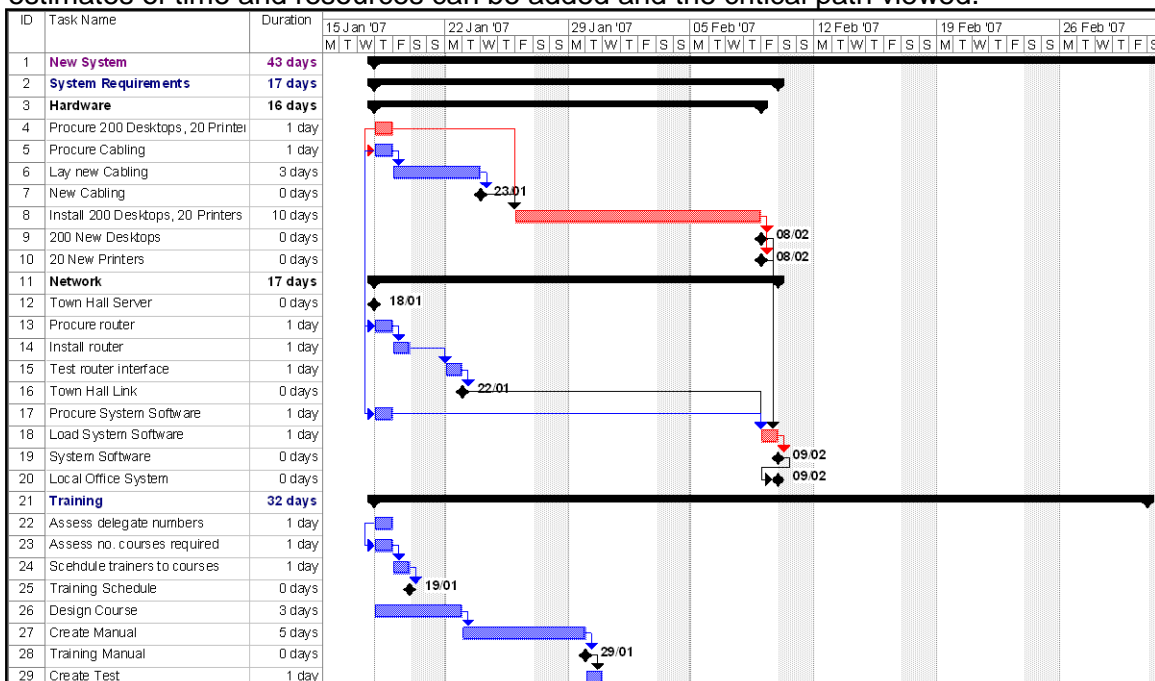
Work Breakdown Structure

In this step, activities are added on each arrow of the Product Flow Diagram to indicate the activities needed to create the products identified in the Product Breakdown Structure.



Gantt Chart

The information about products and activities are translated into a Gantt Chart so that estimates of time and resources can be added and the critical path viewed.



ANNEX 2 PROJECT MANAGEMENT TEMPLATES

The following templates are stored on a SharePoint site [Project Management Templates](#), so that access is always to the current version.

Project Brief – Initial Gateway Approval

Project Initiation Document (PID) & Guidance *

Risk Register & Guidance *

Highlight Report * (*Routine progress reporting*)

Issue Log (*Initial logging of all problems, change requests, risks that occur*)

Exception Report (*Escalation of problems that the project manager hasn't the authority to resolve*)

Quality Plan

Quality Log

Lessons Learned Log

Gantt Chart tool – Excel

Change Control Log

Change Request Form

Stakeholder Communication Plan

Project Closure Report *

* Indicates that use is mandatory

3.1 LBL Financial Regulations & Financial Procedures

Financial Regulations and Financial Procedures form part of the Council's regulatory framework alongside the Constitution and compliance with them is mandatory. The Regulations give the overall framework and the Procedures give the detail.

3.1.1 LBL Financial Regulations

Several sections are relevant to project managers. Sections B5/6 for example, refers to the general responsibility for budget holders to monitor their budgets on a regular basis and ensure that expenditure does not exceed the budget. Section B17 requires income & expenditure transactions to be recorded accurately on the Council's financial information system. Project managers therefore need to ensure that effective project finance systems / records are set up & maintained. The other main requirement of relevance to project managers is section B14: '**Capital and revenue projects will be managed in accordance with Lewisham's Standard for Project Management as contained in the Financial Procedures**'.

3.1.2 LBL Financial Procedures Extract

Section 30 - STANDARD FOR PROJECT MANAGEMENT

PURPOSE

1.1 To provide guidance on structures, procedures and processes for project management.

SCOPE

1.2 These requirements apply to all individual capital and revenue projects or aggregated programmes of £40k and over in value.

1.3 A project is defined as an activity with specific objectives and deliverables, a specific budget, specifically allocated resources with defined roles and defined start and end dates.

PROCEDURE

Project inception (Start up and Initiation stage/s)

1.4 A Project Initiation Document (PID) must be produced for all individual projects or aggregated programmes of work over £40,000 in value. The PID must be signed off before the project is allowed to proceed.

1.5 The content of the PID must comply with current guidance issued by the Authority. It will identify the Senior Responsible Officer (SRO), the project manager (an LBL officer) and any external project management staff appointed. The corporate PID template is to be used in all cases, adapted to suit the scale and nature of the project.

1.6 Guidance consists of the current LBL [Programme Management Handbook](#) and associated [Templates](#).

1.7 The PID must be signed off (Main Gateway) by the project's SRO and by the chair of the relevant directorate's Project Review Group (PRG) – a member of DMT.

1.8 Alternative Gateway approval processes will be applied to large projects and programmes in line with current guidance issued by the Authority.

1.9 For all projects, a detailed initial budget estimate must be produced prior to tenders being sought.

- 1.10 The allocation of expenditure codes to capital schemes will be subject to the approval of the Executive Director for Resources (Capital and Treasury Team) upon receipt of an approved PID or Gateway report.
- 1.11 All tenders must be approved in accordance with the Contract Procedure Rules (Section I of the Constitution).

Project Delivery and Monitoring requirements

- 1.12 Project managers are responsible for delivery of their project within agreed budget, time, quality and scope parameters.
- 1.13 Project managers are to provide monthly progress information to the SRO in the form of a Highlight Report, using the current corporate template. This information is to include current status of the project on spend / forecasts against agreed budget, performance against agreed timescales, quality criteria or scope. Information on current risks and issues must also be provided
- 1.14 Project managers are also under a duty to inform the SRO promptly (and where applicable the relevant programme manager) of any changes (or forecasts) to the above parameters that are outside the project manager's level of authority/agreed tolerances.
- 1.15 Each directorate must operate a Project Review Group (PRG), chaired by a member of DMT. The terms of reference for each PRG will include approval of PIDs prior to project initiation and monitoring of projects in delivery at a frequency determined by current corporate/directorate requirements.
- 1.16 The PRG chair will nominate a lead officer for each directorate who will collate project performance information for the PRG at the required frequency. Project managers are required to copy Highlight Reports provided to the SRO to the directorate PRG lead officer.
- 1.17 The PRG lead officer must also produce monitoring information on capital projects for the Capital and Treasury Team in accordance with Financial Procedure 7.
- 1.18 Progress on projects over £500,000 in value is to be reported to the Corporate Project Board (CPB) in the required format and at the required frequency. The Director for Programme Management and Property (Chair of the CPB) may determine that projects of a lower amount are to report to CPB. PRG lead officers are required to provide directorate reports for CPB to the Performance and Programme Management Team.

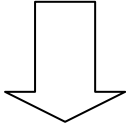
Closure

- 1.19 On completion of a project, a [Project Closure Report](#) is to be completed in the format required by current guidance. The SRO is to review this report and consider how any lessons learnt can inform future project delivery within the Authority.

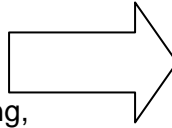
3.2 Capital Code set-up – Capital & Treasury Team

Capital Code set up: Process guide

PID received by Capital and Treasury team

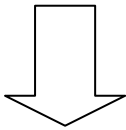


Documentation checked
(has the PID been signed,
is there confirmation of funding,
is the risk register complete, etc.)



Any errors or omissions, PID
sent back to project manager / SRO.
A copy is also sent to the
Performance & Programme
Management Team

C&T Team set capital codes up.
(Internal control processes involved).



Email sent by C&T Team to project manager, PRG Chair and other relevant stakeholders to confirm that the budget has been included within the Capital Programme and the expenditure codes have been set up.
This also specifies the reporting requirements for the project.

3.3 Bidding processes

Text to be added by C&T Team

3.4 LBL PROJECT REVIEW & REPORTING STRUCTURES

Corporate Overview

Regeneration and Capital Programme Delivery Board (RCPDB)

The RCPDB is responsible for agreeing initiation and monitoring progress of capital and revenue funded projects (£40k and above, total project cost). The bi-monthly meetings are chaired by the Director of Regeneration and Asset Management. The operation of the Board is underpinned by the Council's Financial Procedures. Note that the principal reviewer of the PID and progress (Highlight) reports is the project's SRO, who bears ultimate responsibility for the project's success. The RCPDB has a **project assurance** role.

The Role of the RCPDB

- To undertake Initial Gateway reviews of project proposals for projects up to £1m in value, where agreed necessary by the SRO & the PRG Chair and for bids for external funding.
- To undertake Main Gateway reviews of fully developed Project Initiation Documents. Chair to sign off the PID to agree initiation of new projects (the project's Senior Responsible Officer having first signed it). This serves as an independent check that all proposed projects have a Project Initiation Document that demonstrates:
 - the project is in line with corporate & directorate strategies
 - Objectives, scope & deliverables are clearly defined
 - Roles & Responsibilities have been clearly defined
 - Relevant stakeholders have been identified
 - the project has been planned adequately & is deliverable within the planned timescale.
 - Risks to the project have been identified & are manageable
 - Resources have been identified to deliver the project
- To monitor progress of projects (via Highlight Reports, also sent to the SRO) within the relevant directorates on a monthly cycle, with a focus on those that not performing as planned or are deemed to be at risk.
- To report on the progress of schemes (£500k & above by default) to the Corporate Project Board (summary RAG report). Chair to attend CPB.
- To review Post Completion Review Reports and ensure 'lessons learned' are taken on board for future projects.
- Generally, to promote good practice in project management within the relevant directorates
- To be instrumental in ensuring that members are fully aware of the status of projects within the directorate.
- To comment on project closure reports and share lessons learnt.

Attendance at RCPDB

DMT member – Chair

Directorate Heads of Service where appropriate

Corporate Performance & Programme Management Team representative

Finance representative

Project managers as directed by the Chair.

Role of the Commercial and Investment Delivery Team at RCPDB

The PPM Team attends & supports each of the PRGs. Its remit is to:

- Participate in the approval of PIDs, (Initial & Main Gateways) acting as a source of independent challenge & offering advice on where the project proposal can be improved to maximise the likelihood of success
- Participate in the review of project progress reports, to assist in ensuring that problems are identified & appropriate actions are agreed
- Generally, to ensure that the Board is operating effectively in respect of PID approval & progress review.
- To offer assistance to the Chair in developing tools / processes to enable the Board to operate effectively
- To identify the root causes of project problems, to make appropriate recommendations to inform Lewisham's PM methodology/standards and roll out best practice
- Review the completion of PM templates, to inform support and guidance available to project managers. Improve / develop new templates.

- Responsibility to inform the Board on current developments and best practice in the field of project governance and management.
- To assist with 'project rescue' exercises

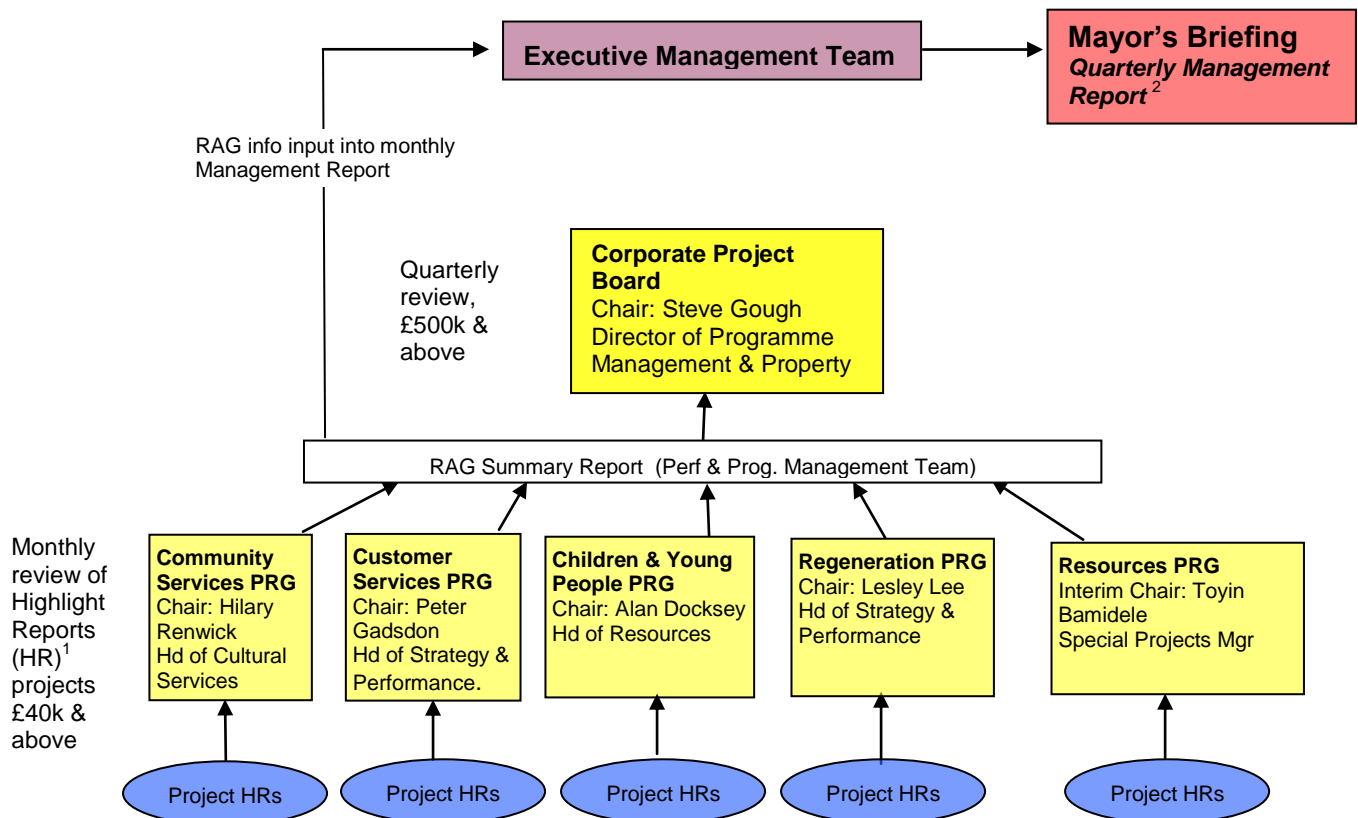
Corporate Project Board (CPB)

The CPB's remit is:

- Carry out Initial Gateway reviews on project proposals over £1m in value, using additional expertise where deemed necessary. (Also Main Gateway Reviews where deemed necessary).
- To review progress on all the Council's capital and revenue programmes and projects over £500,000 and of lower value where deemed necessary (high profile / impact, politically sensitive).
- To focus attention on those projects at significant risk of late delivery, of overspending or of not achieving primary objectives and recommend appropriate action to resolve issues
- Take corporate responsibility for ensuring that project and programme management arrangements conform to good practice, agreed corporate arrangements and for ensuring there are proper controls across the Council
- To help promote & share good practice in project management e.g. by encouraging the continuous roll-out of project management training
- Ensure that senior management take ownership and responsibility for projects and programmes within their areas

The CPB meets quarterly and its monitoring role provides an opportunity for a corporate view & 'early warning' about issues in major projects. It is chaired by the Director of Programme Management & Property (Regeneration Directorate). The other members of the CPB are the Chairs of the PRGs, a representative from the PPM Team and a representative from the Capital & Treasury Team. The progress information considered by the CPB is in the form of a summary 'Red/Amber/Green' report collated by the Programme Management Team. Information from the 'RAG' report is then incorporated into the quarterly Management Report that goes (via Executive Management Team) to members at Mayor's Briefing.

Summary of directorate / corporate project reporting



Note 1: The primary recipient of monthly Highlight Reports is the SRO / Board, the above merely describes the process for directorate / corporate overview (project assurance roles)

Note 2: The Management Report covers a wide range of Council performance information, including **Page 72**

project performance information. For projects, it contains summary information on all projects (RAG status) with more detailed information on issues for 'Red' projects. The Management Report is produced monthly for Executive Management Team and every quarter goes to Mayor's Briefing. It is also made available to the public via the Council's website.

Project Records

Maintenance of project records is a responsibility of the project manager. All too often project records required for audit, proper hand-over to operational staff, future learning etc cannot be found – don't let this happen to your project. Below is a generic list of suggestions for the type of records that need to be maintained, though not all will be appropriate for all projects. These records may be one file or a whole filing cabinet depending on the scale of the project. Many can be kept electronically, as long as the integrity of the data can be assured. Hard copies will need to be kept of contractual documents, documents bearing authorisation / approval signatures and other working papers.

General project information

Project background information, context

Proposal documents, funding bids

Feasibility studies, option analyses

Consultation exercises

Environmental Impact Assessments

Equalities Impact Assessments

Stakeholder Analysis / Communication Plan

Project Initiation Document (and updates):

- Objectives & Scope
- Business Case (inc evidence that supports need)
- Project Team, roles & responsibilities, (organisation charts & interfaces with operational managers where appropriate)
- Risk Register with updates
- Outline Project Plan
- Quality Plan
- Performance Indicators (progress & outcome), inc. any agreed targets
- Tolerances agreed with SRO / Board

Plans

Work breakdown structures / Product Breakdown Structures

Network diagrams / Critical Path Analyses / Product Flow Diagrams

Detailed Project / Work Plans (Gantt charts etc)

Task allocation records / Work Packages

Project Team procedures / protocols (where required)

Inc. updates to all the above

Financial Records

Cost Plans / Estimates (*inc updates*)

Budgets / Funding details, External Funding Agreements

Financial Management structures (Budget headings / Codes)

Budget monitoring reports, commitment records

Income and expenditure records (inc. spend and payment authorisations)

Technical Data

Specifications

Equipment / product Operating Manuals

Health & Safety considerations

Tenders, Contracts, Authorisations & Orders

- Tender Evaluation records
- Original (signed) contracts
- Works / purchase orders
- Statutory consents
- Mayor & Cabinet / Officer approvals

Monitoring

- Progress / performance measurements, monitoring Records, Quality Log (outputs / milestones / quality checks), including site visits, inspections, etc
- Other reports or measurements into the Team
- Audit reports
- Issues Log
- Lessons Learnt Log

Reporting

- Project progress (Highlight) reports: (reports from Project Manager to SRO / Project Board, PRG, Corporate Project Board, Management Report to the Mayor / EMT etc)

Document & Data inc. Change control

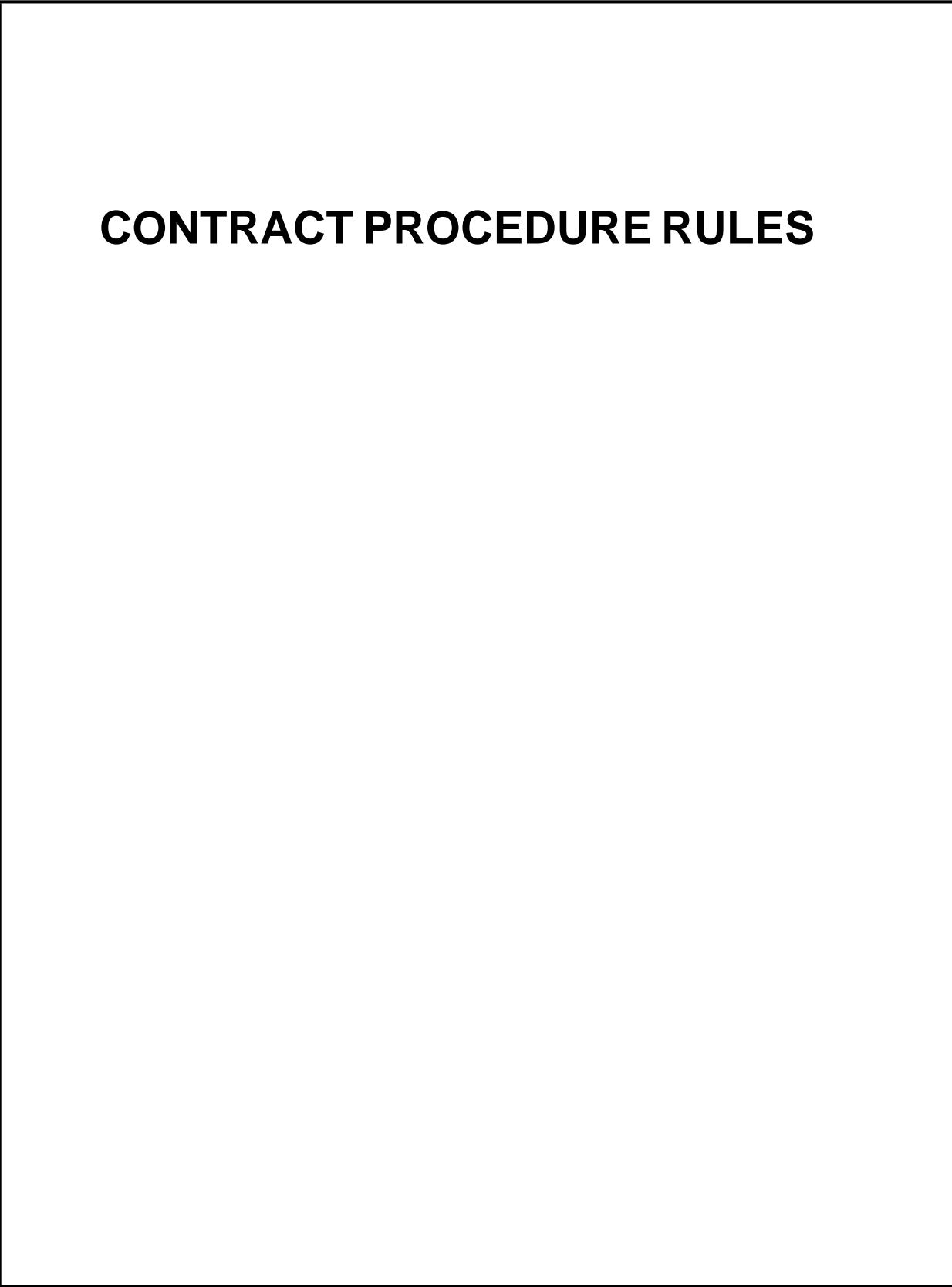
- Document location and distribution list for key items
- Document change / issue records (inc. history*).
- Data back –up arrangements
- Archiving arrangements
- * NB. It is helpful to mark file copies of previous versions of documents as 'superseded'.*

Communications

- Internal – (including print-outs of significant e-mails)
- External – letters
- It is recommended that provision is made for a 'File Note' section for recording significant conversations, events etc, or by the project manager keeping a 'Daily Log'. **If it isn't recorded it will probably be forgotten.***

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Part I



Contract Procedure Rules for the Supply of Goods, Services and Works ("The Rules")

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Contract Procedure Rules for the Supply of Goods, Services and Works

CHAPTER ONE: INTRODUCTION

1. Compliance with these Rules, Council Policies, Relevant Legislation and Legal Requirements

1.1 What these Rules apply to

These Rules apply to all contracts for the provision of goods, services and works to the Council unless otherwise specified in these Rules¹. The Rules also cover the procurement of Framework Agreements (see **Rule 5.2**) and contracts entered into under them.

- 1.2 These Rules also apply to a procurement process for a service which has been triggered by a Community Right to Challenge under the Localism Act 2011 which enables charities, voluntary groups, parish councils and two or more employees of the Council to express an interest in providing or assisting with the provision of a service on behalf of the Council.

The Council has published a statement on its website containing detailed procedures, including the information required in an expression of interest for those wishing to challenge, the timeframes for submission of such expressions of interest and how the expression of interest will be considered. These procedures must be followed.

- 1.3 An extension or variation to a contract is subject to these Rules where relevant (see Rule 17).

1.4 What contracts must comply with

- (i) EU law in particular the Public Contracts Regulations 2015 (“the Regulations”);
- (ii) English law (including the Council’s statutory duties and powers and the Council’s fiduciary duty to safeguard public funds);
- (iii) these Rules and the Council’s Financial Procedure Rules;

¹ See in particular Rules 1.5 and 1.6

- (iv) the Council's Procurement Code of Practice ("the Procurement Code");
- (v) any relevant Council policies; and
- (vi) any legal requirement stipulated by the Head of Law.

1.4.1 All contracts must comply with all of the following principles of EU law:

- (i) free movement of goods and services;
- (ii) non-discrimination;
- (iii) openness/transparency;
- (iv) equal treatment for all; and
- (v) proportionality.

1.4.2 Where a contract requires the tender procedure to be carried out under European Union public procurement legislation (an "EU Tender"), additional rules applying to such tender procedures must be complied with and are set out within these Rules. The relevant procurement team (see **Rule 2**) and/or Legal Services should be consulted for advice.

1.5 **Compliance with the Rules**

These Rules are mandatory and must be complied with by all officers of the Council authorised to undertake a procurement² ("Authorised Officers") and all other persons who are authorised to carry out procurement and contracting on behalf of the Council (such as the Council's agents for property services) ("Agents"). It must be a term of all contracts between the Council and its Agents that the Agents comply with these Rules.

1.6 **When these Rules do not apply**

These Rules do not apply to:

² **Authorised Officers** means those officers of the Council identified as such by Executive Directors in their Schemes of Delegation and approved by the s151 Officer to undertake procurement and contracting on behalf of the Council (including authorisation of expenditure, preparing and/or negotiating contract documentation, awarding and signing contracts and/or managing contracts) and any Agents as defined in Rule 1.8 with such authority;

- (i) contracts which are not for the provision of goods, services or works, except that they may in certain circumstances apply to the award of grants or contracts relating to land. Legal advice will be required in relation to such awards or contracts. Note also that these Rules do not apply to contracts of employment but they do apply to consultancy contracts which are contracts for services.
 - (ii) contracts entered into by schools with delegated budgets should instead be awarded in accordance with the School's Financial Handbook.
 - (iii) low value purchases which may be made by procurement cards provided that they are made in accordance with any operational instructions and financial limits issued by the s151 Officer.
- 1.7 In specific circumstances and for certain contracts some of these Rules do not apply details are set out in Rules 18 and 19 and Authorised Officers should refer to these Rules.
- 1.8 In exceptional circumstances, exemptions to these Rules may be granted. Details are set out in Rule 18 and Authorised Officer's should refer to this Rule.

2. Where to get advice

- 2.1 Officers requiring advice on procurement practice and EU requirements should contact their Relevant Procurement Team, being:
- (i) the Corporate Procurement Team; or
 - (ii) the Directorate Commissioning Team; or
 - (iii) in relation to contracts for Social Care and Health, the Joint Commissioning Team.
- 2.2 In all cases officers must seek legal advice from Legal Services in relation to the drafting of the legal terms and conditions of contracts.

CHAPTER TWO: PRE-PROCUREMENT

3. Pre-Tender Authorisations and Requirements and Permissions

- 3.1 Authorised Officers must ensure, before entering into any process which will or may result in the incurring of any expenditure for the supply of goods, services or works be it capital or revenue, that:

- (i) they produce a robust business case which must show that the expenditure required has been fully considered and approved by the Authorised Officer and/or the Executive Director and sufficient money has been allocated in the relevant budget. In this regard it will be necessary to check that adequate financial provision is included in the Council’s approved revenue budget or capital programme (as appropriate) and an audit trail is maintained to support the business justification and approval process;
- (ii) an estimate of the contract value is prepared and recorded in writing. This is to be calculated on the basis of the total amount payable to the contractor, supplier, or service provider over the whole contract period. All such estimates shall be kept in a central register by the relevant Executive Director;
- (iii) where it is a key decision, the requirements of Part II, Article 16, of the Constitution have been complied with³;
- (iv) written authorisation has been obtained in accordance with the following two tables.

Table 1 Goods and Services

| Cumulative expenditure per contract | Authorisation | Category |
|--|---|-----------------|
| £500,000 and above | Mayor and Cabinet (Contracts) Committee | A |
| Up to but not exceeding £500,000 | Executive Director in accordance with his or her delegated financial limits under the Mayoral Scheme of Delegation set out at page XX of the Constitution | B |

Table 2 Works

| Cumulative expenditure per contract | Authorisation | Category |
|--|---|-----------------|
| £1,000,001 and above | Mayor and Cabinet (Contracts) Committee | A |

³ A decision taker may only take a key decision in accordance with the requirements of the Article 16 (Principles of Decision Making including key decisions on page XX and Access to Information Rules in the Constitution at paragraphs 17 – 20 at pages xxx - . This section sets out further details of what a Key Decision is and what Procedure is required

| | | |
|------------------------------------|--|---|
| Up to but not exceeding £1,000,000 | Executive Director in accordance with their delegated financial limits under the Mayoral Scheme of Delegation set out at XX | B |
|------------------------------------|--|---|

(v) they have considered whether any consultation requirements apply, including whether the Public Services (Social Value) Act 2012 applies to any services. This Act requires the Council when procuring services above the EU threshold to consider:

(a) how what is to be procured might improve the economic, social and environmental wellbeing of the relevant area; and

(b) in conducting the procurement how it might act with a view to securing that improvement,

provided that those matters to be considered must only be matters that are relevant to the services to be procured and it must be proportionate in all the circumstances to take those matters into account.

3.2 **Small and Medium Enterprises (SMEs) and Lots**

In order to ensure access to the market by SMEs, Councils are encouraged by the Regulations to consider subdividing contracts into smaller lower value packages (“Lots”). Reasons for not dividing into lots must be set out in the Procurement Documents and the reasons reported in the reports set out at Rule 16.2.

3.3 **Preliminary market consultation**

Before commencing a procurement procedure, Authorised Officers may conduct a market consultation with a view to preparing the procurement and informing economic operators of the Council’s procurement plans and requirements. For this purpose:

- (i) they can seek or accept advice from independent authorities or market participants;
- (ii) use such advice in the planning and conduct of the procurement provided that it does not distort competition or breach the principles of non-discrimination and transparency or cause a conflict of interest.

4. **Establishing the Value of the Contract/Expenditure per Contract**

- 4.1 The value of a contract (that is, the expenditure per contract) means the estimated amount payable by the Council to the supplier for the goods, services or works (excluding VAT) over the entire length of the contract including, if the contract confers an option to extend, the amount payable in the exercise of that option. For example, a three-year contract with an option to extend for two years under which £200,000 is payable per annum has a value of £1,000,000.
- 4.2 The value of a Framework Agreement means the estimated amount payable by the users of the framework for the goods, services or works (excluding VAT) under Call-off Contracts entered into over the entire possible duration of the framework.
- 4.3 Contracts must not be split into smaller contracts in order to avoid any of these Rules.
- 4.4 For contracts of an indefinite length the value must be established on the basis that the contract will last for a period of 48 months.
- 4.5 **EU Thresholds**
- 4.5.1 The requirements of the Regulations apply to contracts the total value of which meet or exceed the relevant threshold set out by the EU Directive.
- 4.5.2 These thresholds are;
- (i) £ 172,514 for goods and services;
 - (ii) £4,322,012 for works
 - (iii) £ 625,050 for Light Touch Regime contracts (which covers social, health and community services).
- After 31st December 2015, these value are likely to change and officers must comply with the relevant EU Directive enforced from time to time, seeking advice from Legal Services or the Relevant Procurement Team on the threshold which applies.
- 4.5.3 The total value of a contract may include all contracts to meet a single requirement for goods or services.

CHAPTER THREE: THE PROCUREMENT PROCESS

5. Best Value – Competitive Quotes and Tenders

Works, Goods and Services

5.1 In letting contracts Authorised Officers must take practicable steps to secure value for money through a combination of cost, quality and competition. Competitive tenders or quotations must be sought as shown in the Table 3 below. For convenience, the contracts are divided into categories according to value.

Table 3

| Estimated cumulative expenditure per contract | Competition | Category |
|--|---|-----------------|
| Building, construction and engineering works contracts (“Works Contracts”) above the EU threshold | <p>By an invitation to tender by public advertisement (OJEU notice) or subject to the approval of the Executive Director for Resources and Regeneration upon the advice of the Head of Law:</p> <p>a) by the use of a public consortium Framework Agreement (see Rule 5.2); or</p> <p>b) by a dynamic purchasing system (an electronic purchasing system open to new bidders throughout the term),</p> <p>both of which must have been established by the Council or a public sector body or bodies, be competitively tendered and be EU compliant</p> | A |
| Building, construction and engineering works contracts (“Works Contracts”) below the EU threshold | <p>By an invitation to tender by public advertisement or subject to the approval of the Executive Director for Resources and Regeneration upon the advice of the Head of Law:</p> <p>a) by the use of a public consortium Framework Agreement; or</p> <p>b) by a dynamic purchasing system (an electronic purchasing system open to new bidders throughout the term);</p> <p>both of which must have been established by a public sector body or bodies, been competitively tendered and be EU compliant; or</p> | B |

| | | |
|---|---|------------|
| | <p>c) by selecting a minimum of 5 contractors, where the Council does not maintain an appropriate approved list; or</p> <p>subject to the approval of the relevant Executive Director by selecting a minimum of 5 contractors from an approved list.</p> | |
| <p>Contracts for Goods and Services above the EU threshold</p> | <p>By an invitation to tender by public advertisement (OJEU Notice) or subject to the approval of the Executive Director for Resources and Regeneration upon the advice of the Head of Law:</p> <p>b) by the use of a public consortium Framework Agreement; or</p> <p>c) by a dynamic purchasing system (an electronic purchasing system open to new bidders throughout the term),</p> <p>both of which must have been established by the Council or a public sector body or bodies, have been competitively tendered and be EU compliant.</p> | <p>A/B</p> |
| <p>Contracts for Goods and Services below the EU threshold</p> | <p>By an invitation to tender by public advertisement or subject to the approval of the Executive Director for Resources and Regeneration upon the advice of the Head of Law:</p> <p>a) by the use of a public consortium Framework Agreement; or</p> <p>b) by a dynamic purchasing system (an electronic purchasing system open to new bidders throughout the term); or</p> <p>both of which must have been established by a public sector body or bodies, have been competitively tendered and are EU compliant; or</p> <p>c) by selecting a minimum of 5 contractors, where the Council does not maintain an appropriate approved list; or</p> <p>subject to the approval of the relevant</p> | <p>B</p> |

| | | |
|--|--|---|
| | Executive Director by selecting a minimum of 5 contractors from an approved list. | |
| Contracts for services procured under the Light Touch Regime above the EU threshold | By an invitation to tender by public advertisement (OJEU notice); and <ul style="list-style-type: none"> - following the process described in the contract notice (open, restricted etc); - setting time limits which are reasonable and proportionate; - complying with the EU principles of transparency and equal treatment; - publishing a contract award notice – such notices may be published on a quarterly basis, within 30 days of the end of each quarter, setting out details of contracts awarded under this procedure in the relevant quarter. | A |
| All contracts between £25,001 – £50,000 | Four written quotations for the goods, services or works required by the Council must be obtained. | C |
| All contracts between £10,000 – £25,000 | Three written quotations for the goods, services or works required by the Council must be obtained. | C |
| All contracts under £10,000 | Two written quotations for the goods, services or works required by the Council must be obtained. | C |

5.2 Framework Agreements

A Framework Agreement is a contract between one or more contracting authorities with a single contractor or several contractors which establishes the terms and conditions (in particular as to price) under which orders/individual contracts can be made during the length of the Framework Agreement. The individual orders made/contracts entered into under Framework Agreements are known as Call-off Contracts and Rule 5.3 sets out the application of these Rules to Call-off Contracts.

5.3 Call-off Contracts

Call-off Contracts must be entered into in accordance with the terms of the relevant Framework Agreement and a mini-competition (the tender process required by the Framework Agreement) must be held unless otherwise permissible in law upon which legal advice must be sought. Where a Framework Agreement has been set up following an EU Tender, there must be full compliance with EU law when awarding Call-off Contracts under it.

5.4 Concession Contracts

- 5.4.1 In the case of service contracts where part or all of the remuneration received by the contractor consists of the right to exploit the services in question, these are excluded from the application of the EU Directive requiring them to be advertised in Europe. (For example, a waste disposal contract allowing the contractor to recycle waste products and keep the proceeds to recover its costs, possibly paying the Council for the right to do so.) They are still subject to competition and the relevant Category for determining the procurement route under these Contract Procedure Rules will be calculated by applying the estimated consideration which would have been given if the entire cost of the services had been paid for by the Council.
- 5.4.2 Where the contractor is willing to pay the Council for exploiting the services, then a competitive process must still be undertaken to determine which offer represents best value taking into account the obligations which will be placed upon the contractor.
- 5.4.3 In the case of a works concession contract, this will be subject to the EU Directive where the estimated value exceeds the relevant EU threshold, applying the estimated consideration which would have been given if the entire cost of the works had been paid for by the Council. If the value is below the EU threshold, it must still be subject to a competitive process in accordance with these Rules.

5.5 Advertising a contract and publication on the Contracts Finder

If advertising is required, it must be advertised on the Contracts Finder which is the web-based portal provided by or on behalf of the Cabinet Office and the London Tenders Portal in accordance with advice from the Relevant Procurement Team.

5.6 Frontloading the procurement

Authorised Officers must ensure that, by electronic means, full direct and unrestricted access, free of charge is provided to all the procurement documents from the date of the publication in the Official Journal of the European Union (OJEU) of the notice advertising the

contract. The procurement documents include:

- (i) the Invitation to Tender;
- (ii) the specification/design;
- (iii) the terms and conditions of contract;
- (iv) pricing documents

together referred to as “Procurement Documents”.

5.7 Prior Information Notices (PINs)

Authorised Officers may make known the Council’s intentions to advertise a contract through the publication of a Prior Information Notice in the OJEU and can use it as an invitation to tender provided:

- (i) it refers specifically to the goods/services/works which are the subject matter of the contract;
- (ii) it indicates which EU procedure will be used and if it is a two stage procurement;
- (iii) makes it clear that the contract will be awarded without further publication; and
- (iv) it is sent to OJEU between 35 days and 12 months prior to the date of the invitation to tender.

5.8 Two Stage Procurement Process

5.8.1 A two stage procurement process involves the invitation of expressions of interest from potential tenderers at stage 1 and then subsequently inviting tenders from those shortlisted at stage 2. This is only permitted when the value of the contract is above the EU threshold. Where a two stage process is permissible and used, then authority to agree the shortlist has to be obtained from the relevant Executive Director upon the advice of the Head of Law.

5.8.2 The decision to accept or reject the shortlist can only be taken where the application for such a shortlist is submitted by a written report containing service, legal and financial implications and fully documenting the circumstances and explaining the process, including the criteria for choosing the shortlist.

6 Pre-qualification Requirements

6.1 Grounds for Exclusion of potential tenderers

The Regulations provide for:

- (i) mandatory grounds which are, in the main, for serious offences

such as corruption, bribery, HMRC offences, fraud or theft, tax offences or money laundering. The exclusion lasts for 5 years; and

- (ii) Discretionary grounds which include non-compliance with EU environmental or social and labour law, insolvency, grave professional conduct, distorting competition or conflicts of interest and importantly poor prior performance. In relation to the latter ground, evidence of a serious breach such as termination or damages awarded against a contractor (but not liquidated and ascertained damages) has to be proven.

6.2 Minimum Standards for Tenderers

6.2.1 Authorised Officers are responsible for ensuring that all persons awarded Contracts for the supply of goods, services or works to the Council have met the Council's minimum standards of suitability, capability, legal status and financial standing.

6.2.2 Statutory guidance has been issued by the Minister for the Cabinet Office in relation to the processes for selection of tenderers which should be followed unless there is good reason for departing from it. To this end a model pre-qualification questionnaire has been issued by the Crown Commercial Services which should be used to determine these requirements and only derogated from for project specific reasons, e.g. special technical requirements or professional ability are required, which are relevant and proportionate. A report setting out the reason for the deviation has to be sent to the Cabinet Office.

6.2.3 Where the contract is not subject to an EU tender, Authorised Officers must not carry out a separate pre-qualification stage. Questions can be asked of candidates to check suitability, capability, legal status and financial standing but such questions must be relevant to the subject matter of the contract and proportionate.

7. Invitations to Tender

7.1 An invitation to tender/request for quotation must be sent out for all procurement processes listed in Table 3.

All invitations to tender must:

- (i) clearly specify the goods, services or works that are required (subject to appropriate adjustment where the negotiated, competitive procedure with negotiation or competitive dialogue procedure is being used);
- (ii) list the criteria on which the tender(s) will be evaluated (see Rule 8) showing the weighting of the various evaluation criteria unless otherwise advised by the Relevant Procurement Team and Legal Services;

- (iii) include a requirement for tenderers to declare that the tender content, price and all other figures or particulars concerning the tender have not been disclosed by the tenderer to any other party (see guidance on pro formas for use as set out in the *Procurement Handbook*);
- (iv) include a requirement for tenderers to complete fully and sign all tender documents including certificates confirming that no canvassing or collusion has taken place; and
- (v) state that the contract will be on the Council's conditions of contract which are to be enclosed with the invitation to tender.

8. Evaluation criteria

- 8.1 Evaluation should be based upon the most economically advantageous tender.
- 8.2 The evaluation criteria must be set out in the invitation to tender documents including scoring methodology and any weighting.
- 8.3 The Council will apply the following general principles in selecting candidates/tenderers for an award of contract:
 - (i) suitability to undertake the activity. In relation to this criterion, such requirements must be related and proportionate to the subject matter of the contract;
 - (ii) economic and financial standing. In assessing this, the minimum yearly turnover that candidates/ tenderers are required to have cannot exceed twice the estimated contract value, except in duly justified cases, such as by reference to special risks attached to the nature of the goods/services or works. When there is a requirement for this limit to be exceeded, this has to be reported under the reporting requirements at Rule 16.2;

Ratios between assets and liabilities may be taken into consideration where the method for such assessment is set out in the evaluation criteria and where such method is transparent and non-discriminatory;

- (iii) technical and professional ability. Authorised Officers may impose requirements that candidates possess the necessary human and technical resources and experience to perform the contract.

A requirement that candidates/tenderers have a sufficient level of experience demonstrated by suitable references from contracts performed in the past including for the Council can be imposed.

8.4 It is now possible to take into consideration life-cycle costing to include warranties and post completion maintenance, energy consumption or recycling costs. The parameters should be set out in the evaluation criteria contained within the Invitation to Tender.

8.5 Environmental and social considerations can be taken into account provided that these are relevant to the subject matter of the contract.

8.5.1 In relation to environmental criteria, the following are examples of the matters which can be taken into account:

- (i) the cost of reduction in greenhouse gases;
- (ii) other climate change mitigation costs;
- (iii) or the impact of the activity under the contract on the environment.

8.5.2 In relation to social considerations, the following are examples of the matters which can be taken into account:

- (i) mitigation of unemployment;
- (ii) trainee opportunities for young people including apprenticeships;
- (iii) opportunities for disadvantaged groups.

8.5.3 Further details of environmental and social considerations which can be taken into account are set out in the Procurement Code.

8.6 **Abnormally low tenders**

Authorised Officers must require tenderers to explain the price or costs proposed in the tender where tenders appear to be abnormally low in relation to works, goods or services. The tender can only be rejected where the evidence supplied by the tenderer does not satisfactorily account for the low level of the price or costs. In relation to tenders above the EU threshold, taking into account the criteria set out in the Regulations and upon the advice.

9. **Terms and Conditions of Contracts**

9.1 Terms and conditions for all contracts for goods, services and works must be in accordance with terms and conditions prepared or approved by the Head of Law unless otherwise agreed by the Head of Law.

9.2 **Payment terms**

All written contracts (whatever their value) shall require that:

(i) any payment due from the Council is made no later than 30 days from the date on which the relevant invoice is regarded as valid and undisputed;

(ii) any invoices submitted by the contractor are considered and verified by the Council in a timely fashion and undue delay in doing so is not to be regarded as sufficient justification for failing to treat an invoice as valid and undisputed;

(iii) any subcontract imposes obligations similar to those which (i) and (ii) require and an obligation that the subcontractor is required to impose such obligations in any further subcontract.

9.3 Liquidated and Ascertained Damages

All service and works contracts with the exception of those contracts which have a value below £50,000, shall provide for liquidated damages, save where the Executive Director for Resources and Regeneration upon the advice of the Head of Law determines that it is not appropriate.

9.4 Security and Guarantee

9.4.1 The Council shall take such security and/or guarantee for the due performance of every contract as is, in the opinion of the Executive Director for Resources and Regeneration upon the advice of the Head of Law, sufficient in all the circumstances.

9.4.2 A performance guarantee bond and/or parent company guarantee may be required as a condition for the award for contract having taken due account of the risks, if any, to the Council in entering into a contract for the carrying out of works or provision of services.

9.4.3 In relation to a contract with a value above £50,000 the Executive Director for Resources and Regeneration upon the advice of the Head of Law shall consider whether there is a need to take security against the contractor's performance and the contractor's potential liabilities taking account of the risks associated with the subject matter of the contract. Where, after an assessment and upon the advice of the Head of Law he or she judges the risks of the procurement low, a bond and/or guarantee need not be taken.

9.4.4 All tender documentation for contracts over £50,000 shall make reference to the potential for taking security in the form of a guarantee bond and/or parent company guarantee.

10 Receipt and opening of tenders

10.1 Submission of Tenders

In circumstances where the contract specification can be established with precision and with the agreement of the Executive Director for Resources and Regeneration, the Council may conduct an electronic auction prior to the award of the contract in order to achieve the most economic price.

10.2 In circumstances approved by the Executive Director for Resources and Regeneration the Council may use electronic requests for quotations and tenders, and dynamic purchasing systems to determine the most economically advantageous contractor for the works, goods or services required as any need is established.

10.3 Within the contract notice the Council will specify whether the tender is to be submitted in hard copy and/or via electronic means. Irrespective of the means of tender submission all notices or invitations to tender shall clearly state the closing date and time for their receipt.

10.4 The process for the submission and opening of tenders is set out in Table 4 below.

Table4

| Category | Electronic | | Hard Copy | |
|----------|---|--|--|--|
| | Submission | Opening | Submission | Opening |
| A | Submitted via the London Tenders portal. All Tenders are held securely on the portal unopened until the time appointed for their opening. | Opened at the same time after the submission deadline by a chosen verifier from the Councils governance team. Where an electronic auction is used, a report must be submitted to Mayor and Cabinet (Contacts) . | Returned in a plain sleeved envelope/ package, with no reference to the tenderer, marked with the word 'Tender', Subject and Date to the Chief Executive . Tenders shall remain in custody of the recipient until opening. | Opened at the same time after submission deadline by the Chief Executive or an officer designated by him/her in writing in the presence of an officer approved by the Executive Director for Resources and Regeneration or Head of Law. |
| B | Submitted via the London Tenders portal. All Tenders are held securely on the portal unopened until the time appointed for their opening. | Opened at the same time after the submission deadline by a chosen verifier from the Councils governance team. Where an electronic auction is used, a report must be submitted to Executive Director . | Returned in a plain sleeved envelope/ package, with no reference to the tenderer, marked with the word 'Tender', Subject and Date to the Executive Director . Tenders shall remain in custody of the recipient until opening. | Opened at the same time after submission deadline by the Executive Director or an officer designated by him/her in writing in the presence of an officer approved by the Executive Director for RRE or Head of Law. |
| C | Submitted via the London Tenders portal. All Tenders are held securely on the portal unopened until the time appointed for their opening. | Opened at the same time after the submission deadline by a chosen verifier from the Councils governance team. | Returned in a plain sleeved envelope/ package, with no reference to the tenderer, marked with the word 'Tender', Subject and Date to the Head of Service . Tenders shall remain in custody of the recipient until opening. | Quotations shall be opened at the same time after the submission deadline in the presence of a Head of Service , or an officer designated by him/her in writing and an officer approved by the relevant Executive Director. |

10.5 Late Submissions, Errors, Discrepancies and Alterations

- 10.5.1 A tender or quotation received after the time and date specified in the invitation shall not be accepted or considered unless exceptionally at the time of receipt, other tenders have not been opened and the relevant Executive Director upon the advice of the Head of Law authorises in writing that it can be accepted.
- 10.5.2 Where there are errors or discrepancies in a tender, the tenderer is to be given details of these and afforded an opportunity of confirming or withdrawing the tender.
- 10.5.3 No alteration shall be made to any tender after the time fixed for the submission of that tender, save in circumstances approved as appropriate by the Executive Director for Resources and Regeneration and the Head of Law.
- 10.5.4 Where the Council uses an electronic auction as a procurement procedure enabling suppliers/providers to adjust their tender price in the light of information from the tender prices submitted by competing suppliers/providers, then alterations will be accepted as permitted by the auction process.

11. Evaluation of Tenders

- 11.1 Authorised Officers must ensure that appropriate directorate or other Council technical and financial officers evaluate all tenders, including those in mini-competitions under Framework Agreements, in accordance with the evaluation criteria specified in the invitation to tender.
- 11.2 The arithmetic in compliant tenders, including those in mini-competitions under Framework Agreements, must be checked. If arithmetical or clerical errors are found they should be notified to the tenderer, which should be requested to confirm the correct figures/wording or withdraw its tender.
- 11.3 Authorised Officers must compare submitted tender prices with any pre-tender estimates. All differentials must be considered. For tender prices exceeding the pre-tender estimate the at Rule 13.7 applies.

12. No Material Changes to Contract Post-Tender

No material changes may be made to the proposed arrangements and terms and conditions post tender. See Rule 17 for requirements when the contract has been entered into.

CHAPTER FOUR: CONTRACT AWARD

13. Authorisation for the Award of Contracts

- 13.1 Contracts may only be awarded by the Council where there has been full compliance with these Rules and the Financial Procedure Rules.
- 13.2 A written report must be drafted in all circumstances setting out the procurement process carried out and the reasons for rejecting or accepting each tender received.
- 13.3 Contracts may be recommended for acceptance and authorised as follows:

Table 5 Goods and Services

| Cumulative value of contract | Acceptance by | Category |
|---|---|-----------------|
| £500,000 and above (including the use of Rule 18) | Mayor and Cabinet (Contracts) Committee | A |
| Up to but not exceeding £500,000 | Executive Director in accordance with his or her delegated financial limits under the Mayoral Scheme of Delegation set out at XX | B |

Table 6 Works

| Cumulative value of contract | Acceptance by | Category |
|---|--|-----------------|
| £1,000,000 and above (including the use of Rule 18) | Mayor and Cabinet (Contracts) Committee | A |
| Up to but not exceeding £1,000,000 | Executive Director in accordance with their delegated financial limits under the Mayoral Scheme of Delegation set out at XX | B |

13.4 Energy Contracts

The privatisation of the energy market has created a volatility in prices which requires an exception to be made to the Contract Procedure Rules for the award of energy and water contracts. The Executive Director for Resources and Regeneration has delegated authority to award energy or water contracts regardless of value subject to the

conditions set out at 13.5 below.

13.5 At the completion of the tender opening, officers shall undertake proper checks and analysis and prepare a report to the Executive Director of Resources and Regeneration on the outcome with a recommendation for the award of contract. The delegated authority of the Executive Director shall not apply and approval must be obtained in accordance with the Mayoral Scheme of Delegation if :

- the additional cost of green electricity over brown exceeds 5%
- the overall cost of the contract exceeds the annual value of the previous contract by 50%
- the contract length exceeds 4 years

13.6 An information report shall be presented to Mayor & Cabinet (Contracts) once each year. The report will summarise the contracts awarded during the previous 12 months and the financial implications for budget holders. The parameters for the delegation will also be reviewed at the same time.

13.7 **Contracts Exceeding the Written Estimate**

Any contract which exceeds the original written estimate of the contract value by more than 10% may only be awarded by an officer to whom the award has been delegated on the approval of the Executive Director for Resources and Regeneration. If the tender exceeds the written estimate of the value of the contract by £100,000 (£250,000 in the case of Works) or more, it shall be referred for approval in accordance with the Mayoral scheme of delegation in relation to executive functions or to the appropriate committee for non-executive functions. In both cases, the decision shall be taken having regard to the advice of the Executive Director for Resources and Regeneration.

13.8 **Where the Exemption to the Contract Procedure Rules (Rule 18)** has been followed and the cumulative value of the contract is below £1,000,000 for Works Contracts and below £500,000 for Goods and Services Contracts, acceptance can only be authorised by the Executive Director for Resources and Regeneration upon the advice of the Head of Law.

14. **Scrutiny and Standstill Period**

14.1 **Scrutiny**

If the award of a contract by the Executive is a Key Decision, for example, where the value of the contract exceeds £200,000, subject to the urgency provisions in the Constitution, the decision must be

included in the Key Decision Plan **before** the decision to award is made. A Key Decision will be subject to scrutiny by the Business Panel of the Council. It is therefore necessary to observe all scrutiny timescales between the award of contract and the execution of the contract.

14.2 Standstill Period and Notification Letter

Notification Letter

14.2.1 For EU tenders, once acceptance has been approved in accordance with Table 5 or Table 6, successful and unsuccessful tenderers (including those that have expressed an interest in the contract, unless they have already been rejected and informed of that rejection and the reasons for it) must be notified of the award of the contract for which they have submitted a tender (“Notification Letter”).

14.2.2 The Notification Letter must include the relative advantages and characteristics of the successful tenderer as well as the name of the successful tenderer.

Standstill Period

14.2.3 There is then a standstill period that will last for 15 days or can be reduced to 10 days where the Notification Letter is issued via electronic means. The standstill period is to enable unsuccessful bidders to challenge the award of a contract. Therefore the Council must not enter into the contract before the end of the standstill period. Once the standstill period has expired without a court challenge the Authorised Officer shall inform the successful tenderer.

14.3 Execution of Contract

All contracts shall be in writing and shall be signed on behalf of the Council or executed as follows:

(i) Table 7 Goods, Services and Works

| Cumulative value of contract | Executed by |
|-------------------------------------|---|
| Above £200,000 | sealed by the Head of Law on behalf of the Council |
| Below £200,000 but above £100,000 | Signed by the Executive Director and at least one other officer |
| Below £100,000 | Signed by the Executive Director |

(ii) **Table 8 Property Contracts**

In relation to contracts for the acquisition, sale or grant of any interest in land (“Property Contracts”)

| Cumulative value of contract | Executed by |
|---|--|
| Below £200,000 | Signed by <ul style="list-style-type: none"> - Head of Law; or - Executive Director; or - Director of Regeneration and Asset Management |
| Above £200,000 Transaction is to be effected by a separate transfer, lease or other form of deed | Signed by <ul style="list-style-type: none"> - Head of Law; or - Executive Director (and at least one other officer duly authorised by them). |

15. Commencement of Contracts

- 15.1 No supply of goods, services or works must commence until all contract documentation is duly completed (see **Rule 14**), except in cases of emergency falling under Rule 18.3(b), in which case the contract documentation must be completed at the earliest opportunity.
- 15.2 Where there has been a tender for works (but not goods or services) and the contract price only holds good for a limited period or there is some other circumstance beyond the Council’s control delaying completion of formal contract documentation. A contract may be formed by letter which records all the provisions of the contract and is approved and signed by the Executive Director for Resources and Regeneration.

Formal contract documentation must be completed at the earliest opportunity and signed or sealed as appropriate depending on its value. This procedure must not be used if there are any outstanding or unresolved contract provisions unless this is agreed by the Head of Law.

CHAPTER FIVE: POST-AWARD

16. Contract and Risk Management

Risk Register

- 16.1 The Contract Manager must maintain a risk register during the contract period highlighting the risk and mitigation strategy for the contract and,

for identified risks, must ensure contingency or risk mitigation measures are in place

16.2 Records and Reports

16.2.1 Copies of all concluded contracts must be retained for 6 years or if they are under seal for 12 years from the date of the expiry date of the contract.

16.2.2 Authorised Officers must inform the Corporate Procurement Team and their relevant Directorate Contract Leads promptly of all contracts (including Call-off Contracts) awarded (and preferably within 5 working days of the date of the award) so that the:

(i) details of the contract can be added to the Council's contracts register on the London Contracts Register;

(ii) the Corporate Procurement or Relevant Procurement Team can ensure details of the contract award has been published on Contracts Finder; and

(iii) the Corporate Procurement Team has the necessary information to provide, if so required, a report to the European Commission.

16.2.3 For EU tenders, a legally compliant award notice must be published no later than 30 days from the award of the contract or the conclusion of the Framework Agreement.

16.3 Reporting other information required by the Cabinet Office

The Regulations require contracting authorities to send to the Cabinet Office such information as it requires from time to time in respect of procurements to include decisions not to subdivide contracts into Lots, how conflicts of interest are handled, non application of the Regulations in certain circumstances, the use of the negotiated procedure under the Regulations, failure to pay contractors invoices on time. It is therefore a strict requirement that Authorised Officers keep a record of all procurement decisions throughout the whole of the procurement.

17 Extensions and Variations of Contracts and framework agreements

There are six permitted changes to contracts post award as follows:

17.1 Changes which were clearly provided for in the original procurement

and contract documents – e.g. a price revision clause which may take account of changes in inflation.

- The scope and nature of the possible changes must be clear as must the conditions under which the review clauses can be used.
- The changes must not alter the overall nature of the contract.

17.2 Necessary changes to purchase new works, services or supplies from the contractor and not included in the original procurement – e.g. purchasing a new piece of software from the contracted IT provider which is required to interface with an existing system from the same IT provider.

- This can only be relied on where a change of contractor would cause significant inconvenience (or substantial duplication of cost) or, a change of contractor cannot be made for economic or technical reasons.
- In addition, the change must not result in an increase in price of more than 50%. This price limit applies to each separate change however, it must not be used as a means of circumventing the procurement rules.

17.3 Changes to deal with unforeseen circumstances – e.g. the discovery of asbestos means it is necessary to move a service unexpectedly to a different location and pay the contractor to facilitate the move.

Changes must not alter the overall nature of the contract or result in an increase in price of more than 50% of the value of the original contract. Again, this price limit applies to each separate modification.

17.4 Changes which deal with replacing the contractor

A new contractor may replace the original contractor where:

- the change is envisaged in the contract or procurement documents or
- the replacement is as a result of "corporate restructuring" provided the new contractor meets the pre-qualification criteria; and the change in contractor does not result in other substantial amendments to the contract.

17.5 Changes which are "not substantial"

Changes are not substantial if:

- the contract is not materially different in character from the one concluded; or
- they have not altered the outcome of the procurement/ the selected participants; or
- the economic balance of the contract has not shifted in favour of the contractor; or
- the scope of the contract has not been extended 'considerably'; or
- a new contractor has been replaced the original contractor as above.

17.6 Changes with a low value –

The value attributable to the change must:

- fall below the relevant procurement threshold; and
- be less than 10% of the initial contract value for supplies and services contracts or less than 15% of the initial contract value for a works contract

17.6.1 The change must not alter the overall nature of the contract.

17.6.2 It is possible to make more than one change with a low value, however the cumulative value of the changes must not exceed the relevant procurement threshold.

CHAPTER SIX: GENERAL

18. Exemption to the Contract Procedure Rules

18.1 An exemption to the Contract Procedure Rules can only be authorised in exceptional or unforeseen circumstances.

18.2 Any exemption must be approved by the Executive Director for Resources and Regeneration upon the advice of the Head of Law.

18.3 To authorise the exemption, the Executive Director for Resources and Regeneration upon the advice of the Head of Law must be satisfied after considering a written report by the appropriate officer that the exception is justified because:

- a) the nature of the market for the works to be carried out or the goods and/or services to be provided has been investigated and is demonstrated to be such that a departure from the requirements of the Contract Procedure Rules is justifiable; or
- b) the contract is for works, goods or services that are required in circumstances of extreme urgency that could not reasonably have been foreseen; or

- c) there are other circumstances which are genuinely exceptional;
and in all cases:

- it is in the Council's overall interest;
- and the circumstances of the proposed contract are covered by legislative exceptions (whether under EU or UK law).

18.4 An exemption to the Contract Procedure Rules can only be authorised where the application for such exemption is submitted by a written report fully documenting the circumstances and explaining why the exemption is required.

18.5 Where an exemption to the Contract Procedure Rules is sought for a second time in relation to the same contract, then regardless of the value of the contract, that exemption must be considered formally by the appropriate member decision forum.

18.6 Contracts to which the rules on tendering do not apply

18.6.1 The Council does not need to tender contracts where it;

- (i) sets up a separate legal entity and then awards contracts to that legal entity. For this exception to apply a two part test has to be satisfied, relating to control and activity:
- Control: the Council has to exercise sufficient control over the separate legal entity; and
 - Activity: the separate legal entity has to carry out the essential part of its activities for the Council.
- (ii) the Council enters into a co-operative arrangement with participating authorities with the aim of ensuring that public services they have to perform are provided with a view to achieving objectives they have in common.
- For this to apply, the implementation of that co-operation must be governed solely by considerations relating to the public interest; and
 - the participating contracting authorities perform on the open market less than 20% of the activities concerned by the co-operation.

18.7 Reserved Contracts- mutuals

The Council may reserve to qualifying organisations the right to participate in procedures for the award of a reservable public contracts. The contracts that are reservable apply only to certain categories of

services.

18.7.1 A qualifying organisation must meet the following conditions:

- (a) its objective is the pursuit of a public service mission linked to the delivery of services that fall within the reservable category;
- (b) profits are reinvested with a view to achieving the organisation's objective, and any distribution of profits is based on participatory considerations;
- (c) the structures of management or ownership of the organisation are (or will be, if and when it performs the contract) —
 - (i) based on employee ownership or participatory principles, or
 - (ii) require the active participation of employees, users or stakeholders; and
- (d) the organisation has not been awarded a contract for the services concerned by the Council within the past 3 years.

18.7.2 The maximum duration of a contract awarded under this exemption can not be longer than 3 years. Any subsequent contract must be re-tendered in the open market in competition with all interested bidders.

19. Non-compliance with these Rules

- 19.1 Every contract entered into by the Council for the carrying out of works, or for the supply of goods or services shall be for the purpose of achieving the Council's statutory or approved objectives and shall conform to all relevant European and UK legislation and Council policy.
- 19.2 These Contract Procedure Rules are mandatory and shall govern and regulate Council procurement and contract award procedures. Authorised Officers must also refer to the Corporate Procurement Team for more detailed procedures some of which are compulsory.
- 19.3 The primary objective of these Contract Procedure Rules is to ensure that the Council obtains value for money and fulfils its duty of best value as defined in Section 3 of the Local Government Act 1999 in all its procurement activity. They also provide a basis for fair competition by providing transparent and auditable procedures to protect the Council's reputation from any imputation of dishonesty or corruption.
- 19.4 For these reasons it is a disciplinary offence to fail to comply with Contract Procedure Rules when letting contracts and employees have a duty to report breaches of these Contract Procedure Rules to an appropriate senior manager or internal auditor.

Practice Note

Managing the contract

1. General principles

- 1.1 Contract management is the principle that encompasses all elements of procurement, and can be seen as a cyclical process; it requires three basic elements:
 - the setting of clear objectives;
 - a strategy to reach the stated objectives; and
 - a method of monitoring progress, so that adjustments can be made deliberately and quickly should momentum be lost.
- 1.2 Contract management is a distinct phase of the procurement cycle, and it begins as soon as the contract has been awarded. It is the active monitoring and control of all aspects of the relationship between the supplier and the Council. The primary aim is to ensure the delivery of a cost effective and reliable service at the agreed price and standard with the terms and conditions of contract, and financial propriety.
- 1.3 Whilst it is a distinct phase, it should not be thought of in isolation, and certainly not as an afterthought once the contract has been awarded. It is essential that the contract monitoring and control procedures have been considered at the contract specification stage, and that the contract monitoring officer or team have been an integral part of each phase of the procurement cycle.
- 1.4 The first step in achieving the above is to ensure that all parties fully understand the contract and their relative responsibilities within it. Some contracts are very simple and require very little management, whilst others are complex and may require several staff members to be involved in the management process.
- 1.5 The main objectives of contract management are relatively simple. They should ensure that:
 - the user will be satisfied with the end product;
 - the contract is completed within the stipulated time; and
 - the contract is completed within the agreed budget.

2. Operating the contract

- 2.1 There is a natural temptation to think that once the contractor takes over, the client can relax. This is only true in the sense that, instead of the main focus being on a short-term transition project, there is now a focus on a multi-year relationship. Consequently the perspective is different.
- 2.2 The client is responsible for the contract from day one, and the contractor is likely to make mistakes on day one. How these mistakes are handled, on both

sides, sets the beginning of a pattern, and must be managed correctly if a satisfactory pattern is to lead into a sustainable relationship.

- 2.3 Much recent theory about service contracting builds on the concept of the two parties as partners, rather than adversaries. The partner concept is effectively based on the proposition that both parties share an interest in working together.
- 2.4 Whilst the responsibilities and objectives of the two organisations are different, it is more likely that they can both achieve them if there is a good working relationship based on a degree of trust. Some contracts that are for long periods and involve a substantial financial investment, envisage the development of such a trust, simply because the deal will not work without it.
- 2.5 The key elements of the working relationship through which trust may be developed are:
 - the routine for delivering the service, reporting, monitoring and making payments
 - the processes for managing and reviewing performance of the contract, and activating bonuses and penalties
 - the procedures for agreeing changes to requirements, including the key question of sharing the risks associated with future uncertainty
- 2.6 The operational routine should be based on clear definitions of roles and responsibilities. It is essentially a question of delegating authority to the contractor. The more the client trusts the contractor to take effective action to respond to variable situations of predictable types, e.g. clearing up after traffic accidents or flooding, within the letter and spirit of the specification, the less the client needs to be involved on a daily basis.
- 2.7 Processes for managing performance depend fundamentally on the sharing of information about workload, outputs and costs. Many client-contractor "partners" now share information systems and thus have access to a single database. There is a trend towards the practice of "open book accounting", which implies openness on all financial matters relating to the services under contract.
- 2.8 Performance management within a "partnership" is essentially about sharing information and creating regular opportunities for reviewing and discussing it in a basically non-threatening environment. This in turn is best founded on a contract that has viable financial incentives to improve performance, as well as penalties to deter failure.
- 2.9 Since changes in requirements are guaranteed to arise in any contract period greater than six months, it is absolutely essential to have a contract that facilitates discussion of how change is to be implemented. It is here that "partnership" carries the greatest significance. Not only must the client authority be able to introduce new Council or government policies for a contracted service, or alternatively budget reductions, but there must also be an incentive for the contractor to suggest new methods of working or developing the service.
- 2.10 There are two elements that must be present:
 - a shared interest in improving the quality of service to the user, and
 - a guarantee that both parties will share the risk associated with any change proposed.

- 2.11 These are the cornerstones of the contractual infrastructure. The client's task during the operational stage is to make them work. This is achieved by taking an intense practical interest in the performance of the contract and in the relationship with the contractor. Regular meetings are important, to be held both at board level (perhaps quarterly) and at operational level (perhaps fortnightly). At the same time, however good the relationship, the client must retain her/his arsenal of penalties and be able to use them without destroying the relationship.

3. Contract monitoring and management

- 3.1 Effective monitoring requires good communication between you, the supplier and any other related parties, such as a contract manager, other users of the contract, and so on. A named contact in the supplier organisation is essential, and monitoring meetings should be planned in advance, along with the type of management information required on the progress of the contract.
- 3.2 Monitoring requirements will vary depending on the nature of the contract and the goods, services, and works being provided. However certain standard practices can be adopted including:
- monitoring the supplier's performance against the specific targets set out in the contract
 - inspection of completed work
 - recording complaints received from customers particularly where the service may be delivered to the public on behalf of the Council; or it may be that the users are other staff, e.g. users of Panels
 - recording customer satisfaction with the service, usually via questionnaires, e.g. evaluation forms at the end of training courses
 - obtaining information from the supplier on their opinion of their progress
 - obtaining any revisions in timescale, quantity/quality of outputs from the supplier at the earliest opportunity.
- 3.3 An effective system requires considerable input, but should produce such benefits as:
- a reduction in the level of completion and post-completion problems;
 - a higher level of acceptance by users, thus reducing future pressure for modification or adaptation; and
 - improved staff morale and motivation.
- 3.4 Contract management requires a wide range of skills and techniques to be applied during the life of an individual contract. This range of skills is wider than those required to control, for example, the actual construction of a new building. This requirement arises because at all stages in the project cycle consideration must be given to that project's impact on the existing structure and function of the organisation during the development and implementation process.
- 3.5 The key to successful contract management is sufficient, timely and accurate information delivered to the right people. Effective contract management should therefore take account of the following features:

- project planning
 - resource estimating
 - organisation and staffing of the project team
 - establishing the design requirements
 - monitoring the consumption of resources against budgets
 - progress against plans
 - motivating the design team
 - planning for implementation of the project
 - maintaining good communication inside and outside the project team
 - planning for the provision of maintenance
- 3.6 To ensure timely and accurate information, the importance of Data Quality is paramount. To ensure that all agreements meet the highest standards, client teams should ensure that:
- all relevant records on a data subject are filed/entered immediately upon receipt of that data,
 - data is accurate, and that
 - appropriate systems are established for ensuring the validity of data throughout the process of data collection, recording and reporting.
- 3.7 Throughout the process when data is received by whatever medium, all personal details should be checked to ensure that
- any inaccuracies are rectified and a record kept of when that data is checked and updated, and that
 - appropriate systems are established to safeguard the integrity of data during transmission and receipt between partners.
- 3.6 To enable these elements to materialise, the contract itself should set the framework to provide for the required contract management arrangements. With the key elements enshrined in the contract, both parties to the eventual contract will thus have 'signed-up' to the arrangements and should be clear about the framework in which they are operating.
- 3.7 The key features of the framework should include:
- actions of the authorised officer;
 - performance of the service within given parameters and in line with stated standards and method statements;
 - arrangements for investment and its control;
 - year-on-year improvement and performance information;
 - control of sub-contractors;
 - role and responsibility of contract manager and staff;
 - health, safety and environmental protection;
 - equal opportunities policy and monitoring information;
 - quality assurance, user surveys and complaints;

- operational and financial information;
- method variation;
- performance information – targeted or by sample;
- action on defective service;
- the pricing schedule and the process for payment;
- the practical arrangements for liaison and meetings between the two parties;
- dispute resolution;
- assistance in proceedings and investigations;
- performance standards;
- customer information;
- the provisions for reporting on the performance of the contract, and the procedures and penalties associated with poor performance
- the provisions for changing the requirements of the contract, for dealing with fluctuations of workload, and for changing the prices to take account of inflation and other factors;
- the practical arrangements for terminating the contract, whether at the end of the agreed term or earlier;
- clear identification of who bears the risks

4. Contract control

- 4.1 In order to keep control of a contract, you need to be able to identify problems as soon as they arise and take the required corrective action quickly. This can only be done if you are keeping up to date with the progress of the contract, and have good communication skills.
- 4.2 The control issues that may arise include:
- unsatisfactory performance
 - misunderstanding the requirement
 - inadequate channels of communication
 - changes to the contract brought about by altered requirements
 - unrealistic initial timescales
 - changing circumstances for the supplier (e.g. excessive growth, or reduced earnings leading to lay offs)
 - supplier insolvency.
- 4.3 Consistent monitoring will bring the control issues to light more quickly, allowing more time to implement corrective action and minimise the impact of any problems that may have occurred.
- 4.4 Often negotiation with the supplier will be sufficient to keep control of the contract.
- 4.5 If difficulties in communicating with a supplier hinders your ability to control the contract, this should be immediately reported to senior management who

should either take arbitration action, or seek to re-assign the contract management role.

- 4.6 Contract managers will be responsible for ensuring suppliers are paid on satisfactory completion of the contract or stages of the contract. You should at least certify that the goods/services have been received or works completed at key points, and gain the necessary approvals for payment.

5. Contract variations

- 5.1 These may or may not arise as a result of contract monitoring and control. Other factors may cause a change in requirements of the Council requiring a change in the contract to reflect these. The typical changes would include:

- quantity or quality of goods or services being required
- timescales for delivery of goods or services
- new or different locations
- changes to the nature of the service being provided, this may be due to market demand, new technologies, new legislation, etc.
- unforeseen events (e.g. the discovery of asbestos during a building project, not identified for removal in the specification).

- 5.2 Contract variations are normally negotiated between the contract manager and the supplier. There should be clear objectives and outputs in relation to the variation. Any change must be done in accordance with the Change Control procedure set out in the contract. On agreement, a variation order must be developed and approved and tied in with the main contract. The variation order should be subject to the securing value for money processes and costed on the basis of the schedule of rates set out in the contract (i.e. enhanced charges should not be agreed).

- 5.3 Contract variations should be approved by officers with the appropriate delegated authority. You should seek the advice of the Legal Services or Procurement Team before you agree to vary standard terms in the Council's contract.

- 5.4 Once the terms of the variation has been agreed you should prepare a deed of variation. You should never agree a variation verbally or by letter as this may invalidate the whole agreement or weaken the Council's right of enforcement

- 5.5 Once approved, contract variations should be monitored and controlled in the same way as the original contract.

6. Contract extensions and renewals

- 6.1 A contract extension or the renewal of a contract may arise where:

- the original contract made provision for extensions (this may be due to the exact timescales, or scope, not being known at the outset)
- it is inappropriate to re-tender and let a new contract for a very short period of extra time, or for a small amount of extra supply (the cost of re-tendering may outweigh the cost of the extension)
- the contract has over-run due to unavoidable delays

- the original timescales and expectations were unreasonable
 - the development work leads onto further activity which could not be quality assured by a different supplier.
- 6.2 Considerable care should be taken when considering renewing a contract or extending it outside of a competitive framework because:
- relationships may develop with suppliers to the exclusion of others
 - there may be claims of unfairness if suppliers continue to get more and more work on continued extensions
 - that aggregation of the original contract and extensions exceeds a financial threshold, particularly EU limits
 - value for money may cease to be achieved without reference to the market place
- 6.3 Any extension option must be agreed **prior** to the expiry of the contract. Options should be assessed at least 9 months prior to contract expiry to ensure that the process for re-tendering the need or getting approval to the contract period extension is achieved within the existing contract period. Contracts placed on the Pan-London Contracts Register have an automatic email reminder service for client managers.
- 6.4 Once the terms of the extension or renewal of the contract have been agreed, you should prepare the variation order. You should never agree a variation verbally as this may invalidate the whole agreement or weaken the Council's right of enforcement.
- 6.5 Before you agree to the possibility of varying a contract you should ensure the EU procurement rules are not breached.

7. Re-tendering

- 7.1 Re-tendering a contract occurs when:
- the end date of the contract has been reached
 - the decision has been made to terminate a contract
 - the supplier resigns or becomes insolvent.
- 7.2 Re-tendering should not be used as a threat to an existing supplier. Effective contract management will have led to improvements in the specification with the knowledge gathered and existing suppliers will also have established a track record in delivery.
- 7.3 The re-tendering process should begin well in advance of the end of the current contract such that in cases where there needs to be a smooth transition, and the existing supplier does not retain the contract, there is time to induct a new supplier. Re-tendering is subject to the same procurement processes as for tendering and EU procurement.

8. Contract claims

- 8.1 There must also be a mechanism for dealing with contractual claims made against the Council. Claims occur when events during the currency of a contract that involve a contractor, though no fault of their own, incurring

additional costs that are not recoverable through the normal methods of pricing and adjustments contained in the contract.

- 8.2 Claims may arise for various reasons, but are generally covered in the following categories:
- delays outside the contractor's control, but not specifically covered by the contract as not being the client's risk;
 - unforeseen conditions on site;
 - enforced changes to the contractor's programme or in the delivery of contract services;
 - design or other changes by the client.
- 8.3 Contractors may allege that additional cost (direct loss and expense) arising from these and similar events are the responsibility of the employer and seek reimbursement for their additional costs. Most construction contracts provide a mechanism for their consideration and ascertainment by the Supervising Officer or their representative; when they are completing this role they are normally operating in a quasi-judicial role, independent of the employer.
- 8.4 As a best practice guide you should also ensure that such provisions are made in any non-construction contracts; seek guidance from Legal Services.
- 8.5 Contractors will only be entitled to their actual extra costs (an ascertained amount), which may in some circumstances include profit and a contribution to head office overheads, arising from matters that are the responsibility of the employer.
- 8.6 To enable a proper ascertainment it is important that additional costs are well documented, and the following records kept as a minimum:
- any notice received from the contractor stating reasons for a claim and any clause under which the claim is being made;
 - the acknowledgement of the receipt of the claim, including any reference about records required to be kept by the contractor or to be supplied in support of the claim;
 - any correspondence, notice or similar issued by the Supervising Officer accepting or rejecting the principle of the claim in whole or in part;
 - the basis of evaluation to be adopted;
 - the contractor's full claim submission, together with any supporting documentation; and
 - details of payments on account and any final claim payment.
- 8.7 Details of the claim should be discussed with Legal Services and the Procurement Team as soon as it has been received, and any action agreed before payment is made or the claim refuted.
- 8.8 It may also be necessary to report the claim to Committee or the Executive Director if additional expenditure is required above the previously agreed budget.

9. Reporting and record keeping

- 9.1 Contract management should include the production of reports. There may be numerous reports required depending on the size and nature of the contract.

Small contracts may only require a report on satisfactory completion. Reports should highlight the results of monitoring and draw to the attention of senior managers any control issues.

- 9.2 Reports should be held on file and form part of the audit trail, and should assist in developing experience and knowledge about the area of procurement and can provide a source of information for others intending to undertake similar activities.
- 9.3 Accurate, timely and complete record keeping is essential. It provides important information about how the contract has been delivered and will form part of the assessment of the success or failure of the contract, which will need to be reported on.
- 19.4 The nature of the record keeping should include:
- failures in performance
 - number of complaints
 - satisfaction ratings
 - adherence to performance targets
 - adherence to timescales for delivery etc
 - frequency of reporting
 - frequency of progress meetings
 - invoices
 - variations to contract (and all supporting detail)
 - contract extensions.
- 9.5 The records kept will act as evidence in the case of breaches of contract, or contract termination. They will also provide a basis for payment and act as an audit trail.

10. Satisfactory completion

- 10.1 The contract manager for the Council should sign off on a contract when they are certain that the goods, services, or works have been delivered within the terms of the contract and to their satisfaction.
- 10.2 Satisfactory completion can be of part of a contract, where progress payments or interim payments are being made against certain outputs, as well as at the end of the contract.
- 10.3 Satisfactory completion is a pre-requisite to the final approval and payment of the contract.

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Lessons Learned Log – Public Realm Schemes.

To be used by the Project Manager to capture lessons learned, for the benefit of future projects. As a minimum it should be updated at the end of each project phase. Log information forms the basis for the Lessons Learnt Report produced at the end of the project. (A Lessons Learned Report may form part of the Closure Report).

Project: Example

Project Manager: Example

| | Description | Recommendation |
|----|---|--|
| 1) | The need for better controls over the Skanska contract to try and avoid replacement of columns before a public realm scheme is delivered. | This problem should reduce as Skanska have almost completed replacement works in the borough. Meetings should be held with Skanska at the earliest opportunity during the consultation phase of a project to establish whether there are any contractual implications relating to the scheme. |
| 2) | Carefully consider added costs to the Skanska contract if additional non-standard lighting elements are proposed within a scheme (Y factor) | Hold discussions with Skanska at early stages to establish any additional cost to the contract term through the introduction of any non-standard lighting elements. How can these be reduced and confirm how long term costs will be met. In all events aim to use the Skanska palette of materials |
| 3) | Need to consider the impact of planned works by utility companies before or after a public realm scheme is due to commence to avoid: <ul style="list-style-type: none"> • Potential effect on the programme • Works to the street during or after a public realm scheme that can damage new infrastructure | Issue a s.58 notice to advise all Utility companies of the likely start of public realm works to ensure that they have an opportunity to carry out any works they deem necessary before public realm works commence. The notice can also prevent planned works to streets for up to 5 years. |
| 4) | Emergency utility works (Example: Gas leaks) can result in streets having to be excavated during or after a new public realm scheme. Reinstatements have a 2 year defect period attached to them however utility reinstatement teams often carry out a poor job and can affect the defect liability for the public realm contractor. | Ensure that consultants have included within their commission a requirement to produce a 'Reinstatement Pack'. This can provide utility companies with clear guidance on what is required from them including: <ul style="list-style-type: none"> • Materials and where they can be sourced from • A specification that clearly states what 'build-up's are required for the street (details of the infrastructure for reinstatement) • Who the contractor is who delivered the scheme – utilities may wish to go direct to the competent contractor who undertook works on behalf of the |

| | | Council. |
|----|---|---|
| 5) | Ensuring that the Council keep a record of streets where more costly and attractive materials have been used | Ensure that the scheme is registered on the Council's Gazetteer schedule |
| 6) | <p>It may be prudent to record better details of cost benefits as a result of a scheme for example:</p> <ul style="list-style-type: none"> • Cost savings through the number and value of repairs to a street before works commence measured against cost savings after works • Cost savings as a result of a reduction in claims from trips and falls and the savings to the Council of Insurance claims | <p>Obtain costs of repairs over a period before works and collate difference 2 years afterwards to obtain revenue savings details</p> <p>Obtain details of trips and falls claims over a period before works and collate difference 2 years afterwards to obtain savings.</p> |
| 7) | <p>Ensure that schemes consider the impact to market trader pitch positions. Any change to market areas that will either:</p> <ul style="list-style-type: none"> • Reduce the no. of pitches • Relocate of permanent pitches by more than 1 metre (without the consent of the trader) • Cause disruption or temporary relocation to the market • Result in changes to a Market License <p>Will require approval from the Licensing Committee to consider the impact and changes to a Market License can only occur on the 1 January each year.</p> | <p>Ensure that proper consultation takes place at an early stage and that any impact to market Traders is established as soon as possible to ensure that the programme considers the impact of any approvals required and the risks should approval not be given</p> |
| 8) | <p>Ensure that schemes consider the impact to Street Forecourt Licenses.</p> <p>Any change to a forecourt license area that will either:</p> <ul style="list-style-type: none"> • Reduce the size • Result in a lost opportunity to retain a forecourt at all • Cause disruption or temporary relocation to the trader • Result in changes to a Forecourt License <p>May require approval from the Licensing Committee to consider the impact.</p> | <p>Ensure that proper consultation takes place at an early stage and that any impact to Forecourt Licensee's is established as soon as possible to ensure that the programme considers the impact of any approvals required and the risks should approval not be given.</p> <p>Note that Forecourt license carry a right to a 'double right of appeal' should the license holder contest a decision.</p> <p>Obtain Freehold information of any private forecourts prior to a scheme starting</p> |
| 9) | Consider the impact of TFL Lane Rental charges | TFL apply considerable daily costs where any works to a junction with a TFL road impact on traffic movement for that |

| | | |
|-----|---|---|
| | | <p>street. Liaise with TFL with this regard should a scheme meet a junction between a Lewisham and a TFL road. For TFL LIP funded schemes try to achieve dispensation for any such costs</p> |
| 10) | <p>Need to make an allowance for the cost of additional materials when a scheme falls onto a boundary with a TFL road. TFL will request a percentage of materials to put into storage for any event where works are required to their street that need the same materials</p> | <p>Ensure that this additional cost for materials is factored into the overall scheme costs</p> |
| 11) | <p>Assets within TFL Land Ownership Boundary</p> | <p>Where a street boundary line falls within TFL ownership the Council may need to enter into a s.8 order with TFL to list all assets (i.e. traffic lights) that the Council will maintain. In some instances it may be more prudent to apply to TFL for land adoption.</p> |
| 12) | <p>Ensure detailed investigations and site surveys are carried out before projects get to site. This will avert costly and delayed schemes.</p> | |

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Agenda Item 4

| | | | |
|---------------------|--|-------------------------------|---|
| Committee | Public Accounts Committee | | |
| Title | Annual Complaints Report 2014_15 | | |
| Key decision | No | Item no | 4 |
| Wards | All wards | | |
| Contributors | Executive Director for Customer Services | | |
| Class | Part 1 | 2 nd December 2015 | |

1 Executive Summary

- 1.1 The report provides performance information on complaints dealt with by the Council and its partners at stages 1 and 2 of the Corporate Complaints procedure as well as complaints and enquiries to the Mayor and Councillors and complaints and enquiries from Members of Parliament (MP's) that are logged in the Council's complaints management system iCasework, during 2014/15. Accordingly, there was a total of 5242 complaints and enquiries received in 2014/15. This represents a 10% increase when compared to 2013/14. Other than Stage 2 and Mayoral enquiries there has been an increase in all types of complaints and enquiries.
- 1.2 The report does not include complaints or enquiries about the provision of adult and children's social care, both of which are reported individually and publicised according to statutory guidance.
- 1.3 The Independent Adjudicator's (IA) reports are attached at Appendix 1. The IA dealt with 83 complaints between 1 April 2014 and 31 March 2015, of which she upheld or partly upheld 29 (35%). The IA responded to 94% within the 30-day response standard and identified a number of issues from the complaints and makes recommendations for improvement.
- 1.4 The Local Government Ombudsman (LGO) report is attached at Appendix 2. In 2014/15, the LGO made decisions in a total of 32 cases – the figures are attached at Appendix 3. (Note that the Housing Ombudsman Service took over some of the LGO's jurisdiction in April 2013.)

2 Purpose of Report

- 2.1 To update the Mayor on the Council's complaints performance for 2014/15 at all stages including the Independent Adjudicator's report and the Local Government Ombudsman Annual Review.

3. Recommendations

The Committee is recommended to:

- 3.1 Note the contents of the report.

4 Introduction

- 4.1 This report summarises how the Council and its partners performed when dealing with complaints and how it is using the feedback from complaints to improve services. The report does not cover statutory complaints received for adult and children's social care that are subject to separate reports.
- 4.2 Also included is a summary of the Independent Adjudicator's report and a summary of the LGO's Annual Review with the full reports attached as appendices.

5. Stage 1 and Stage 2 complaints, MP, Mayor and Councillor enquiries

- 5.1 The standard response times and responsibilities for responding to complaints at each stage are:

Stage 1 – 10 days by the Service Manager

Stage 2 – 20 days by the Head of Service or Executive Director

Stage 3 – 30 days by the Independent Adjudicator

MP/Mayor/Councillor – 10 days by the Head of Service or Executive Director

- 5.2 The tables below show the number of complaints and enquiries dealt with by the Council in the last financial year. The tables are broken down by directorate and shows the percentage dealt with in the standard response time. The statistics are for cases logged into iCasework between 1 April 2014 and 31 March 2015 compared with performance over the same period in 1 April 2013 and 31 March 2014.

Table 1 – total volume of complaints and enquires by directorate

| | Total Complaints and Enquiries | | |
|---------------------------|--------------------------------|-------------|-------------|
| Directorate | 2013/14 | 2014/15 | Variance |
| Children and Young People | 183 | 240 | +57 |
| Community Services | 288 | 239 | -49 |
| Customer Services | 2489 | 2609 | +120 |
| Lewisham Homes | 1097 | 1302 | +205 |
| Resources & Regeneration | 715 | 852 | +137 |
| Total | 4772 | 5242 | +470 |

Table 2 – stage 1 and stage 2 complaints by directorate

| Directorate | Stage 1 | | | | | Stage 2 | | | | |
|--------------------------|-------------|-----------|-------------|-----------|------------|------------|-----------|------------|-----------|------------|
| | 2013/14 | % | 2014/15 | % | Variance | 2013/14 | % | 2014/15 | % | Variance |
| CYP | 46 | 89 | 67 | 90 | +21 | 3 | 100 | 6 | 99 | +3 |
| Community Services | 87 | 78 | 83 | 88 | -4 | 11 | 73 | 8 | 78 | -3 |
| Customer Services | 994 | 91 | 825 | 85 | -169 | 96 | 80 | 77 | 80 | -19 |
| Lewisham Homes | 451 | 86 | 619 | 89 | +168 | 104 | 87 | 110 | 88 | +6 |
| Resources & Regeneration | 143 | 88 | 158 | 87 | +15 | 29 | 90 | 27 | 89 | -2 |
| Total | 1721 | 88 | 1752 | 88 | +31 | 243 | 84 | 228 | 86 | -15 |

*(percentage figures are the cases responded to within the specified target)

Table 3 - MP, Mayor and Members enquiries by directorate

| Directorate | MP | | | Mayor | | | Members | | |
|--------------------------|------------------|------------------|-------------|-----------------|-----------------|------------|------------------|------------------|-------------|
| | 2013/14 | 2014/15 | Variance | 2013/14 | 2014/15 | Variance | 2013/14 | 2014/15 | Variance |
| CYP | 120 (93) | 140 (92) | +20 | 4 (100) | 7 (98) | +3 | 10 (100) | 14 (98) | +4 |
| Community Services | 69 (67) | 67 (65) | -2 | 30 (80) | 11 (85) | -19 | 91 (78) | 85 (78) | -6 |
| Customer Services | 664 (92) | 829 (90) | +165 | 205 (88) | 213 (85) | +8 | 530 (93) | 559 (91) | +29 |
| Lewisham Homes | 320 (98) | 294 (98) | -26 | 61 (95) | 57 (96) | -4 | 161(90) | 182 (91) | +21 |
| Resources & Regeneration | 150(92) | 165 (90) | +15 | 110 (87) | 83 (86) | -27 | 283(95) | 387 (93) | +104 |
| Total | 1323 (88) | 1495 (87) | +172 | 410 (89) | 371 (90) | -39 | 1075 (93) | 1227 (90) | +152 |

*figures in brackets denotes the percentage of cases dealt with within the specified targets

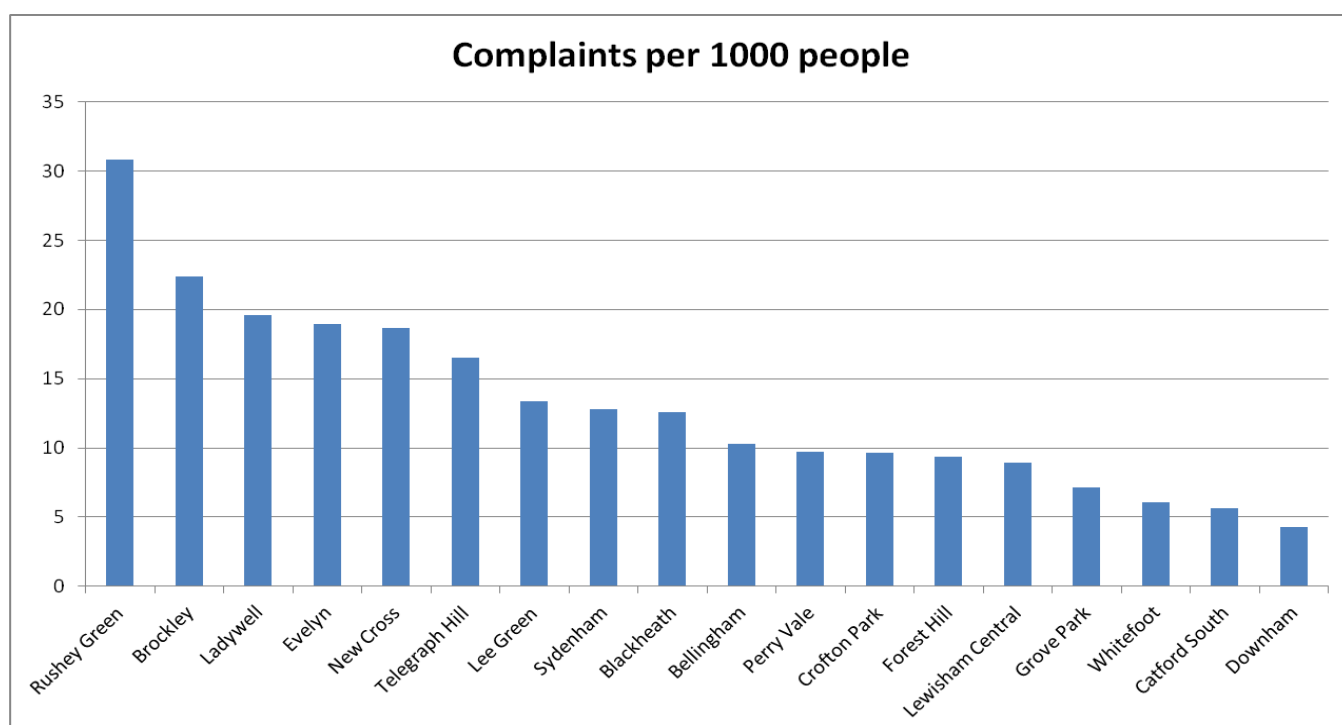
5.3 The total number of complaints and enquiries received in 2014/15 was 5242. This was an increase of 470 cases (10%) on the previous year when a total of 4772 were received. There was an increase in all types of complaints and enquiries, save for Stage 2 and Mayoral enquiries.

5.4 Complaints and enquiries by ward

The distribution of complaints received by Ward is shown below. The highest number of complaints received per 1,000 population were received from residents in the Rushey Green Ward. In 2013-14 the joint top highest were in the New Cross and Brockley wards, whilst the lowest number of complaints (in both

financial years) were received by residents in the Downham ward.

Chart 1 Distribution of Complaints by Ward



Source: Mid-2012 Population Estimates for 2012 Wards in England and Wales by Single Year of Age and Sex, Office for National Statistics

Table 4 – Distribution of complaints by Ward

| Ward | Complaints per 1000 population |
|------------------|--------------------------------|
| Rushey Green | 31 |
| Brockley | 22 |
| Ladywell | 20 |
| Evelyn | 19 |
| New Cross | 19 |
| Telegraph Hill | 17 |
| Lee Green | 13 |
| Sydenham | 13 |
| Blackheath | 13 |
| Bellingham | 10 |
| Perry Vale | 10 |
| Crofton Park | 10 |
| Forest Hill | 9 |
| Lewisham Central | 9 |
| Grove Park | 7 |
| Whitefoot | 6 |
| Catford South | 6 |
| Downham | 4 |

5.5 The top three wards to receive the highest level of complaints and enquires were: Rushey Green, Brockley and Ladywell.

- 5.5.1 The ward to receive the highest level of complaints and enquiries was Rushey Green. Highways was the top reason why customers complained, followed by Housing Needs and Lewisham Homes. In 2013-14, Housing management was the top reason why customers complained, followed by Council Tax, then Highways.
- 5.5.2 The second highest ward to receive complaints and enquiries was Brockley. The top reason why customers complained was Housing management, followed by Lewisham Homes and Environmental Enforcement. (For clarity it should be noted that under the Brockley PFI (Regenter) umbrella, Pinnacle PSG are responsible for Housing Management, and Rydon are responsible for a day to day repairs. Regenter received 54 stage 1 complaints in 2014/15 and of those; only 13 were for Pinnacle PSG. In 2013/14 the top reason why customers complained was Housing management, followed by Council Tax, Environmental Enforcement, and Housing.
- 5.5.3 The third highest ward to receive complaints and enquiries is Ladywell. The top reason why customers complained was Housing, Highways and Council Tax.
- 5.5.4 Downham received the lowest level of complaints and enquiries in both financial years. Appendix 5 provides a breakdown of all complaints and enquiries across all the wards.

5.6 Trends

On analysing the reasons for complaints, the top three issues identified are as follows:

- Highways
- Lewisham Homes Property Services
- Lewisham Homes Housing Management

Services with the top three issues provided comments on their complaints and highlighted any learning points that arose from those complaints.

Highways

- 5.6.1 Highway maintenance and implementation of Control Parking Zones (CPZ) are the greatest source of enquiries in this service. Most relate to defects on the highway and are ultimately dealt with as service requests. 2014/15 has seen an increase in requests for enforcement such as overhanging vegetation, illegal crossovers etc. It is anticipated that the complaint numbers here may reduce in 2015/16 as Highways try to move more of the routine defects onto the CRM system which will assist in their timely action.
- 5.6.2 Parking enquiries mainly cover requests for parking controls. It is considered that there has been an increase in these complaints due to some delays in introducing some of the CPZs that the Council has been consulting on.

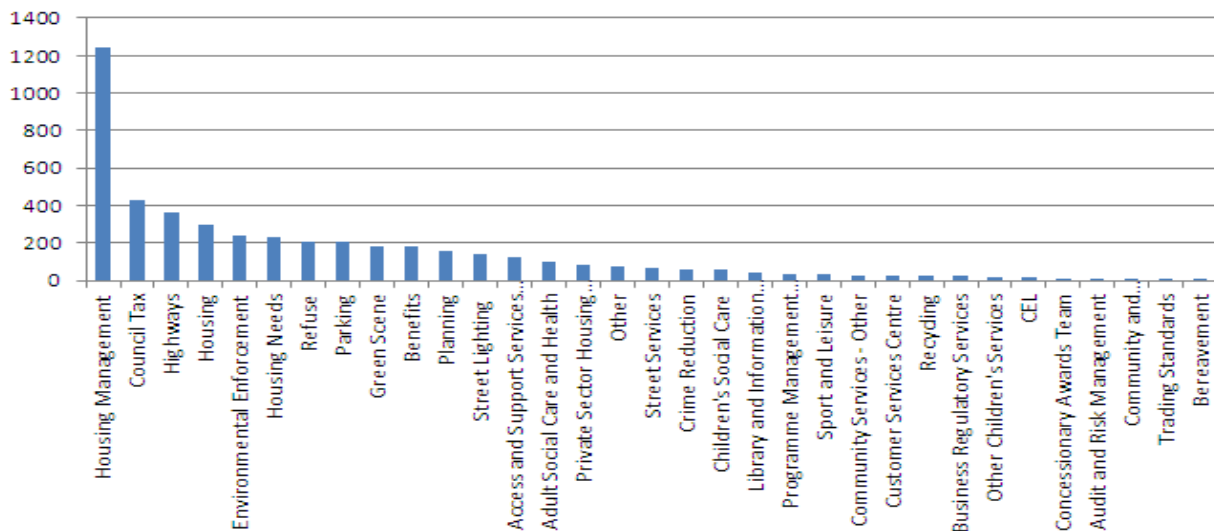
Lewisham Homes Property Services & Housing Management

- 5.6.3 Lewisham Homes (LH) have noted complaints relating to Anti-Social Behaviour. Complaints have related to:
- LH only provided a reactive 9-5 service
 - Perception that one officer dealing with the case often showed bias towards one party or another.
 - Not being kept informed as they would have liked.

- 5.6.4 To address these core issues, LH comprehensively reformed its ASB service provision and launched a brand new model in June 2015. Seeking advice and tutelage from some of the best providers in the country, its new service:
- Now operates up to 10pm on a Thurs, Fri & Sat night
 - Assigns two officers to each case – one to deal with the investigation and another to work with the victim or complainant
 - Agrees with each individual reporting ASB how they would like to be kept informed, and how often. This in particular is monitored by Team Leaders and Managers.
- 5.6.5 Complaints relating to Home Ownership (Leasehold) has resulted in a new process to ensure LH get evidence from Major Works that request for access has been duly served before it sends out warning letters or any letter requesting access.
- 5.6.6 In relation to complaints about leaks – LH now endeavours to keep customers updated regularly regardless of progress or even if there is no progress. This way the customer is always kept in the loop. LH have now put a more robust system in place to ensure there is regular update.
- 5.6.7 As a result of feedback relating to Income from garage complaints, LH have amended the license wording to make it clear that the garage agreement does not include the provision to park in the area surrounding the garage.
- 5.6.8 Complaints were generated relating to Tenancy, particularly neighbour disputes after LH had written to both parties in the summer and wrongly assumed that the issue had been resolved as it had had no further contact. Consequently all teams are now to follow up queries to avoid escalations and complaints.
- 5.6.9 As a result of Ombudsman enquiries officers have been reminded to put notes on relevant systems with any action or contact with residents. So there is evidence on the system should it later be required to be included in an enquiry response.
- 5.6.10 The feedback that LH received from complaints on Major Works was that residents would like to have more direct contact with Lewisham Homes rather than through its contractors, MITIE and Breyer. In response LH brought 3 additional Customer Services Officers into the Major Works Team in order to release our Project Officers to work out on site. That enabled the Project Officer to respond quickly to complaints by going to visit the resident. LH also put in place a call tracking spreadsheet so that it could keep a record of all calls and not just those that were logged on iCasework as complaints. That enabled LH to resolve a significant number of queries before they escalated into complaints.

5.7 Services receiving 10 or more complaints or enquiries

Chart 3 - A breakdown of services receiving 10 or more complaints or enquiries



Appendix 4 provides a breakdown of the top three complaint reasons, by ward.

5.9 Complaints and service improvement

5.9.1 Each directorate has responsibility for managing its own complaints and enquiries.

5.9.2 Throughout the year directorates have worked to improve the quality of the complaints handling. Each directorate has used complaints received to identify areas of improvement and undertook changes to improve the way the service is delivered. Examples of these improvements are outlined below:

- The Community Services Customer Relations team has administered 625 representations during the reporting period, 79% within established timeframes maintaining its quality record.
- The Customer Services Casework team worked with the Homeless Options Service. The team highlighted that a number of complaints received indicated that an audit of all those in temporary accommodation was necessary in order to ensure records were accurate.
- Lewisham Homes implemented a new complaints process in order to improve customer satisfaction levels with complaint handling and outcome, increase the proportion of complaints dealt with informally and reduce formal complaint levels. The new process and new complaint response template letters were put together in collaboration with the LBL independent Adjudicator, Linzi Banks to ensure they were in line with current best practice. Highlights of this new process include:
 - Increased phone contact with customers who have made a complaint to ensure understanding of the complaint issue and the action required to resolve as well as regular progress updates.
 - The Customer Relations team (CRT) now case manage complaints from logging to closing
 - All customers receive a follow up phone call from CRT once a response is sent to check if they feel their issue has been addressed.
 - New response template letters for all complaints and enquiries
 - All responses are quality checked centrally by CRT

- The CYP casework team has implemented a change to practice by way of strict enforcement of the service specific casework bulletins, and the action plans/audit forms. These now have to be signed off by senior management to create an audit trail from which to ensure that the complaints cycle is closed, recommendations carried out, and necessary learning from complaints absorbed into the service.

5.9.4 In previous years a complaints action plan including recommendations by the Independent Adjudicator, was developed to ensure continued good practice and implement necessary actions. This year the Council will await the outcome of the complaints and casework review details of which are noted at paragraph 9.

6 Independent Adjudicator

6.1 The Independent Adjudicator (IA) deals with stage 3 complaints on behalf of the Council. This section summarises the IA's report and the action being taken in response to the issues raised. The report covers the period 1 April 2014 to 31 March 2015.

6.2 The IA received 83 complaints during the year, one more complaint than in 2013/14. This breaks down to 61 (73%) against the Council and Regenter (an increase of six from last year) and 22 (27%) against Lewisham Homes (down by five). The number of complaints against the Council and Regenter stayed almost the same for three years: 47 in 2011/12, 44 in 2012/13 and 44 in 2013/14 (if we remove the complaints that were out of jurisdiction or withdrawn). The number this year has increased to 52 (when those complaints with an alternative right of appeal, or with insufficient injustice to warrant the IA's involvement, are excluded). But, the IA is not unduly concerned indicating that she was expecting a surge in complaints given these challenging times, and with the trial of a two stage process in some Council areas, and this has not materialised.

6.3 The IA has highlighted the fact that significant changes within the Council and Regenter continued this year. Notwithstanding, the numbers of stage three complaints has not increased as might have been expected and the IA welcomed this and hopes that this continues in the face of even greater changes that the Council will face in the coming year.

6.4 The IA also welcomes the generally helpful approach taken by the Council and Regenter in dealing with complaints at stage three: it suggests that they understand the importance of good complaint handling not just because it helps them learn lessons and prevent future complaints, but also because it is an essential part of good customer service.

6.5 The IA responded to 94% of cases within the 30-day standard, which is above the 85% target and only a slight decrease on the previous year's performance of 97%.

6.6 Cases by directorate/partner

The table below sets out the number of Stage 3 complaints against each directorate and each partner (withdrawn/out of jurisdiction complaints in brackets).

Table 6 - Total number of stage three complaints against each directorate and each partner

| Customer Services | Resources and Regeneration | Community Services | Children and Young People | Regenter | Lewisham Homes | TOTAL |
|-------------------|----------------------------|--------------------|---------------------------|----------|----------------|-----------|
| 31 (3) | 17 (2) | 3 (1) | 2 (1)* | 8 (1) | 22 (2) | 83 |

*A second complaint was withdrawn but recorded as received in 2013/14

6.7 Compensation

Compensation was awarded in 20 cases ranging from £100 to £500+. The total amount of compensation paid was £9241, of which £4625 was for Lewisham Homes.

Table 7 - Amount of Compensation (inclusive of LH)

| | Up to and including £100 | £100-£500 | More than £500 | TOTAL | |
|----------------|--------------------------|-----------|----------------|-------|--------------|
| 2014/15 | n/a | 13 | 7 | 20 | £9241 |
| 2013/14 | 4 | 8 | 4 | 16 | £9838 |
| 2012/13 | 2 | 8 | 2 | 12 | £4,259.75 |
| 2011/12 | 2 | 9 | 1 | 12 | £3,614 |

6.8 **Key issues highlighted by the Independent Adjudicator**

6.8.1 Record keeping and communication

- The IA continued to see a failure by officers to update complainants. The IA urges officers to keep good records to provide a smooth transition from one officer to another, and a seamless service to residents no matter who is dealing with them.
- In one complaint, the IA found it necessary to request the intervention of a Head of Housing to find out what action officers had taken. The IA also experienced late responses and general lack of comment to her enquiries. As a result the IA is monitoring the service carefully to ensure that standards improve.

6.8.2 Complaint administration and Service Improvements

- The IA asks the Council to encourage contractors to keep good records and the Council to keep a record of *all* contact with a complainant.
- The IA also asks the Council to provide timely information to residents about the insurance process; and to monitor and chase insurance claims and to continue discussing what has gone wrong in repairs complaints, and possible lessons and improvements.

6.8.3 Overall complaints handling

The IA's report for the Council is attached at Appendix 1. The IA has prepared a separate annual report for Lewisham Homes which deals specifically with any issues relating to them. The IA will attend their management team to present the report and the Council will monitor any actions arising from it.

6.9 The Council's response to the IA's comments

- 6.9.1 The Council thanks the Independent Adjudicator for her comments. The Council is undertaking a corporate wide review of its current casework and complaint processes as a part of the wider Business Support review. It is anticipated that the outcome of this review will highlight areas that require change and improvement which will go some way to addressing some of the concerns raised by the IA.
- 6.9.2 With regard the failure by officers to update complainants officers are now required to ensure that they keep adequate and appropriate records and to ensure that reminders are in place to contact complainants as and when promised. Additionally officers are required to ensure an appropriate handover takes place between one officer to another for a consistent approach to a case for an improved customer experience.
- 6.9.3 The Housing Service has recently undergone a substantial restructure. The transition has seen a drop in performance, however significant service improvement is now expected. Updated processes and training will strengthen and improve officer performance and standards.
- 6.9.4 The Council's work with its contractors is ongoing. Following the IA's comments the Council will work hard to see that the contractors improve record keeping across the board. Communication with claimants about the insurance process will be improved and analysis undertaken of insurance claims to highlight valuable lessons and areas for improvement.

7 Local Government Ombudsman Annual Letter 2014/15

- 7.1 An annual review letter is produced by the LGO each year. This gives a summary of statistics relating to complaints made against local authorities over the year. A copy of the LGO's annual letter is attached at Appendix 2
- 7.2 The Council views this as a useful exercise, which gives it the opportunity to reflect on the types of complaints made and consider where improvements might be made.
- 7.3 The LGO publish final decisions on all complaints on their website, as they consider this as an important step in increasing transparency and accountability. There have been no published reports made against the Council.

8 Achievements in 2014/15

- 8.1 The Community Services casework team remained focussed on its work to resolve people's concerns early and satisfactorily. This is reflected in a continued low level of escalation across Corporate Complaints.
- 8.2 The Customer Services team have continued to maintain successful working relationships with the Council's internal and external partners. Maintaining a mutually co-operative attitude when there has been limited resources has helped the team when working with services to find appropriate complaint resolutions.

8.3 The CYP Complaints team worked towards ensuring that lessons learnt from upheld and partially upheld complaints are highlighted and fed back to improve service delivery. The complaints team monitor implementation of agreed actions and recommendations.

- Service specific bulletins have been produced, and will continue to be produced to senior managers, for their consideration and action. In managing trends and detailed complaint in this manner, it is hoped that the broader picture can be influenced by addressing the smaller, frequent issues found within individual services.
- Audit forms are kept outlining upheld complaints, and recommendations arising. These forms are compiled and revisited periodically with senior management, to ensure implementation of recommendations.
- Organisational learning from the upheld and/or partially upheld complaints are fed back to staff by the Complaints Team through team meetings and bulletins distributed for the attention of all staff.

8.4 Lewisham Homes implemented a new complaints process in September 2015 following a training programme for all staff who respond to complaints. The new process also gives Lewisham Homes more and better feedback from customers who have complained. This allows to feedback to be quickly fed back to service areas to allow better 'learning from' complaints and reduce complaint numbers by designing out repeat complaints.

9 Future improvements for 2015/2016

9.1 The council is part way through a savings programme which will see our budget reduce by £95m by 2018. As part of the savings programme, the council's casework and complaints services have been identified as an area for review – both to identify opportunities to reduce our budget and also to re-design and improve our current ways of working. The review is being led by Ralph Wilkinson, Head of Public Services.

9.2 The dedicated casework and complaint teams in each directorate have provided information on the work currently undertaken and contributed comments on where there are opportunities for change or improvement.

9.3 The scope of the review is detailed below:

- Stage 1 & 2 complaints
- Stage 3 complaints
- Statutory social care complaints (adults & children's) including requirement and best practice expectations
- MP, Mayor & Councillor enquiries
- General enquiries/comments/compliments
- FOI enquiries
- Subject Access Requests
- Ombudsman complaints (LGO & Housing)
- 'Designated Persons' process
- Demands of new legislation e.g. Care Act appeals

9.4 The estimated timescales for the review, and the high level phases of work are outlined in the table below but may be subject to change.

| Phase | Broad Timeframe |
|---|-----------------|
| Discovery – the aim of this phase is to better understand how things work currently in | Sept- October |

| | |
|--|-----------------------|
| Lewisham, and what could we learn from the way other organisations manage their casework functions. | |
| Define – the aim of this phase is to draw on the learning from the ‘Discovery’ phase and to define areas of service delivery that could be changed or improved. | By the end of October |
| Develop – the aim of this phase is to develop proposals for new ways of working/change. | From November |
| Deliver – the aim of this phase is to consult on and progress and proposed changes for implementation by April 2016. (If applicable, formal consultation as set out in the Council's Management of Change policy would take place as part of this phase.) | December- March |

- 9.5 Subject to the outcome of the Complaints and Casework review, the Customer Services/Resources and Regeneration Team will be seeking to stabilise its resources and working to re-build its previous high performance levels. It will seek to work on providing additional support to service areas and the organisation as a whole by providing detailed trend analysis in order to better understand why complaints may continue and thereby seek to inform and support policy change where necessary for an improved customer experience. The team will work to maintain internal and external working relationships with as well as looking at the management and liaison between teams in dealing with cross-departmental complaints and tailoring support to Lewisham's external partners to ensure consistent, timely and quality responses.
- 9.6 The 2015/2016 objectives for Lewisham Homes are to increase the proportion of complaints dealt with informally to 75%, improve customer satisfaction with complaint handling and outcome to 50% whilst continuing to ensure 90% of all complaints are responded to within timescales.
- 9.7 In 2015/16, the CYP Complaints team will be meeting with staff at team meetings to ensure social workers and managers are aware that all complaints and representations need to be forwarded to the Complaints Manager as a matter of urgency to ensure timeliness of responses. The Complaints team keep a log of instances where complaints have not been forwarded in a timely manner, and this list will be sent to Service Managers to be followed up.
- 9.8 Where learning from complaints is shared with senior managers, there is a broader directive to communicate learning to front line staff, social workers in particular. Learning from complaints posters are displayed for social work teams to see and read, and the Complaints Manager visits team meetings on a regular basis. The intention is to continue to embed the mindset that complaints are the beginning of a learning process; a service improvement tool. The message is clear - complaints should be dealt with integrity and transparency so that they can appropriately shape and influence continuous service improvement.
- 9.9 Continuing work with Healthwatch colleagues who access many different groups within the borough will promote the complaints process to under represented groups, and will hopefully help to communicate with all young people within the demographic of the borough. The team's continued high profile presence on the London Complaints Manager's Group maintains sharing of good practise

amongst complaints peers, and will continue to be a source of inspiration when seeking to reach out to this underrepresented young people. The group is affiliated with the National Complaints Manger's Group, and the broader scope provided by that group will inform the borough when endeavouring to reach those groups who remain underrepresented in the statutory complaints.

- 9.10 The publicity of the complaints process, and of the team itself, is high on the agenda for 2015/16. A new, updated complaints leaflet was produced in 2014/15, and the complaints internet page is to be developed accordingly. The Complaints team will continue to carry out customer satisfaction exercises to gauge feedback on those service users who used the statutory complaints process. This feedback will be analysed and potentially used to shape the service going forward.
- 9.11 The Complaints team will continue to work with service users to reach satisfactory conclusions through agreed methods. We are dedicated to ensuring the complainant is aware of their rights to escalate complaints through the procedure, and will support all requests to do so, should alternative resolution methods not be agreed.

10 Legal Implications

- 10.1 There are no specific legal implications directly arising from this report aside from noting that it is recommended good practice from the Local Government's Ombudsman's Office to make full and specific reference to handling complaints within a management agreement entered into under section 27 of the Housing Act 1985.
- 10.2 Given the subject and nature of this report, it is relevant here to noted that the Equality Act 2010 (the Act) introduced a new public sector equality duty (the equality duty or the duty). It covers the following nine protected characteristics: age, disability, gender reassignment, marriage and civil partnership, pregnancy and maternity, race, religion or belief, sex and sexual orientation.
- 10.3 In summary, the Council must, in the exercise of its functions, have due regard to the need to:
- eliminate unlawful discrimination, harassment and victimisation and other conduct prohibited by the Act.
 - advance equality of opportunity between people who share a protected characteristic and those who do not.
 - foster good relations between people who share a protected characteristic and those who do not.
- 10.4 The duty continues to be a "have regard duty", and the weight to be attached to it is a matter for the Mayor, bearing in mind the issues of relevance and proportionality. It is not an absolute requirement to eliminate unlawful discrimination, advance equality of opportunity or foster good relations.
- 10.5 The Equality and Human Rights Commission has recently issued Technical Guidance on the Public Sector Equality Duty and statutory guidance entitled "Equality Act 2010 Services, Public Functions & Associations Statutory Code of Practice". The Council must have regard to the statutory code in so far as it relates to the duty and attention is drawn to Chapter 11 which deals particularly with the equality duty. The Technical Guidance also covers what public authorities should do to meet the duty. This includes steps that are legally required, as well as recommended actions. The guidance does not have statutory

force but nonetheless regard should be had to it, as failure to do so without compelling reason would be of evidential value. The statutory code and the technical guidance can be found at: <http://www.equalityhumanrights.com/legal-and-policy/equality-act/equality-act-codes-of-practice-and-technical-guidance/>

10.6 The Equality and Human Rights Commission (EHRC) has previously issued five guides for public authorities in England giving advice on the equality duty:

1. The essential guide to the public sector equality duty
2. Meeting the equality duty in policy and decision-making
3. Engagement and the equality duty
4. Equality objectives and the equality duty
5. Equality information and the equality duty

10.7 The essential guide provides an overview of the equality duty requirements including the general equality duty, the specific duties and who they apply to. It covers what public authorities should do to meet the duty including steps that are legally required, as well as recommended actions. The other four documents provide more detailed guidance on key areas and advice on good practice. Further information and resources are available at: <http://www.equalityhumanrights.com/advice-and-guidance/public-sector-equality-duty/guidance-on-the-equality-duty/>

11 Financial Implications

11.1 There are no financial implications arising from this report.

12 Crime and Disorder Implications

12.1 There are no crime and disorder implications arising from this report.

13 Equalities Implications

13.1 The iCasework system enables the Council to collect equalities monitoring information which is used to ensure the complaints process remains accessible and that no particular parts of the community suffer inequity in service delivery.

13.2 The Equality Act 2010 (the Act) brings together all previous equality legislation in England, Scotland and Wales. The Act includes a new public sector equality duty (the equality duty or the duty), replacing the separate duties relating to race, disability and gender equality. The duty came into force on 6 April 2011. The new duty covers the following nine protected characteristics: age, disability, gender reassignment, marriage and civil partnership, pregnancy and maternity, race, religion or belief, sex and sexual orientation.

13.3 In summary, the Council must, in the exercise of its functions, have due regard to the need to:

- eliminate unlawful discrimination, harassment and victimisation and other conduct prohibited by the Act.
- advance equality of opportunity between people who share a protected characteristic and those who do not.
- foster good relations between people who share a protected characteristic and those who do not.

13.4 As was the case for the original separate duties, the new duty continues to be a “have regard duty”, and the weight to be attached to it is a matter for the Mayor,

bearing in mind the issues of relevance and proportionality. It is not an absolute requirement to eliminate unlawful discrimination, advance equality of opportunity or foster good relations.

- 13.5 The Equality and Human Rights Commission issued guides in January 2011 providing an overview of the new equality duty, including the general equality duty, the specific duties and who they apply to. The guides cover what public authorities should do to meet the duty. This includes steps that are legally required, as well as recommended actions. The guides were based on the then draft specific duties so are no longer fully up-to-date, although regard may still be had to them until the revised guides are produced. The guides do not have legal standing unlike the statutory Code of Practice on the public sector equality duty, However, that Code is not due to be published until April 2012. The guides can be found at: <http://www.equalityhumanrights.com/advice-and-guidance/public-sector-duties/new-public-sector-equality-duty-guidance/>.
- 13.6 The Corporate Complaints team will continue to work with voluntary community groups to ensure no one is disadvantaged from using the complaints process.

14 Environmental Implications

- 14.1 There are no environmental implications arising from this report.

15 Conclusion

- 15.1 The Council has been continually improving its complaints process in response to feedback and best practice. However, there is still a lot more to do to ensure customers receive excellent services. The outcomes from the casework and complaints review will ensure continuous improvement is achieved.

16 Background Documents and Report Author

- 16.1 There are no background documents to this report.
- 16.2 If you would like more information on this report please contact Angelique Golding, Service Manager – Programme Management on 0208 314 6029.

**Ninth Annual Report of the
Independent Adjudicator
for the London Borough of Lewisham
1 April 2014 – 31 March 2015**

Dear Mayor Bullock

I am writing with my annual review of the complaints I have received this year against the Council and Regenter at stage three of the Council’s complaints process.* I highlight lessons learned about the authorities’ performance and complaint-handling arrangements, so that these might then be fed back into service improvement.

I hope that the letter will be a useful addition to other information the Council/Regenter holds on how people experience or perceive their services.

There are two attachments which form an integral part of this letter: statistical data for the Council/Regenter, and separately for Lewisham Homes, covering the period 1 April 2014 to 31 March 2015.

Complaints received

Volume

1. I have received 83 complaints during the year, one more complaint than in 2013/14. This breaks down to 61 (73%) against the Council/Regenter (an increase of six from last year) and 22 (27%) against Lewisham Homes (down by five).
2. The number of complaints against the Council/Regenter stayed almost the same for three years: 47 in 2011/12, 44 in 2012/13 and 44 in 2013/14 (if we remove the complaints that were out of jurisdiction or withdrawn). The number this year has increased to 52 (when those complaints with an alternative right of appeal, or with insufficient injustice to warrant my involvement, are excluded). But, I am not unduly concerned as I was expecting a surge in complaints given these challenging times, and with the trial of a two stage process in some Council areas, and this has not materialised. Of course, a reduction in stage three complaints would be welcome, but it seems to me that some complainants will always want, or need, to escalate their complaint; the number of stage three complaints is tiny for the size of the Borough and the functions it carries out; and I anticipate some fluctuation in complaint numbers from year to year.
3. The number of complaints against Lewisham Homes went down by five to 22. Two of these complaints were out of jurisdiction; contained insufficient injustice to warrant my involvement; or were withdrawn by the complainant. So, the actual figure is 20: demonstrating that the authority has been able to sustain the much improved performance I welcomed in 2012/13.
4. Although I cannot be sure of the exact reasons for this excellent performance, I think that, in part, it comes from good complaint handling with the Council and Regenter trying, wherever possible, to remedy a complaint early on thus avoiding the need for my involvement. I welcome this, and I hope that it is something that Lewisham Homes continues.

5. Overall, the number of stage three complaints is very low, comprising only 1.5% of the 5242 complaints and enquiries received against the Council and its partners in 2014/15.

Character

6. The number of complaints received about Resources and Regeneration has increased this year: from nine complaints in 2013/14 to 17 in 2014/15 (with two complaints not investigated). This is disappointing, but I think that it results in part from the implementation of the new street lighting scheme: a scheme that has generated three complaints as opposed to none previously; and a scheme that would always cause concern for some residents. I also think that major changes in the planning team have had a knock on effect, with complaints going up from five to six (though each complaint is different, and there is no evidence of a systemic breakdown). In addition, there were four highways complaints (an increase of three); two building control complaints; and one complaint about programme management, and miscellaneous issues. None of these figures causes me serious concern given that the service covers major areas of the Council's work; I hope, though, that the downwards trend that I noted in 2013/14 is restored in the coming months.
7. There was an increase too in complaints about Regenter (up from five to eight, with one not investigated): the second increase I have seen in two years, and comprising five complaints about repairs, and one complaint about leasehold, and a tenancy. Although I would want the numbers to stabilise and hopefully go down, they are still low, and, pleasingly, there was only one complaint about anti-social behaviour (ASB): an area that has caused me concern in the past.
8. Complaints about Children and Young people went up from one to two (though only one was in jurisdiction); but complaints about Customer Services (mainly council tax and re-housing), and about Community Services, dropped from 34 to 31, and six to three, respectively. I welcome these improved numbers.

Decisions on complaints

Complaints that were settled by remedy

9. Thirteen of the 21 complaints upheld or partly upheld against the Council/Regenter were settled by compensation – either suggested by me or by officers - and payments totalling £4616 were made: significantly less than last year (£6542), but reflecting three complaints – a planning case, a repairs complaint, and a complaint about Private Sector Leasing (PSL) - where I concluded that a high remedy was justified (£1150, £600, and £566 respectively). I proposed compensation in all 13 complaints because I believed that some financial redress was due given the seriousness of the injustice suffered by the complainant.
10. My approach to compensation has always been that it should be proportionate, it should reflect the injustice a complainant has suffered, and it should recognise that it is taxpayers' money. However, where possible, I much prefer practical, responsive and creative remedies, believing that this better addresses what has gone wrong for a complainant.
11. In one case, there were failings and delays in dealing with a resident's pre-application, and he was given flawed and premature advice to submit full plans: I proposed the payment of £1150 to cover the avoidable cost of drawing up these plans. In a second case (against Regenter), I decided that £600 was due because of serious omissions in dealing with the repair, and eventual replacement, of a

boiler. In a third case, PSL mismanaged the handover of the complainant's property, and the injustice suffered – unnecessary expenditure and serious stress and frustration – prompted me to propose £566.

12. Non-compensation remedies comprised, for example, apologies; action to address outstanding disrepair, with monthly updates to me and the complainant until all the work was done; a review of a decision to refuse a market trader a licence; help under the Rent Incentive Scheme; reference to the Valuation Tribunal in a council tax complaint; and the provision of screening to protect a complainant's amenity from the nearby newly developed school. I welcome these practical and imaginative ways of addressing complaints.
13. I find that the Council/Regenter readily provide appropriate redress to complainants once it can be shown that things have gone wrong. I also find that officers are often prepared to take action even though there have been no failings: so, for example, in one case, the Council considered if there were any steps it could take to protect the complainant's security following the installation of a lamppost close to his home. In addition, in a number of complaints that have come to me this year, officers have already proposed compensation that is responsive to the circumstances of the complaint and reflects Ombudsman guidance. I welcome this good customer care.

Service improvements

14. In some of the complaints, not only did the Council/Regenter provide a remedy, they also reviewed their procedures at my request to determine if there were lessons to be learned and improvements to be made to prevent the same problems occurring in the future. So:
 - The Council will:
 - In council tax complaints, consider carefully when the complaint is really about liability and refer the complainant to the Valuation Tribunal. It will also look at whether council tax bills might be better worded, and might contain combined information to avoid the need for a further bill.
 - Consider communication and updates to residents during large highways projects.
 - Ensure that local residents are notified in good time about works to street lighting; and it will review scaffolding licences and the use of deposits in particular to protect public amenity, when it next reviews its policies.
 - In complaints about Special Educational Needs (SEN), work with interested parties to see if it can co-produce just one primary to secondary transfer booklet that includes SEN, and is parent friendly in terms of the process. The Council will also review the Transfer from Primary to Secondary Education 2015 Pupils with Statements of Special Educational Needs form so that it is made clear why the school must sign it.
 - Ensure that residents suffering from noise nuisance are advised about taking their own action under environmental protection legislation; and, where a licensed premise is involved, they can ask for a review of the licence.
 - Consider whether there is any way of ensuring that all resident contact with Skanska is recorded and linked so that officers are fully informed.
 - Put in place measures to ensure that any bin in the Borough that is missed due to a service standard violation is photographed and checked by managers for accuracy.
 - In damp and mould complaints, continue to deal with cases on an individual basis as and when they arise, but use one flat to pilot full installation of thermal boarding, and to monitor its effectiveness.
 - Ensure that officers check that there is authorisation from the complainant for someone to act on their behalf.

- Consider guidance on the Local Government Ombudsman's website about partnership working and, especially, dealing with complaints against partners.
 - Ensure that, when referring a complaint to me and missing out stage two, the complainant is aware of what is happening and that my investigation is in their best interests.
 - Visit building sites subject to complaints to discuss regulated hours of work and noise.
 - Train officers newly taking on housing applications for single people.
 - Review the process for dealing with a report commissioned by Regenter that then needs to be considered by the Council.
 - In multi-service area complaints, consider whether one service area should take the lead.
- Regenter will:
 - In repairs complaints, discuss what has gone wrong, and possible lessons and improvements.
 - Work on repairs standards, and publicise those standards to residents.
 - Provide residents with timely information about its insurance process.
 - Encourage its contractors to keep good records.
15. I welcome the steps that the Council/Regenter are taking, and also their willingness to review and improve policies and procedures.

Other findings

16. Forty nine complaints against the Council and Regenter were decided during the year. Of these, I upheld seven in full (14%), and partly upheld 14 (29%): the remaining 28 (57%) were not pursued further because no evidence of maladministration was seen.
17. Last year, I upheld/partly upheld a third of complaints (33%) determined against the Council/Regenter: this year, the figure has increased to 43%. I think that this is because complaints at stage three are now more complex (as they should be), so perhaps it is inevitable that I find that something has gone wrong. But, there has also been an increase in complaints against both bodies; and I have noted some major problems below in the partner, in the Housing Options Centre (HOC), and with the pre-application advice service, leading to findings of maladministration.
18. Although the uphold rate stands at 43%, just seven (or 14%) of the 21 cases were fully upheld – cases where the maladministration and injustice were, in my view, especially significant. In the remaining 14 cases (or 29%) I identified only some errors (ranging from failing to provide diary sheets in a noise nuisance complaint, through to the informative on a planning decision letter being wrong), with the rest of the complaint having no merit. It seems to me, however, that I should bring to the authorities' attention all mistakes so that they can spot complaint trends; they can identify and remedy any breakdowns in service thus preventing more complaints; and they can learn lessons.
19. Complaints upheld/partly upheld stand at 43%, but it is still the case that I do not uphold the majority of those that are coming through (57%). Of those that do come through, some are complex (as I say) and require investigation by me, but many have no merit and the complainant is simply unhappy with the decisions at stages one and two of the process and wants a definitive reply from the IA.
20. Finally, this year as in other years, I have chosen not to investigate a number of complaints either because an alternative way existed for achieving a remedy and it

was not unreasonable to expect the complainant to pursue that alternative (such as a planning appeal); or the injustice suffered by the complainant was not such as to justify the use of my limited resources (for example, the complainant was not affected by the noise from a building site about which he had complained). I record these complaints so that the Council and Regenter have a complete picture of complaints received and determined.

Liaison with the Independent Adjudicator and complaint handling

21. I made enquiries on most of the complaints I received this year, with the exception of those mentioned above in paragraph 20 or where it was clear that the Council/Regenter could add little to what had already been said to the complainant in the stage one and two replies. The target for responding to my enquiries was five days and this was generally met. This is pleasing. It suggests that officers are giving complaints a high priority despite the demands made of them in these challenging times.
22. When replies are received, they usually provide a detailed response to the complaint. This is helpful and assists me in coming to robust conclusions on a complaint, keeping the need for further enquiries to a minimum. Where I do have to make such enquiries – often by speaking to an officer – I am usually able to secure quickly the information that I need to reach my decision.
23. Although most other complaints raised no particular issues, there were some notable exceptions:

Regenter

- In the early part of the year, I had significant concerns about Regenter:
 - In one complaint, it offered compensation, but it was too low in my view and this is why I investigated at stage three. The complaints officer did a lot of work on the response to the stage three, but she seemed to have serious problems securing the information/records she needed. Also, she needed a lot of help in drafting that response. In addition, she seemed to experience problems securing additional compensation even though there was fault. I raised this with the Council, and I proposed a meeting with Regenter's officers to talk through the issues here wanting to ensure: easy access to records when necessary; an understanding of how to reply to complaints; and consideration of remedies when clearly appropriate.
 - In a second complaint, I noted that there were problems (as last year) when staff left the organisation: there was no handover and records were deficient. This led to the officer taking over the file to make a decision contrary to his predecessor; and it meant that there was difficulty understanding action taken so far.
 - In a third complaint particularly, but in others too, I noted Regenter's poor communication: a lack of updates and a failure to reply to some emails.
- I urged Regenter to keep good records to provide a smooth transition from one officer to another, and a seamless service to residents no matter who is dealing with them. I also urged updates and better communication. As for the meeting, it did not go ahead because I began to see great improvement in the way that Regenter handles complaints to me.

HOC

- In a homelessness complaint, there was insufficient chasing of information by the Council's medical advisor and by homelessness officers – I would normally have

expected more given the complainant's vulnerability, and the fact that this was a homelessness assessment with a three working days target; the absence of such chasing may have contributed to the delay in determining the complainant's homelessness application; and I would ordinarily be critical as a result.

- However, on this occasion, I was not minded to criticise given the reason for this lack of chasing: staffing problems in the Medical Advisor Service. It seemed to me that the problems arose through no fault of the Council; the Medical Advisor was able to meet target (at least until recently); officers have taken reasonable and fairly timely steps to address the problems (given the funding and people available); and they are trying to put in place long term plans.
- There may be other options and I suggested these to the Council, but I am conscious that money is very tight throughout the public sector. I am also conscious that my remit does not allow me to criticise the way that the Council spends its budget and prioritises its resources. I am conscious too that the Local Government Ombudsman has said that authorities should make strenuous efforts to recruit professionals, or it should take other steps, to try to make up for deficiencies in a crucial service; and she has been critical if this hasn't happened. However, she has not been critical if the Council is ultimately unsuccessful, which seems to have been the case here.
- There was a lack of chasing too in other homelessness complaints; and the absence of a decision on a review of suitability of temporary accommodation, and the homelessness application itself.
- In one case, there were no updates at all to the complainant. It is a point of practice, officers told me, that they should be mindful of with complicated cases (of which Single Homeless Intervention and Prevention – SHIP - has many), and an area where officers think they can improve practice through monthly casework management. Also, officers suggested a template holding letter for clients so that they can provide a brief monthly update in such cases. I welcomed these initiatives.
- In another case, I was forced to ask the Head of Housing to intervene to find out what action officers had taken in response to a solicitor's letter written on behalf of a homeless applicant.
- I am finding that, although HOC does eventually respond to my enquiries on complaints (though not all of the time), the replies are late and have to be chased. I also get no comments on my draft decision letters even though I make a finding (though this doesn't just apply to HOC).
- This not to say that I do not appreciate the pressures under which officers are working. It is also not to say that HOC is not helpful: it definitely is when I make contact with individual managers and I speak to them, and when they finally do provide written comments and supporting information. It is simply to flag up concerns and the additional work me and my assistant experience in chasing.
- Though the need to chase and the issues I mention above have been brought to the attention of the Head of Housing; though I welcome the Head of Housing's intervention; and though I note the action taken by officers to ensure updates, I am monitoring homelessness complaints for evidence of systemic breakdown. I am also liaising with senior managers, noting that they are aware of the issues, that steps are being put in place to address them long term, and that a review of the complaints process should lead to significant improvement in complaint handling.

Planning – pre-application advice service

- In one case about a pre-application and the planning process, officers did not record their meetings and discussions with the complainant - they were only recorded in emails that the complainant sent to the Council; these emails were not on file until the complainant subsequently provided them in support of his complaint; in the absence of any records, the complainant was forced to address the same issues a number of times; he experienced difficulties in getting hold of

officers; he was not regularly updated; the stage two complaint reply was late; and he received no acknowledgement of, or response to, a key letter.

- All of this suggested poor supervision of the temporary staff involved at the time that fell below the standard that the Council should reasonably expect. It also suggested inadequate file management. It called into question, too, the decisions that were reached on the pre-application and the subsequent full plans.
- In a second complaint, there was a long delay between submission of the pre-application and initial comments; and the complainant never actually received a formal response. It was questionable, therefore, that, in the absence of such a response and no indication when it would be forthcoming, the Council then advised the complainant to submit full plans. It seemed to me that it was reasonable for the complainant to pursue a pre-application as advised; it was in the Council's best interests too; and it was right that the complainant should expect an outcome and poor practice not to provide one. Instead, the Council proposed a way forward that, though no doubt suggested in good faith, caused the complainant an injustice: drawing up full plans at extra cost, and submitting a planning application and paying the fee.
- In the same case, the timescale for seeking the conservation officer's (CO) views was too long – they were paramount and they should have been sought straightaway; the overall timescale was too long; and I believed that the complainant should have been advised earlier that the CO's professional comments were imminent. It seemed to me that, if the complainant had known this, he would have waited an extra two weeks before submitting full plans; he would have been able to reach a decision on how to proceed much sooner; and, as subsequently happened, he would have walked away, but this time without incurring the additional costs of the plans that he did incur.
- The Council told me that the pre-application process in these instances was free and so not a priority. The Council also told me that there is an increased demand on its very limited resources. The Council explained too that it advised the complainant in the second case how he might secure a view on his application – by submitting full plans – and he could then have negotiated changes and possibly have achieved planning permission.
- Although I am very sympathetic to the situation that the Council finds itself in through no fault of its own - suffering huge budget cuts and facing an ever increasing call on its officers' time - it seems to me that, if it offers a pre-application advice service (or indeed any service) – free or otherwise – it must be fit for purpose and administered properly. I was not so persuaded here, noting that pre-application advice will be a fee based service in the future.

Repairs

- In a repairs complaint, I noted that a contractor did not keep a detailed record of work carried out to the complainant's boiler and how they had handled the resident's concerns. This made my investigation difficult, and I urge officers to encourage contractors to keep good records.

Communication

- I am still seeing complaints where an insurance claim might be pursued, but no information is given to residents by officers about the process. I urge that this information is provided where appropriate and as quickly as possible.
- In a number of complaints, there continues to be an absence of updates. In my view these are required when there is a delay in doing work, or carrying out any other steps, so that the resident is reassured that something is happening and is spared chasing or making a complaint.

Complaints, apologies and remedies

- In some cases, officer comments to me on the stage three complaint have been late or they are deficient: this could mean that I am late writing to the complainant with my final decision. I urge timely comments, or a telephone call to me to agree an extension.
- In one complaint, an officer asked how I might respond if a remedy was given to a complainant as “a full and final settlement”. My view is that this is not legally binding as it might be if applied by the courts or insurers, and it could not stop someone escalating their complaint. However, it would inform my response to a complaint: specifically, I would want to know why the complainant accepted the remedy but still came to me.
- In a second complaint involving a number of service areas, I felt that one service area should have taken the lead.
- In a number of complaints, the Council claimed that it could not pay compensation because of the budget cuts. It seems to me, however, that, if maladministration occurs and it causes injustice, that injustice should be remedied, ideally in some practical way, but sometimes with the payment of money: service improvements may be required too to prevent further complaints.

My performance

24. Over the year, I have:

- Responded to 94% of complaints within 30 days (target: 85%).
- Had no decisions overturned on complaints referred to the Local Government Ombudsman or Housing Ombudsman.
- Met with a record number of complainants and visited their homes where this would aid my investigation.
- Provided advice to officers on many occasions about complaint handling, specific complaints, and remedies.
- Explained my approach to street lighting complaints, complaints about a partner running a service on behalf of the Council, and insurance complaints, so that officers can manage complainant expectations about my role.
- Produced a quarterly digest of cases for Members and officers so that they can see the kinds of cases I uphold, remedies I suggest and lessons learned from complaints.
- Taken part in a national complaints seminar, providing feedback to senior officers on complaints handling.
- Written a regular newsletter for senior officers highlighting any concerns and suggested service improvements.

Conclusions and general observations

25. Significant changes within the Council and Regenter and to resources have continued this year. Notwithstanding, the numbers of stage three complaints has not increased as might have been expected and I welcome this. I also welcome the generally helpful approach taken by the Council and Regenter in dealing with complaints at stage three: it suggests that they understand the importance of good complaint handling not just because it helps them learn lessons and prevent future complaints, but also because it is an essential part of good customer service. I hope that this continues in the face of even greater changes that we all face in the coming year.

Summary of recommendations

- Complaints and complaint handling:
 - Regenter to monitor its complaints numbers, taking steps (such as service improvements) to prevent any increase.
 - Regenter to continue with its improved complaints handling, and especially in responding to my enquiries.
 - Resources and Regeneration to monitor its complaints numbers, taking steps (such as service improvement) to prevent any increase and to restore the downwards trend I noted in 2013/14.
 - HOC to provide timely responses to my enquiries on complaints, and to comment on my draft decision letters: something I would ask of all service areas.
 - The Council to monitor with me complaints about HOC for evidence of systemic breakdown and problems in complaint handling, and to address the difficulties there as soon as possible.
 - In a multi service area complaint, the Council to appoint one service area to take the lead.
 - The authorities generally to let me have timely comments on a stage three complaint; or to call me to agree an extension.
 - The authorities to consider the payment of compensation where maladministration occurs and it causes injustice, but ideally thinking about some practical, proportionate and imaginative remedy – liaising with me if required: making service improvements too to prevent further complaints.
 - Officers to contact Corporate Complaints if they have doubts about how they might respond to my enquiries.

- Administration:
 - Regenter to keep good records to provide a smooth transition from one officer to another, and a seamless service to residents (and me) no matter who is dealing with them.
 - For the pre-application advice service (or indeed any service) – free or otherwise – to be fit for purpose and administered properly
 - The authorities to encourage contractors to keep good records.
 - The authorities to keep a record of all contact with a complainant.
 - The authorities to provide updates to complainants where repairs or some other action is protracted: noting SHIP's monthly casework management; and its suggested template holding letter for clients ensuring a brief monthly update in such cases.

- Service improvements:
 - Regenter to provide timely information to residents about the insurance process; and to monitor and chase insurance claims.
 - Regenter to continue discussing what has gone wrong in repairs complaints, and possible lessons and improvements.

For the future

26. I have talked in the past about managing complainant expectations and I think that this will be even more of an imperative for me in the coming year. I have also talked about changes and there are some major changes coming up both inside and outside the Council. So, I am proposing:
- To consider practical, proportionate and imaginative remedies, before turning to compensation to address a complaint; and to keep that compensation as fair and reasonable as possible, and in line with Ombudsmen guidance.

- To manage effectively right from the start complainant expectations about what the IA can and cannot achieve for them: doing this with a telephone call where appropriate, and with an early decision letter if I cannot help.
- To signpost more complainants to sources of advice and support and, when required, to alternative ways of pursuing their complaint.
- To meet all complainants with complex complaints, and to conduct site visits where a practical remedy such as a repair is possible: helping my understanding, and achieving quick resolution.
- To identify those complaints that can be speedily and effectively resolved without a detailed investigation and to approach the authorities with proposals for settlement.
- To provide guidance to officers on injustice so that they can deal more effectively with complaints, target resources at those most significantly affected, and reject early on those not significantly affected
- To work with officers on good administration to avoid complaints in the first place.
- To work with officers on complaint handling, and providing quick, effective, and imaginative remedies.

Acknowledgements

I would like to thank Rebecca Goodman and Rachael Phillips (Corporate Complaints Officers), and officers generally, for the help and support they have given me this year.

Finally, I welcome this opportunity to give you my reflections about the complaints I have dealt with over the past year. I hope that you find the information and assessment provided useful when seeking improvements to the Council's and Regenter's services.

Yours sincerely

Linzi Banks
Independent Adjudicator

Enc: statistical data

The Independent Adjudicator (IA) deals with complaints at stage three of the Council's complaints process and provides a free, independent and impartial service. The IA considers complaints about the administrative actions of the Council and its partners, for example, Lewisham Homes and Regenter. She cannot question what actions these organisations have taken simply because someone does not agree with it. But, if she finds something has gone wrong, such as poor service, service failure, delay or bad advice and that a person has suffered as a result, the IA aims to get it put right by recommending a suitable remedy.

*This review covers stage three complaints against the London Borough of Lewisham and Regenter. I have written a separate review on stage three complaints against Lewisham Homes, though the figures for all authorities are included and attached, and some crossover issues are mentioned.

Appendix 2
LGO letter

Local Government
OMBUDSMAN

18 June 2015

Mr Barry Quirk
Chief Executive
Lewisham London Borough Council

Dear Mr Quirk

Annual Review Letter 2015

I am writing with our annual summary of statistics on the complaints made to the Local Government Ombudsman (LGO) about your authority for the year ended 31 March 2015. This year's statistics can be found in the table attached.

The data we have provided shows the complaints and enquiries we have recorded, along with the decisions we have made. We know that these numbers will not necessarily match the complaints data that your authority holds. For example, our numbers include people who we signpost back to the council but who may never contact you. I hope that this information, set alongside the data sets you hold about local complaints, will help you to assess your authority's performance.

We recognise that the total number of complaints will not, by itself, give a clear picture of how well those complaints are being responded to. Over the coming year we will be gathering more comprehensive information about the way complaints are being remedied so that in the future our annual letter focuses less on the total numbers and more on the outcomes of those complaints.

Supporting local scrutiny

One of the purposes of the annual letter to councils is to help ensure that learning from complaints informs scrutiny at the local level. Supporting local scrutiny is one of our key business plan objectives for this year and we will continue to work with elected members in all councils to help them understand how they can contribute to the complaints process.

We have recently worked in partnership with the Local Government Association to produce a workbook for councillors which explains how they can support local people with their complaints and identifies opportunities for using complaints data as part of their scrutiny tool kit. This can be found [here](#) and I would be grateful if you could encourage your elected members to make use of this helpful resource.

Last year we established a new Councillors Forum. This group, which meets three times a year, brings together councillors from across the political spectrum and from all types of local authorities. The aims of the Forum are to help us to better understand the needs of councillors when scrutinising local services and for members to act as champions for learning from complaints in their scrutiny roles. I value this direct engagement with elected members and believe it will further ensure LGO investigations have wider public value.

Encouraging effective local complaints handling

In November 2014, in partnership with the Parliamentary and Health Service Ombudsman and Healthwatch England, we published *'My Expectations'* a service standards framework document describing what good outcomes for people look like if complaints are handled well.

Following extensive research with users of services, front line complaints handlers and other stakeholders, we have been able to articulate more clearly what people need and want when they raise a complaint.

This framework has been adopted by the Care Quality Commission and will be used as part of their inspection regime for both health and social care. Whilst they were written with those two sectors in mind, the principles of *'My Expectations'* are of relevance to all aspects of local authority complaints. We have shared them with link officers at a series of seminars earlier this year and would encourage chief executives and councillors to review their authority's approach to complaints against this user-led vision. A copy of the report can be found [here](#).

Future developments at LGO

My recent annual letters have highlighted the significant levels of change we have experienced at LGO over the last few years. Following the recent general election I expect further change.

Most significantly, the government published a review of public sector ombudsmen in March of this year. A copy of that report can be found [here](#). That review, along with a related consultation document, has proposed that a single ombudsman scheme should be created for all public services in England mirroring the position in the other nations of the United Kingdom. We are supportive of this proposal on the basis that it would provide the public with clearer routes to redress in an increasingly complex public service landscape. We will advise that such a scheme should recognise the unique roles and accountabilities of local authorities and should maintain the expertise and understanding of local government that exists at LGO. We will continue to work with government as they bring forward further proposals and would encourage local government to take a keen and active interest in this important area of reform in support of strong local accountability.

The Government has also recently consulted on a proposal to extend the jurisdiction of the LGO to some town and parish councils. We currently await the outcome of the consultation but we are pleased that the Government has recognised that there are some aspects of local service delivery that do not currently offer the public access to an independent ombudsman. We hope that these proposals will be the start of a wider debate about how we can all work together to ensure clear access to redress in an increasingly varied and complex system of local service delivery.

Yours sincerely



Dr Jane Martin
Local Government Ombudsman
Chair, Commission for Local Administration in England

Appendix 3 - Breakdown of LGO cases

Local authority report – Lewisham LB

For the period ending – 31/03/2015

For further information on interpretation of statistics click on this link to go to <http://www.lgo.org.uk/publications/annual-report/note-interpretation-statistics/>

Complaints and enquiries received

| Local Authority | Adult Care Services | Benefits and tax | Corporate and other services | Education and children's services | Environmental services and public protection | Highways and transport | Housing | Planning and development | Total |
|-----------------|---------------------|------------------|------------------------------|-----------------------------------|--|------------------------|---------|--------------------------|-------|
| Lewisham LB | 19 | 31 | 5 | 31 | 14 | 15 | 45 | 5 | 165 |

Decisions made

| Local Authority | Detailed investigations carried out | | Advice given | Closed after initial enquiries | Incomplete/Invalid | Referred back for local resolution | Total |
|-----------------|-------------------------------------|------------|--------------|--------------------------------|--------------------|------------------------------------|-------|
| | Upheld | Not Upheld | | | | | |
| Lewisham LB | 15 | 17 | 7 | 26 | 8 | 80 | 153 |

Appendix 4 – top 3 complaint reasons by ward.

| Ward | Highways | Lewisham Homes | Council Tax | Housing | Housing Needs | Housing and Council Tax Benefit | Parking | Environment Enforcement | Corporate complaints |
|------------------|----------|----------------|-------------|---------|---------------|---------------------------------|---------|-------------------------|----------------------|
| Bellingham | | 2 | 1 | | 3 | | | | |
| Blackheath | 3 | 1 | | | | | 2 | | |
| Brockley | | 2 | | 1 | | | | 3 | |
| Catford South | | | | 1 | 3 | 2 | | | |
| Crofton Park | 1 | | 2 | | 3 | | | | |
| Downham | 2 | | 1 | | | 3 | | | |
| Evelyn | 2 | 1 | | | | 3 | | | |
| Forest Hill | 1 | 3 | | | 2 | | | | |
| Grove Park | 1 | | 3 | | 2 | | | | |
| Ladywell | 2 | | 3 | 1 | | | | | |
| Lee Green | 1 | 2 | 3 | | | | | | |
| Lewisham Central | | 2 | 1 | | | 3 | | | |
| New Cross | | 1 | 2 | | 3 | | | | |
| Perry Vale | 1 | | 2 | | 3 | | | | |
| Rushey Green | 1 | 3 | | | 2 | | | | |
| Sydenham | 2 | 1 | | | 3 | | | | |
| Telegraph Hill | 2 | 1 | | | | | | | 3 |
| Whitefoot | 1 | | | | 2 | 3 | | | |

* Based on the post code of the complainant

Appendix 5 – Breakdown of all complaints and enquiries for each ward
 Number of Complaints by Service by Ward (Bellingham, Blackheath, Brockley, Catford South,
 Downham, Evelyn, Forest Hill, Grove Park

| Service | Bellingham | Blackheath | Brockley | Catford South | Crofton Park | Downham | Evelyn | Forest Hill | Grove Park |
|-------------------------------|------------|------------|----------|---------------|--------------|---------|--------|-------------|------------|
| Maintenance | 42 | 68 | 63 | 2 | 22 | | 108 | 25 | 1 |
| Estate and housing management | 10 | 29 | 12 | | 3 | | 56 | 16 | |
| Other | 7 | 5 | 7 | 7 | 15 | 6 | 10 | 11 | 11 |
| Roads and highways | 5 | 7 | 12 | 9 | 10 | 4 | 16 | 19 | 9 |
| Advice and Reviews | 10 | 9 | 17 | 13 | 10 | 7 | 16 | 9 | 14 |
| Council Tax | 15 | 5 | 10 | 5 | 11 | 6 | 9 | 8 | 10 |
| HB | 5 | 3 | 13 | 9 | 5 | 5 | 14 | 4 | 7 |
| Response Repairs | | | 55 | | 8 | | | | 2 |
| Leasehold | | | 68 | 1 | 5 | | | | |
| Anti-social behaviour | 5 | 4 | 20 | 9 | 3 | 3 | 2 | 1 | 3 |
| Road Safety | 2 | 4 | | | 9 | | 2 | 6 | 5 |
| Tenancy | | | 38 | | 6 | | 1 | | |
| Allocations | 3 | 5 | 2 | | | | 26 | 2 | |
| Environmental health | 4 | 2 | 9 | | | 2 | 3 | 1 | 1 |
| Lighting | 2 | | 7 | 1 | 4 | 3 | | 1 | |
| Domestic | | 3 | 10 | | 3 | 1 | 3 | 1 | 5 |
| Development Control | | 4 | 4 | 4 | 4 | 3 | 3 | 5 | 1 |
| Rents and service charges | 2 | 5 | 5 | | 2 | | 14 | 5 | |
| Road markings and signage | 2 | | | | | | 3 | 1 | 3 |
| Parks and Open Spaces | 4 | 4 | 2 | 1 | 1 | | 1 | | 1 |
| Arboriculture services | 1 | 1 | 3 | 2 | 1 | 3 | 3 | 1 | 2 |
| Rehousing development | 3 | | 2 | 1 | | 1 | 4 | | |
| Estate and housing management | 1 | 1 | 1 | | | | 4 | 1 | |
| Cleansing | | | 4 | 1 | 3 | | 1 | 1 | 1 |
| Concessionary Awards | | 1 | | 2 | | 3 | | 1 | 2 |
| On-street parking | | 1 | 1 | 1 | 1 | 1 | 1 | | 2 |
| Building Regulatory Services | 2 | 1 | 3 | | 2 | 1 | 1 | 1 | |
| Permits | | 5 | | | | | | | 1 |
| Hostels | | | | | 3 | | | 3 | |
| Recycling | | 3 | 1 | | | 2 | | 1 | |
| Finance / Income | | | 6 | | 1 | | | | |
| Private sector leasing | 2 | | | 1 | | 2 | | 2 | |
| Contractors | 1 | 4 | | | 1 | | | 1 | |
| Facilities | | | | | | | | 1 | |
| Pollution Control | 1 | | | | 1 | 2 | 1 | | 1 |
| Estates | | | 4 | | | | | | |
| PCNs | | 1 | 1 | | | 1 | | | |
| Learning disabilities | | | | 1 | | | | | 3 |
| Public Health | | 1 | | | 1 | | | | |
| Abandoned vehicles | | | 2 | | | | | 1 | 1 |
| CallPoint | | | 1 | | | 1 | | 1 | |

Number of Complaints by Service by Ward (Bellingham, Blackheath, Brockley, Catford South, Downham, Evelyn, Forest Hill, Grove Park cont

| Service | Bellingham | Blackheath | Brockley | Catford South | Crofton Park | Downham | Evelyn | Forest Hill | Grove Park |
|---|------------|------------|----------|---------------|--------------|---------|--------|-------------|------------|
| Car Parks | | 2 | | | 1 | | | | |
| Electoral Services | | | 1 | | | | | | 1 |
| Insurance and Risk | | | 1 | 1 | | | | | |
| Pest control | 1 | | | | | 1 | | | |
| Supporting People | 1 | | 1 | | 1 | | | | |
| Corporate | | | 1 | 1 | | | 1 | | |
| Financial services | 1 | | | 2 | | | | | |
| Health and Safety | | | | | 1 | | | | 1 |
| Health and Safety | | | | | 1 | | | | 1 |
| Secretariat | | | | | | | | | 2 |
| Animal Welfare | 1 | | | | | | | | 1 |
| Assessments | | | | 1 | | | | | |
| Asset Strategy & Development | | | | | | | | | |
| Bed and breakfast | | | | | | | | | 1 |
| Business Rates | | | 1 | | | | | | 1 |
| Conservation Advice | | | | 1 | | | | | |
| F2F L/Hse | 1 | | | | 2 | | | | |
| Finance and Property | | | | | 1 | | | | |
| Hall/Venue bookings | | | | | | | 1 | | |
| Home to School Travel Support | | | | | 1 | | | | |
| Lewisham Library | | 1 | 1 | | | | | | |
| Marriages | | | 1 | | | | 1 | | |
| Private sector renewals | 1 | | | | | | | | |
| Telephones | | | | | | | | | |
| Wavelengths Library | | | 3 | | | | | | |
| Adult therapy | | | | | | | | | |
| Building Cleaning and Security | | | | | | | | | |
| Cemeteries | | | | | | | 1 | | |
| Commercial | | 1 | | | | | | | |
| Corporate Technology | | | | | | | | | |
| Infrastructure | | | | | | | | | |
| Lewisham Enforcement Service | | | | 1 | | | | | |
| National Checking Service | | | | | | | | | |
| Planned Maintenance | | | | 1 | | | | | |
| Planning - Business | | | | | | | | | |
| Property, Planning and Environment | | | | | | | | | |
| Resident involvement | | | | | | | | | |
| Urban Design, Conservation and Heritage | | | | 1 | | | | | |
| AccessPoint | | | | | | | | | |
| Admissions and access | | | | | | | | | |
| Blind | | | | | | | | | |
| Building and Landscape Design | | | | | | | | | 1 |
| Catford Library | | | | 1 | | | | | |
| Commercial Lettings | | | | | | | 1 | | |
| Complaints | | | | | | | | | |
| Contracts, Education and Employment | | 1 | | | | | | | |
| Corporate Communications | | | | | | | | | |

| | | | | | | | | | |
|-------------------------------------|------------|------------|------------|-----------|------------|-----------|------------|------------|-----------|
| Deaf and hard of hearing | | | 1 | | | | | | |
| Demolitions | | | | | | | | | |
| Economic Development | | | | | | | | | |
| Finance | | | | | | | | | |
| Food and Food Hygiene | | | | | | | | | |
| Forest Hill Library | | | | | | | | | |
| Home to School Travel Support | | | | | | | | | |
| ICT | | | 1 | | | | | | |
| Pensions | | | | 1 | | | | | |
| Planning - Residential | | | | | | | | | |
| Property Services | | | | | | | | | |
| Regeneration | | | | | | | | 1 | |
| Regeneration / Economic Development | | | | | | | | | |
| Register Office | | | 1 | | | | | | |
| Registry Office | | | | | | | | | |
| Service development | 1 | | | | | | | | |
| Sheltered housing | | | | | | | | | 1 |
| Social Care | | | | | | | | | |
| Special Educational Needs | | | | | | | | | |
| Valuers | | | | | | | 1 | | |
| Very sheltered housing | | | | | | | | | |
| Grand Total | 136 | 181 | 396 | 81 | 142 | 58 | 308 | 131 | 95 |

Appendix 5 – Breakdown of all complaints and enquiries for each ward - cont

Number of Complaints by Service by Ward (Ladywell, Lee Green, Lewisham Central, New Cross, Perry Vale, Rushey Green, Sydenham, Telegraph Hill, Whitefoot)

| Service | Ladywell | Lee Green | Lewisham Central | New Cross | Perry Vale | Rushey Green | Sydenham | Telegraph Hill | White foot | Grand Total |
|-------------------------------|----------|-----------|------------------|-----------|------------|--------------|----------|----------------|------------|-------------|
| Maintenance | 9 | 34 | 55 | 137 | 35 | 27 | 75 | 105 | | 808 |
| Estate and housing management | 1 | 17 | 14 | 29 | 16 | 23 | 29 | 53 | | 308 |
| Other | 13 | 12 | 4 | 6 | 21 | 84 | 14 | 17 | 7 | 257 |
| Roads and highways | 13 | 24 | 4 | 2 | 16 | 70 | 8 | 13 | 9 | 250 |
| Advice and Reviews | 8 | 13 | 11 | 15 | 15 | 38 | 8 | 7 | 14 | 234 |
| Council Tax | 14 | 12 | 18 | 22 | 17 | 13 | 9 | 6 | 7 | 197 |
| HB | 7 | 9 | 11 | 5 | 5 | 15 | | 9 | 10 | 136 |
| Response.Repairs | 48 | | 2 | | | 5 | | 1 | 4 | 125 |
| Leasehold | 41 | | 1 | | | | | 1 | | 117 |
| Anti-social behaviour | 28 | 1 | 2 | 6 | 1 | 20 | 2 | | 3 | 113 |
| Road Safety | 1 | 8 | 1 | 3 | | 40 | 5 | 3 | 5 | 94 |
| Tenancy | 43 | | | 1 | | 1 | | 1 | | 91 |
| Allocations | 3 | 2 | | 15 | 4 | 4 | 7 | 15 | | 88 |
| Environmental health | 3 | 7 | | 7 | 7 | 15 | | 2 | 4 | 67 |
| Lighting | 7 | 4 | 4 | 1 | | 10 | 1 | 13 | 5 | 63 |
| Domestic | 2 | 4 | 4 | 4 | 5 | 5 | 3 | 5 | | 58 |
| Development Control | 3 | 6 | 2 | 3 | | 12 | | | | 54 |
| Rents and service charges | | 1 | 3 | 4 | 1 | 1 | 1 | 6 | | 50 |
| Road markings and signage | 1 | 1 | 1 | 1 | | 19 | 4 | 1 | 1 | 38 |
| Parks and Open Spaces | 2 | 1 | | 3 | | 11 | 1 | | 1 | 33 |
| Arboriculture services | | 2 | | 2 | | 5 | 2 | | 2 | 30 |
| Rehousing development | 1 | | 1 | 6 | 1 | 3 | 2 | | 3 | 28 |
| Estate and housing management | | | 1 | 4 | 2 | | 3 | 4 | | 22 |
| Cleansing | 1 | 3 | | 2 | | 3 | | 1 | 1 | 22 |
| Concessionary Awards | 4 | 2 | 1 | 3 | | 1 | 1 | | | 21 |
| On-street parking | 1 | 4 | 2 | 1 | 1 | 2 | | 2 | | 21 |
| Building Regulatory Services | 1 | 1 | | 1 | | 3 | | | | 17 |
| Permits | 4 | 1 | | | | 4 | | | | 15 |
| Hostels | | | 1 | | 1 | 2 | 3 | | 1 | 14 |
| Recycling | | 3 | | | | 1 | 1 | 1 | | 13 |
| Finance / Income | 4 | | | | 1 | | | | | 12 |
| Private sector leasing | | | 1 | 1 | | | | 2 | 1 | 12 |
| Contractors | 1 | | 1 | | | | 2 | | | 11 |
| Facilities | 1 | | | 2 | | 5 | | | | 9 |
| Pollution Control | | | 1 | 1 | | 1 | | | | 9 |
| Estates | 4 | | | | | | | | | 8 |
| PCNs | 1 | 1 | 2 | | | | | 1 | | 8 |
| Learning disabilities | 1 | | | | | 2 | | | | 7 |
| Public Health | 1 | | 1 | 2 | | 1 | | | | 7 |

| | | | | | | | | | |
|---|---|---|---|---|---|---|---|---|---|
| Abandoned vehicles | | | 1 | 1 | | | | | 6 |
| CallPoint | | 1 | | | 2 | | | | 6 |
| Car Parks | | | | | | 2 | 1 | | 6 |
| Electoral Services | | | | | 2 | 1 | | 1 | 6 |
| Insurance and Risk | 1 | | 1 | | | | | 1 | 6 |
| Pest control | 1 | | | 1 | | 1 | | | 6 |
| Supporting People | | 1 | | 1 | | | | 1 | 6 |
| Corporate | | | | | | | 1 | 1 | 5 |
| Financial services | | | | | | | 1 | | 4 |
| Health and Safety | | | | 1 | | 1 | | | 4 |
| Secretariat | | | | 1 | | 1 | | | 4 |
| Animal Welfare | | 1 | | | | | | | 3 |
| Assessments | | | 2 | | | | | | 3 |
| Asset Strategy & Development | | | | 1 | | | 1 | 1 | 3 |
| Bed and breakfast | | | | | | 1 | | 1 | 3 |
| Business Rates | | 1 | | | | | | | 3 |
| Conservation Advice | 1 | | | | | 1 | | | 3 |
| F2F L/Hse | | | | | | | | | 3 |
| Finance and Property | | | | | 1 | | | 1 | 3 |
| Hall/Venue bookings | | | | | | | 1 | 1 | 3 |
| Home to School Travel Support! | | | | | | | 1 | | 3 |
| Lewisham Library | | | | 1 | | | | | 3 |
| Marriages | 1 | | | | | | | | 3 |
| Private sector renewals | | | | | | | | 1 | 3 |
| Telephones | 2 | | | | 1 | | | | 3 |
| Wavelengths Library | | | | | | | | | 3 |
| Adult therapy | | | | | | | 2 | | 2 |
| Building Cleaning and Security | 2 | | | | | | | | 2 |
| Cemeteries | 1 | | | | | | | | 2 |
| Commercial | | | | 1 | | | | | 2 |
| Corporate Technology | | 1 | | | | 1 | | | 2 |
| Infrastructure | | | 1 | | 1 | | | | 2 |
| Lewisham Enforcement Service | | | | | | | 1 | | 2 |
| National Checking Service | 1 | | | | | | | 1 | 2 |
| Planned Maintenance | | | | | | | | 1 | 2 |
| Planning - Business | | | | | | 2 | | | 2 |
| Property, Planning and Environment | 1 | | | | | | | 1 | 2 |
| Resident involvement | | | | | | 1 | | 1 | 2 |
| Urban Design, Conservation and Heritage | | 1 | | | | | | | 2 |
| AccessPoint | | | 1 | | | | | | 1 |
| Admissions and access | | 1 | | | | | | | 1 |
| Blind | | | | | 1 | | | | 1 |
| Building and Landscape Design | | | | | | | | | 1 |
| Catford Library | | | | | | | | | 1 |

| | | | | | | | | | | |
|-------------------------------------|------------|------------|------------|------------|------------|------------|------------|------------|-----------|-------------|
| Commercial Lettings | | | | | | | | | | 1 |
| Complaints | | 1 | | | | | | | | 1 |
| Contracts, Education and Employment | | | | | | | | | | 1 |
| Corporate Communications | | 1 | | | | | | | | 1 |
| Deaf and hard of hearing | | | | | | | | | | 1 |
| Demolitions | | 1 | | | | | | | | 1 |
| Economic Development | | | | | | 1 | | | | 1 |
| Finance | | | | | | | 1 | | | 1 |
| Food and Food Hygiene | | | | | | 1 | | | | 1 |
| Forest Hill Library | | | | 1 | | | | | | 1 |
| Home to School Travel Support | 1 | | | | | | | | | 1 |
| ICT | | | | | | | | | | 1 |
| Pensions | | | | | | | | | | 1 |
| Planning - Residential | | | | | | 1 | | | | 1 |
| Property Services | | | | | 1 | | | | | 1 |
| Regeneration | | | | | | | | | | 1 |
| Regeneration / Economic Development | | | | | | 1 | | | | 1 |
| Registry Office | | | | | | 1 | | | | 1 |
| Service development | | | | | | | | | | 1 |
| Sheltered housing | | | | | | | | | | 1 |
| Social Care | | 1 | | | | | | | | 1 |
| Special Educational Needs | | | 1 | | | | | | | 1 |
| Valuers | | | | | | | | | | 1 |
| Very sheltered housing | | | | | | | | 1 | | 1 |
| Grand Total | 284 | 184 | 155 | 298 | 159 | 463 | 191 | 278 | 87 | 3627 |

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Agenda Item 6

| Public Accounts Select Committee | | | |
|----------------------------------|---------------------------------|-----------------|---|
| Title | Select Committee Work Programme | | |
| Contributor | Scrutiny Manager | Item | 5 |
| Class | Part 1 (Open) | 2 December 2015 | |

1. Purpose

To advise Committee members of the work programme for the 2015/16 municipal year, and to decide on the agenda items for the next meeting.

2. Summary

- 2.1 At the beginning of the new administration, each select committee drew up a draft work programme for submission to the Business Panel for consideration.
- 2.2 The Business Panel considered the proposed work programmes of each of the select committees on 28 April 2015 and agreed a co-ordinated overview and scrutiny work programme. However, the work programme can be reviewed at each Select Committee meeting so that Members are able to include urgent, high priority items and remove items that are no longer a priority.

3. Recommendations

3.1 The Committee is asked to:

- note the work plan attached at **Appendix B** and discuss any issues arising from the programme;
- specify the information and analysis required in the report for each item on the agenda for the next meeting, based on desired outcomes, so that officers are clear on what they need to provide;
- review all forthcoming key decisions, attached at **Appendix C**, and consider any items for further scrutiny.

4. The work programme

4.1 The work programme for 2015/16 was agreed at the Committee's meeting on 14 April 2015.

4.2 The Committee is asked to consider if any urgent issues have arisen that require scrutiny and if any existing items are no longer a priority and can be removed from the work programme. Before adding additional items, each item should be considered against agreed criteria. The flow chart attached at **Appendix A** may help Members decide if proposed additional items should be added to the work programme. The Committee's work programme needs to be achievable in terms of the amount of meeting time available. If the committee agrees to add additional item(s) because they are urgent and high priority, Members will need to consider

which medium/low priority item(s) should be removed in order to create sufficient capacity for the new item(s).

5. The next meeting

5.1 The following reports are scheduled for the meeting on 27 January 2016:

| Agenda item | Review type | Link to Corporate Priority | Priority |
|---|------------------------|--|----------|
| Annual Budget 2015/16 | Standard Item | Inspiring efficiency, effectiveness and equity | High |
| Financial Forecast 2015/16 | Performance Monitoring | Inspiring efficiency, effectiveness and equity | Medium |
| Management Report | Performance Monitoring | Inspiring efficiency, effectiveness and equity | Medium |
| No Recourse to Public Funds Review -6 month update | In-depth review | Inspiring efficiency, effectiveness and equity | Medium |

5.2 The Committee is asked to specify the information and analysis it would like to see in the reports for these item, based on the outcomes the committee would like to achieve, so that officers are clear on what they need to provide for the next meeting.

6. Financial Implications

There are no financial implications arising from this report.

7. Legal Implications

In accordance with the Council's Constitution, all scrutiny select committees must devise and submit a work programme to the Business Panel at the start of each municipal year.

8. Equalities Implications

8.1 The Equality Act 2010 brought together all previous equality legislation in England, Scotland and Wales. The Act included a new public sector equality duty, replacing the separate duties relating to race, disability and gender equality. The duty came into force on 6 April 2011. It covers the following nine protected characteristics: age, disability, gender reassignment, marriage and civil partnership, pregnancy and maternity, race, religion or belief, sex and sexual orientation.

8.2 The Council must, in the exercise of its functions, have due regard to the need to:

- eliminate unlawful discrimination, harassment and victimisation and other conduct prohibited by the Act

- advance equality of opportunity between people who share a protected characteristic and those who do not.
- foster good relations between people who share a protected characteristic and those who do not.

8.3 There may be equalities implications arising from items on the work programme and all activities undertaken by the Select Committee will need to give due consideration to this.

9. Date of next meeting

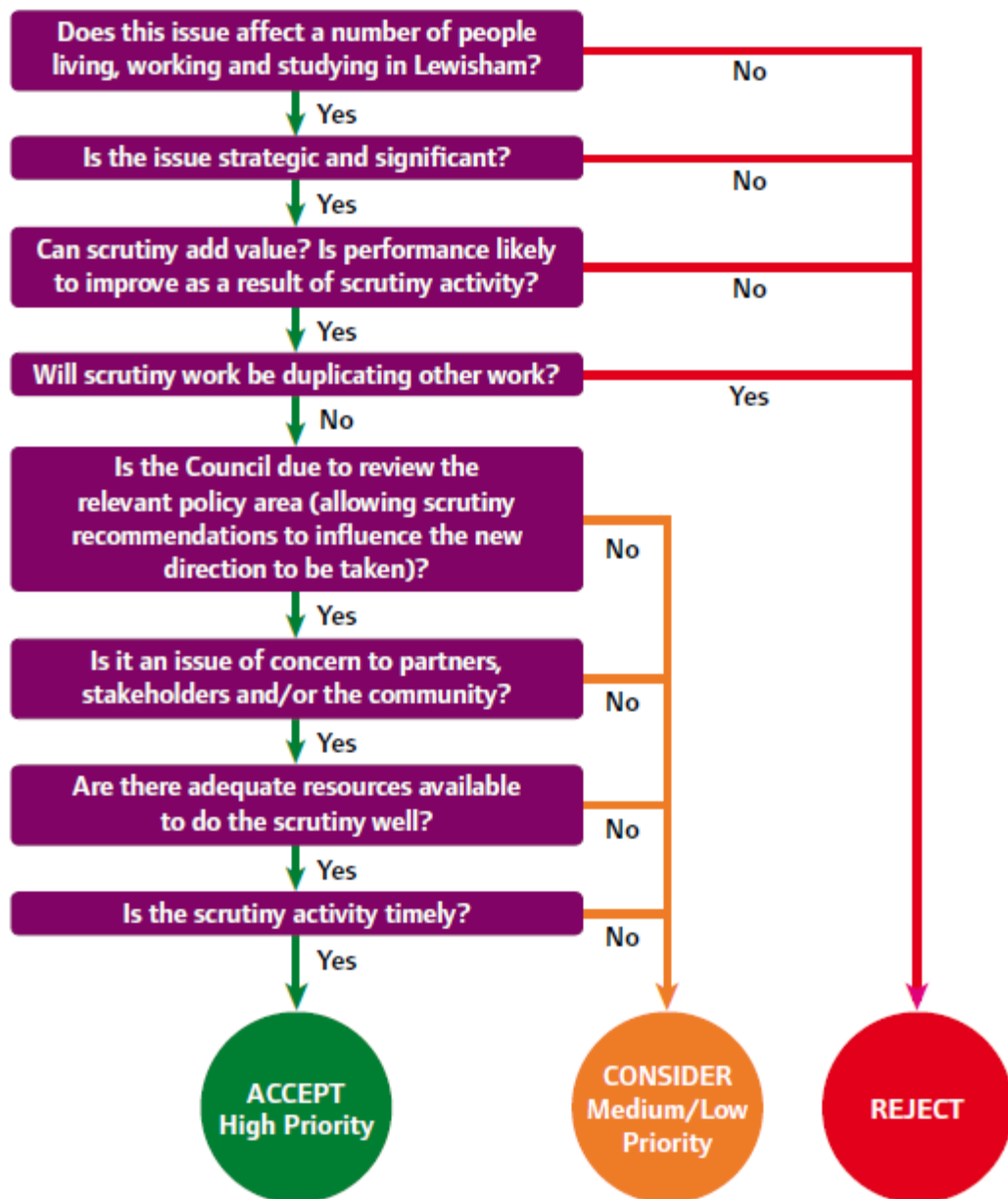
9.1 The date of the next meeting is Wednesday 27 January 2016.

Background Documents

Lewisham Council's Constitution

Centre for Public Scrutiny: the Good Scrutiny Guide

Scrutiny work programme – prioritisation process



| Work Item | Type of review | Priority | Strategic Priority | Delivery deadline | 14-Apr | 27-May | 14-Jul | 29-Sep | 28-Oct | 02-Dec | 27-Jan | 16-Mar |
|---|----------------------------|----------|--------------------|-------------------|-------------------------|-----------------|-------------------------|-------------------------|------------------------|--------|------------------|-----------------|
| Lewisham Future Programme | TBC | High | CP10 | Mar-16 | | | | Savings | | | | |
| Election of Chair and Vice-Chair | Constitutional requirement | High | CP10 | Apr-15 | | | | | | | | |
| Select Committee Work Programme 15/16 | Constitutional requirement | High | CP10 | Apr-15 | | | | | | | | |
| Financial forecasts 2015/16 | Performance monitoring | Medium | CP10 | Jan-16 | | | | | | | | |
| Final Outturn 2014/15 | Performance monitoring | Medium | CP10 | Jul-15 | | | | | | | | |
| Management report | Performance monitoring | Low | CP10 | Jan-16 | | | | | | | | |
| Income Generation review | In-depth review | Medium | CP10 | Sep-15 | Evidence session | | Evidence session | Evidence session | Report and recs | | | RESPONSE |
| Mid-year Treasury Management Review | Performance monitoring | Medium | CP10 | Oct-15 | | | | | | | | |
| Annual complaints report | Performance monitoring | Medium | CP10 | Dec-15 | | | | | | | | |
| Shared Services | Performance monitoring | High | CP10 | Jul-15 | | | | | | | | |
| Asset management update | Standard item | Medium | CP10 | Jul-15 | | | | | | | | |
| ICT Strategy | Information item | High | CP10 | May-15 | | | | | | | | |
| NRPF | Recommendations follow-up | Medium | CP10 | Dec-15 | | Response | | | | | Follow-up | |
| Annual Budget 2015/16 | Standard item | High | CP10 | Jan-16 | | | | | | | | |
| Contract monitoring - public realm | Performance monitoring | Medium | CP10 | Dec-15 | | | | | | | | |
| Implementation of savings proposal 03 (creating an internal enforcement agency) | Performance monitoring | Medium | CP10 | Mar-16 | | | | | | | | |
| Complaints Review update (request re savings proposal I3) | Performance monitoring | Medium | CP10 | Mar-16 | | | | | | | | |
| Audit Panel update | Constitutional Requirement | Medium | CP10 | Mar-16 | | | | | | | | |

| | |
|--|--------------------|
| | Item completed |
| | Item on-going |
| | Item outstanding |
| | Proposed timeframe |
| | Item added |

| Meetings | | | | | |
|----------|-----|--------------|----|-----|------------|
| 1) | Wed | 22 April | 5) | Wed | 28 October |
| 2) | Wed | 27 May | 6) | Wed | 2 December |
| 3) | Tue | 14 July | 7) | Wed | 27 January |
| 4) | Tue | 29 September | 8) | Wed | 16 March |

| Shaping Our Future: Lewisham's Sustainable Community Strategy 2008-2020 | | |
|---|-------------------------------|-------|
| | Priority | |
| 1 | Ambitious and achieving | SCS 1 |
| 2 | Safer | SCS 2 |
| 3 | Empowered and responsible | SCS 3 |
| 4 | Clean, green and liveable | SCS 4 |
| 5 | Healthy, active and enjoyable | SCS 5 |
| 6 | Dynamic and prosperous | SCS 6 |

| Corporate Priorities | | |
|----------------------|--|-------|
| | Priority | |
| 1 | Community Leadership | CP 1 |
| 2 | Young people's achievement and involvement | CP 2 |
| 3 | Clean, green and liveable | CP 3 |
| 4 | Safety, security and a visible presence | CP 4 |
| 5 | Strengthening the local economy | CP 5 |
| 6 | Decent homes for all | CP 6 |
| 7 | Protection of children | CP 7 |
| 8 | Caring for adults and older people | CP 8 |
| 9 | Active, healthy citizens | CP 9 |
| 10 | Inspiring efficiency, effectiveness and equity | CP 10 |

FORWARD PLAN OF KEY DECISIONS

Forward Plan December 2015 - March 2016

This Forward Plan sets out the key decisions the Council expects to take during the next four months.

Anyone wishing to make representations on a decision should submit them in writing as soon as possible to the relevant contact officer (shown as number (7) in the key overleaf). Any representations made less than 3 days before the meeting should be sent to Kevin Flaherty, the Local Democracy Officer, at the Council Offices or kevin.flaherty@lewisham.gov.uk. However the deadline will be 4pm on the working day prior to the meeting.

A "key decision"* means an executive decision which is likely to:

- (a) 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;
- (b) be significant in terms of its effects on communities living or working in an area comprising two or more wards.

| | | | | | |
|-------------|---|-------------------------------|--|--|--|
| August 2015 | Annual Complaints Report 2014/15 | 11/11/15 Mayor and Cabinet | Janet Senior, Executive Director for Resources & Regeneration and Councillor Joe Dromey, Cabinet Member Policy & Performance | | |
| August 2015 | Annual Parking Report | 11/11/15 Mayor and Cabinet | Janet Senior, Executive Director for Resources & | | |

FORWARD PLAN – KEY DECISIONS

| Date included in forward plan | Description of matter under consideration | Date of Decision Decision maker | Responsible Officers / Portfolios | Consultation Details | Background papers / materials |
|-------------------------------|--|---------------------------------|---|----------------------|-------------------------------|
| | | | Regeneration and Councillor Rachel Onikosi, Cabinet Member Public Realm | | |
| June 2015 | Capital and Revenue Budget Monitorig | 11/11/15 Mayor and Cabinet | Janet Senior, Executive Director for Resources & Regeneration and Councillor Kevin Bonavia, Cabinet Member Resources | | |
| August 2015 | Children and Young People Plan | 11/11/15 Mayor and Cabinet | Sara Williams, Executive Director, Children and Young People and Councillor Paul Maslin, Cabinet Member for Children and Young People | | |
| August 2015 | Discharge into the Private Rented Sector | 11/11/15 Mayor and Cabinet | Kevin Sheehan, Executive Director for Customer Services and Councillor Damien Egan, Cabinet Member Housing | | |
| August 2015 | Heathside & Lethbridge Housing Regeneration Scheme update Parts 1 & 2 | 11/11/15 Mayor and Cabinet | Kevin Sheehan, Executive Director for Customer Services and Councillor Damien Egan, Cabinet Member Housing | | |
| August 2015 | Homelessness out of Borough Locational Priority Policy | 11/11/15 Mayor and Cabinet | Kevin Sheehan, Executive Director for Customer Services and Councillor Damien Egan, | | |

FORWARD PLAN – KEY DECISIONS

| Date included in forward plan | Description of matter under consideration | Date of Decision Decision maker | Responsible Officers / Portfolios | Consultation Details | Background papers / materials |
|-------------------------------|---|---------------------------------|---|----------------------|-------------------------------|
| | | | Cabinet Member Housing | | |
| October 2015 | Horniman Museum Heritage Lottery Fund Proposal | 11/11/15 Mayor and Cabinet | Janet Senior, Executive Director for Resources & Regeneration and Councillor Kevin Bonavia, Cabinet Member Resources | | |
| August 2015 | Housing-Led Regeneration Opportunities Parts 1 and 2 | 11/11/15 Mayor and Cabinet | Kevin Sheehan, Executive Director for Customer Services and Councillor Damien Egan, Cabinet Member Housing | | |
| September 2015 | National Non Domestic Rates - Discretionary Discount Scheme for Businesses Accredited to Living Wage | 11/11/15 Mayor and Cabinet | Kevin Sheehan, Executive Director for Customer Services and Councillor Kevin Bonavia, Cabinet Member Resources | | |
| October 2015 | The 2020 Programme | 11/11/15 Mayor and Cabinet | Janet Senior, Executive Director for Resources & Regeneration and Councillor Kevin Bonavia, Cabinet Member Resources | | |
| October 2015 | School Minor Capital Works Programme 2016 | 11/11/15 Mayor and Cabinet | Sara Williams, Executive Director, Children and Young People and Councillor Paul Maslin, Cabinet Member for Children and Young People | | |

FORWARD PLAN – KEY DECISIONS

| Date included in forward plan | Description of matter under consideration | Date of Decision Decision maker | Responsible Officers / Portfolios | Consultation Details | Background papers / materials |
|--------------------------------------|---|---|---|-----------------------------|--------------------------------------|
| September 2015 | Sheltered Housing Investment and Improvement Update | 11/11/15 Mayor and Cabinet | Kevin Sheehan, Executive Director for Customer Services and Councillor Damien Egan, Cabinet Member Housing | | |
| September 2015 | Voluntary Sector Accomodation Implementation Plan Consultation Parts 1 and 2 | 11/11/15 Mayor and Cabinet | Aileen Buckton, Executive Director for Community Services and Councillor Joan Millbank, Cabinet Member Third Sector & Community | | |
| October 2015 | Working Skills strategy | 11/11/15 Mayor and Cabinet | Janet Senior, Executive Director for Resources & Regeneration and Councillor Alan Smith, Deputy Mayor | | |
| October 2015 | Annual Report on Energy Prices | 11/11/15 Mayor and Cabinet (Contracts) | Janet Senior, Executive Director for Resources & Regeneration and Councillor Kevin Bonavia, Cabinet Member Resources | | |
| August 2015 | ICT Shared Service Update | 11/11/15 Mayor and Cabinet (Contracts) | Janet Senior, Executive Director for Resources & Regeneration and Councillor Kevin Bonavia, Cabinet Member Resources | | |
| October 2015 | Homecare Contracts Extension | 11/11/15 Mayor and Cabinet | Aileen Buckton, Executive Director for | | |

FORWARD PLAN – KEY DECISIONS

| Date included in forward plan | Description of matter under consideration | Date of Decision Decision maker | Responsible Officers / Portfolios | Consultation Details | Background papers / materials |
|-------------------------------|---|--|--|----------------------|-------------------------------|
| | | (Contracts) | Community Services and Councillor Chris Best, Cabinet Member for Health, Wellbeing and Older People | | |
| November 2015 | Contract Extension for Targeted Family Support Service | 24/11/15 Overview and Scrutiny Business Panel | Sara Williams, Executive Director, Children and Young People and Councillor Paul Maslin, Cabinet Member for Children and Young People | | |
| October 2015 | Public Health Contracts for Health Checks and Sexual Health Promotion | 24/11/15 Overview and Scrutiny Business Panel | Aileen Buckton, Executive Director for Community Services and Councillor Chris Best, Cabinet Member for Health, Wellbeing and Older People | | |
| August 2015 | Children and Young People Plan | 25/11/15 Council | Sara Williams, Executive Director, Children and Young People and Councillor Paul Maslin, Cabinet Member for Children and Young People | | |
| August 2015 | Lewisham River Corridor Improvement Plan Supplementary Planning Document | 25/11/15 Council | Janet Senior, Executive Director for Resources & Regeneration and Councillor Alan Smith, Deputy Mayor | | |

FORWARD PLAN – KEY DECISIONS

| Date included in forward plan | Description of matter under consideration | Date of Decision Decision maker | Responsible Officers / Portfolios | Consultation Details | Background papers / materials |
|--------------------------------------|--|--|---|-----------------------------|--------------------------------------|
| February 2015 | Review of Licensing Policy | 25/11/15 Council | Aileen Buckton, Executive Director for Community Services and Councillor Rachel Onikosi, Cabinet Member Public Realm | | |
| November 2015 | King Alfred Federation - Instrument of Government | 09/12/15 Mayor and Cabinet | Sara Williams, Executive Director, Children and Young People and Councillor Paul Maslin, Cabinet Member for Children and Young People | | |
| November 2015 | Beckenham Place Park Consultation | 09/12/15 Mayor and Cabinet | Kevin Sheehan, Executive Director for Customer Services and Councillor Rachel Onikosi, Cabinet Member Public Realm | | |
| November 2015 | Besson Street Regeneration and New Homes Project | 09/12/15 Mayor and Cabinet | Kevin Sheehan, Executive Director for Customer Services and Councillor Damien Egan, Cabinet Member Housing | | |
| June 2015 | Council Tax Reduction Scheme 2016-17 | 09/12/15 Mayor and Cabinet | Kevin Sheehan, Executive Director for Customer Services and Councillor Kevin Bonavia, Cabinet Member Resources | | |
| November 2015 | Establishment of an Education | 09/12/15 | Sara Williams, Executive | | |

FORWARD PLAN – KEY DECISIONS

| Date included in forward plan | Description of matter under consideration | Date of Decision Decision maker | Responsible Officers / Portfolios | Consultation Details | Background papers / materials |
|-------------------------------|--|---------------------------------|--|----------------------|-------------------------------|
| | Commission | Mayor and Cabinet | Director, Children and Young People and Councillor Paul Maslin, Cabinet Member for Children and Young People | | |
| November 2015 | Housing Led - Regeneration | 09/12/15 Mayor and Cabinet | Kevin Sheehan, Executive Director for Customer Services and Councillor Damien Egan, Cabinet Member Housing | | |
| October 2015 | Planning Service Annual Monitoring Report 2014-15 | 09/12/15 Mayor and Cabinet | Janet Senior, Executive Director for Resources & Regeneration and Councillor Alan Smith, Deputy Mayor | | |
| June 2015 | Revenue Budget Savings | 09/12/15 Mayor and Cabinet | Janet Senior, Executive Director for Resources & Regeneration and Councillor Kevin Bonavia, Cabinet Member Resources | | |
| August 2015 | Section 75 arrangements for Children and Young People | 09/12/15 Mayor and Cabinet | Kath Nicholson, Head of Law and Councillor Paul Maslin, Cabinet Member for Children and Young People | | |
| October 2015 | Youth Service Mutual | 09/12/15 Mayor and Cabinet | Sara Williams, Executive Director, Children and Young People and Councillor Paul Maslin, | | |

FORWARD PLAN – KEY DECISIONS

| Date included in forward plan | Description of matter under consideration | Date of Decision Decision maker | Responsible Officers / Portfolios | Consultation Details | Background papers / materials |
|-------------------------------|--|---|--|----------------------|-------------------------------|
| | | | Cabinet Member for Children and Young People | | |
| November 2015 | Award of Homecare Contracts | 09/12/15 Mayor and Cabinet (Contracts) | Aileen Buckton, Executive Director for Community Services and Councillor Chris Best, Cabinet Member for Health, Wellbeing and Older People | | |
| September 2015 | Facilities Management and Compliance Contract Extensions and Procurement Approach | 09/12/15 Mayor and Cabinet (Contracts) | Janet Senior, Executive Director for Resources & Regeneration and Councillor Kevin Bonavia, Cabinet Member Resources | | |
| October 2015 | Prevention and Inclusion Contract | 09/12/15 Mayor and Cabinet (Contracts) | Aileen Buckton, Executive Director for Community Services and Councillor Janet Daby, Cabinet Member Community Safety | | |
| November 2015 | Preferred Provider Framework Contract Extension | 09/12/15 Mayor and Cabinet (Contracts) | Sara Williams, Executive Director, Children and Young People and Councillor Paul Maslin, Cabinet Member for Children and Young People | | |
| November 2015 | Appointment of Contractor for the Catford Enterprise Hub | 15/12/15 Overview and | Janet Senior, Executive Director for Resources & | | |

FORWARD PLAN – KEY DECISIONS

| Date included in forward plan | Description of matter under consideration | Date of Decision Decision maker | Responsible Officers / Portfolios | Consultation Details | Background papers / materials |
|-------------------------------|---|--|--|----------------------|----------------------------------|
| | | Scrutiny Business Panel | Regeneration and Councillor Alan Smith, Deputy Mayor | | |
| October 2015 | Resouce Link Contract Extension | 15/12/15 Overview and Scrutiny Business Panel | Janet Senior, Executive Director for Resources & Regeneration and Councillor Kevin Bonavia, Cabinet Member Resources | | |
| November 2015 | Pathways to Employment Phase 2 Procurement Decision | 15/12/15 Overview and Scrutiny Business Panel | Janet Senior, Executive Director for Resources & Regeneration and Councillor Alan Smith, Deputy Mayor | | |
| November 2015 | Contract Extension for Community Support Service - Bromley and Lewisham Mind | 15/12/15 Overview and Scrutiny Business Panel | Aileen Buckton, Executive Director for Community Services and Councillor Chris Best, Cabinet Member for Health, Wellbeing and Older People | | |
| November 2015 | Processing of Dry Recyclables - Interim Arrangements - Extension of Contract | 15/12/15 Overview and Scrutiny Business Panel | Kevin Sheehan, Executive Director for Customer Services and Councillor Rachel Onikosi, Cabinet Member Public Realm | | |
| October 2015 | Setting the Council Tax Base, the NNDR Base and Discounts for Second Homes and Empty Homes | 13/01/16 Mayor and Cabinet | Janet Senior, Executive Director for Resources & Regeneration and Councillor Kevin Bonavia, | | |

FORWARD PLAN – KEY DECISIONS

| Date included in forward plan | Description of matter under consideration | Date of Decision Decision maker | Responsible Officers / Portfolios | Consultation Details | Background papers / materials |
|-------------------------------|---|---------------------------------|---|----------------------|-------------------------------|
| | | | Cabinet Member Resources | | |
| August 2015 | Determination of the applications to establish a neighbourhood forum and to designate a neighbourhood area for Lee Green | 13/01/16 Mayor and Cabinet | Janet Senior, Executive Director for Resources & Regeneration and Councillor Alan Smith, Deputy Mayor | | |
| August 2015 | Determination of the applications to establish a neighbourhood forum and to designate a neighbourhood area for Deptford | 13/01/16 Mayor and Cabinet | Janet Senior, Executive Director for Resources & Regeneration and Councillor Alan Smith, Deputy Mayor | | |
| May 2015 | Formal Designation of Crystal Palace & Upper Norwood Neighbourhood Forum and Area | 13/01/16 Mayor and Cabinet | Janet Senior, Executive Director for Resources & Regeneration and Councillor Alan Smith, Deputy Mayor | | |
| September 2015 | Determined School Admissions Arrangements for 2017/18 | 13/01/16 Mayor and Cabinet | Sara Williams, Executive Director, Children and Young People and Councillor Paul Maslin, Cabinet Member for Children and Young People | | |
| August 2015 | Parks Events Policy 2016- 2020 | 13/01/16 Mayor and Cabinet | Councillor Alan Smith, Deputy Mayor and Councillor Rachel Onikosi, Cabinet Member Public Realm | | |
| June 2014 | Surrey Canal Triangle (New | 13/01/16 | Janet Senior, Executive | | |

FORWARD PLAN – KEY DECISIONS

| Date included in forward plan | Description of matter under consideration | Date of Decision Decision maker | Responsible Officers / Portfolios | Consultation Details | Background papers / materials |
|-------------------------------|--|---|---|----------------------|-------------------------------|
| | Bermondsey) - Compulsory Purchase Order Resolution | Mayor and Cabinet | Director for Resources & Regeneration and Councillor Alan Smith, Deputy Mayor | | |
| November 2015 | Update on Proposal to Enlarge Sir Francis Drake Primary School | 13/01/16 Mayor and Cabinet | Sara Williams, Executive Director, Children and Young People and Councillor Paul Maslin, Cabinet Member for Children and Young People | | |
| October 2015 | Award of Contracts Tier 4 Services and Day Programmes People with Substance Misuse Services | 13/01/16 Mayor and Cabinet (Contracts) | Aileen Buckton, Executive Director for Community Services and Councillor Janet Daby, Cabinet Member Community Safety | | |
| October 2015 | Setting the Council Tax Base, the NNDR Base and Discounts for Second Homes and Empty Homes | 20/01/16 Council | Janet Senior, Executive Director for Resources & Regeneration and Councillor Kevin Bonavia, Cabinet Member Resources | | |
| June 2015 | Council Tax Reduction Scheme 2016-17 | 20/01/16 Council | Kevin Sheehan, Executive Director for Customer Services and Councillor Kevin Bonavia, Cabinet Member Resources | | |
| November 2015 | Pathways to Employment phase 2 procurement decision | 02/02/16 Overview and | Janet Senior, Executive Director for Resources & | | |

| FORWARD PLAN – KEY DECISIONS | | | | | |
|--------------------------------------|---|---|---|-----------------------------|--------------------------------------|
| Date included in forward plan | Description of matter under consideration | Date of Decision Decision maker | Responsible Officers / Portfolios | Consultation Details | Background papers / materials |
| | | Scrutiny Business Panel | Regeneration and Councillor Alan Smith, Deputy Mayor | | |
| June 2015 | Capital and Revenue Budget Monitoring | 10/02/16 Mayor and Cabinet | Janet Senior, Executive Director for Resources & Regeneration and Councillor Kevin Bonavia, Cabinet Member Resources | | |
| November 2015 | Main Grants Report 2016/17 | 17/02/16 Mayor and Cabinet (Contracts) | Aileen Buckton, Executive Director for Community Services and Councillor Joan Millbank, Cabinet Member Third Sector & Community | | |
| August 2015 | Housing Allocations Policy | 02/03/16 Mayor and Cabinet | Kevin Sheehan, Executive Director for Customer Services and Councillor Damien Egan, Cabinet Member Housing | | |
| November 2015 | Discharge into Private Rented Sector Policy | 04/16 Mayor and Cabinet | Kevin Sheehan, Executive Director for Customer Services and Councillor Damien Egan, Cabinet Member Housing | | |
| November 2015 | Temporary Accommodation Procurement Strategy | 04/16 Mayor and Cabinet | Kevin Sheehan, Executive Director for Customer Services and Councillor Damien Egan, Cabinet Member Housing | | |

FORWARD PLAN – KEY DECISIONS

| Date included in forward plan | Description of matter under consideration | Date of Decision Decision maker | Responsible Officers / Portfolios | Consultation Details | Background papers / materials |
|--------------------------------------|--|--|--|-----------------------------|--------------------------------------|
|--------------------------------------|--|--|--|-----------------------------|--------------------------------------|

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