



PROJECT INITIATION DOCUMENT (PID)

For Silver and Gold Category projects only

Project Number: 2014

**Project Title: Disabled Facilities Grants
Approved in 2013/14**

Release (Draft/Final)	Final
Version Number	3
Date	21 June 2013
Project Manager	Paul Juan
Project Sponsor	Mitch Sanders
Directorate	Environment and Economy
Division	Regulatory Services

The appropriate approval must be obtained before for the PID is registered on SharePoint. Please refer to the Gateway Approval process for Gold & Silver projects.

Project Type	Silver
Approved by	John Tunney

1 Background

1.1 Outline Project Proposal

The purpose of this project is:

To enable independent living for disabled people, through the provision of mandatory Disabled Facilities Grants (DFGs) to fund adaptations in private homes.

The Council has a statutory duty under the Housing Grants, Construction and Regeneration Act 1996 to approve applications for Disabled Facilities Grants where eligibility criteria are met and the work is deemed to be:

- necessary and appropriate and
- reasonable and practicable

1.2 Business Case

The Council has a mandatory duty to administer these grants. Failure to do so may result in legal action for breach of statutory duty or result in judicial review, which would be expensive to defend and highly damaging to the Council's reputation.

Delivery of this programme is consistent with the Council's corporate priority of achieving social sustainability by improving health and keeping people safe and helping individuals and communities to work together and help themselves.

2 Project Definition

2.1 What is 'in' scope

Capital funding for the Disabled Facilities Grants (DFG) programme, for grants approved during 2013/14 (and scheduled for completion during 2013/14 and 2014/15).

2.2 What is 'out' of scope

Capital funding for other environmental health housing programmes and costs associated with delivery of the DFG programme (technical salary costs and IT system costs etc.).

2.3 Project assumptions

Demand for DFGs will remain constant during 2013/14 and be broadly comparable with 2012/13.

2.4 Constraints

The Council has a statutory duty to approve a valid grant application within six months.

There is a corporate target of completing adaptations within a year of the initial enquiry being received.

Budget is limited to amount contained in the Housing General Fund Capital Programme.

DFGs are demand led – difficult to predict future demand with certainty.

2.5 Method of approach (if applicable)

Delivery of grants in partnership with:

- Council-based Occupational Therapists (People directorate)
 - Local building contractors and surveyors
 - Cost of work in individual cases will be determined using competitive tendering for each individual adaptation or an agreed schedule of rates, following an appropriate procurement exercise
-

2.6 Project Deliverables

Produce a list of the expected and required Deliverables/Products/Outcomes that the proposed project must create or acquire. Detail, if appropriate, the acceptance criteria. For example, must meet User Acceptance Testing if an IT product or BREEAM standard for build project.

The project deliverables will be used to create Work Packages.

Project Quality is measured at G5 by whether the project has achieved its objectives (see s 3.1 of the Business Case). Reference will also be made to project deliverables and the acceptance criteria below.

Project Phase/Activity	Deliverable	Acceptance Criteria (if appropriate)	Due Date
Disabled Facilities Grants	Delivery of 150 completed adaptations at an average cost of £8,000 per adaptation	Each individual adaptation subject to sign off by customer and Southampton City Council. Planning Permission and/or Building Regulations approval required in some cases.	30 June 2014

3 Project Costs

3.1 Financial Profile of spend

	Q1	Q2	Q3	Q4	Total (£)
Financial Year 1 2013/14	£0	£300,000	£300,000	£300,000	£900,000
Financial Year 2 2014/15	£300,000	£0	£0	£0	£300,000
Total					£1,200,000

Note: spend during Q1 of 2013/14 will be for grants approved during quarter 4 of 2012/13, rather than those approved during 2013/14. This is reflected in the February Capital Programme update, which includes two Disabled Facilities Grants projects as follows:

Agresso	PM connect	Short description	2011/12	2012/13	2013/14	Total
			£'000	£'000	£'000	£'000
G4410	1699	DFG 2011/12	1,203	179	Nil	1,382
G4640	1887	DFG 2012/13	Nil	767	382	1,149
		Total	1,203	946	382	2,531

The grants approved in 2013/14 (£1,200,000) will be funded as follows:

- Government Grant £777,000 (in 2013/14)
- Council resources (identified Right-to-Buy receipts) £423,000 (£123,000 in 2013/14 and £300,000 in 2014/15)

3.2 Financial Assessment

Not applicable in this case. Grants to the value of £1,200,000 will be approved during 2013/14. If the average grant is less than forecast, then additional grants will be approved. If the average grant is more than forecast, then fewer grants will be approved, or additional resources will be sought.

4 Key Project Milestones

A full Project Plan should be attached as an Appendix.

No.	Milestone	By When	By Whom
1	30 grants completed	30 September 2013	Project Manager
2	40 grants completed (70 cumulative)	31 December 2013	Project Manager
3	40 grants completed (110 cumulative)	31 March 2014	Project Manager
4	40 grants completed (150 cumulative)	30 June 2014	Project Manager

5 Project Controls and Reporting

Explain how the project will be controlled, attaching as an Appendix a project organisation chart. See PM Connect guidance on SharePoint on the default requirements for escalating projects.

Reporting Procedure For example, monthly Highlight report to Project Sponsor and/or Project Board	Escalation Procedure (include any agreed tolerances)	Change Management Procedure Procedure to agree changes to the project schedule, cost and quality
Monthly highlight report to Environmental Health Housing Capital Board (programme board)	Housing Capital and Project Board	Environmental Health Housing Capital Board or Project Sponsor

6 Communication Plan

Alternatively, attach the Communication Plan as an Appendix.

Stakeholder	Purpose of Communication	Medium	Who	When	Support Material	Comments
Customers	<ul style="list-style-type: none">Elicit feedback on customer service	<ul style="list-style-type: none">Questionnaire	Technical support or case officer	On completion of work		
Building contractors	<ul style="list-style-type: none">Improve qualityEnsure capacity maintained	<ul style="list-style-type: none">Effective working relationship	Principal Officer, EH Housing Team	Ongoing		
Occupational therapists (People directorate)	<ul style="list-style-type: none">Service improvementPerformance management	<ul style="list-style-type: none">Meeting (Housing Adaptations Steering Group)	Heads of Service and Service Managers	Bi-monthly		

7 Appendices:

7.1 Project Plan

This is an ongoing annual Capital programme. Milestones are listed above.

7.2 Risk Register

Risk	Risk Owner	Probability	Impact on project (H/M/L)	Timing	Mitigation
Occupational therapists delay referrals	Head of Personalisation and Safeguarding	Low (service is adequately resourced to process the number of referrals required to deliver programme)	High	Ongoing	Liaison with Occupational Therapists; Corporate Housing Adaptations Steering Group
Insufficient local building contractors to deliver	Environmental Health Housing Team Leader	Low	High	Ongoing	Monitor contractor capacity (including those listed on Buy with Confidence); investigating alternative delivery mechanisms to ensure quality and value
Increased demand for DFGs	Project Manager	Medium	Medium	Ongoing	Monitor demand through liaison with Occupational Therapists; Corporate Housing Adaptations Steering Group
Structural changes in council or implementation of new service arrangements to deliver adaptations	Project Manager	High	Medium	2013/14	Thorough planning and effective change management

7.3 Impact Assessments

An Integrated Impact Assessment is not required as this is a continuing programme (an assessment would be required if the programme was suspended, discontinued or varied significantly).

7.4 Project Organisation

DFG programme governance

