



PROJECT INITIATION DOCUMENT (PID)

For Silver and Gold Category projects only

Project Number: 1699

**Project Title: Disabled Facilities Grants
Approved in 2011/12**

Release (Draft/Final)	Final
Version Number	1.2
Date	25 March 2011
Project Manager	Paul Juan
Project Sponsor	Barbara Compton
Directorate	Neighbourhoods
Division	Housing Solutions

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	Nick Murphy

28/04/2011

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 (as determined by an Occupational Therapist) and
- reasonable and practicable (as determined by a Housing Officer)

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 'more support for vulnerable people and families'. There is an explicit commitment to adaptations for disabled people under this heading in the draft City Council Plan 2011-2014.

2 Project Definition

2.1 What is 'in' scope

Capital funding for the Disabled Facilities Grants (DFG) programme, for grants approved during 2011/12 (and scheduled for completion during 2011/12 and 2012/13).

2.2 What is 'out' of scope

Capital funding for other private housing programmes, e.g. Home Improvement Loans, and costs associated with delivery of the DFG programme (technical salary costs, funding for the post- Home Improvement Agency transition arrangements and IT system costs).

2.3 Project assumptions

Demand for DFGs will not increase significantly during 2011/12.

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 2011/12 Capital Programme (as at February 2011).

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 (Health and Adult Social Care and Children's Services)
 - 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
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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 152 completed adaptations at an average cost of £9,000 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 2012

3 Project Costs

3.1 Financial Profile of spend

	Q1	Q2	Q3	Q4	Total (£)
Financial Year 1 2011/12	£0	£395,000	£395,000	£396,000	£1,186,000
Financial Year 2 2012/13	£182,000	£0	£0	£0	£182,000
Total					£1,368,000

Note: spend during Q1 of 2011/12 will be for grants approved during quarter 4 of 2010/11, rather than those approved during 2011/12. This is reflected in the February Capital Programme update, which includes two Disabled Facilities Grants projects as follows:

Agresso	PM connect	Short description	2010/11	2011/12	2012/13	Total
			£'000	£'000	£'000	£'000
G4090	1455	DFG 2010/11	1,278	534	Nil	1,812
G4410	1699	DFG 2011/12	Nil	1,186	182	1,368
		Total	1,278	1,720	182	3,180

The grants approved in 2011/12 (£1,368,000) will be funded as follows:

- Council Resources £325,000 being:
 - Right to Buy Receipts £448,000 (£266,000 in 2011/12 and £182,000 in 2012/13)
 - Contribution from Capital £148,000 (in 2011/12)
- Government Grant £772,000 (in 2011/12)

3.2 Financial Assessment

Not applicable in this case. Grants to the value of £1,368,000 will be approved during 2011/12. 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	44 grants completed	30 September 2011	Project Manager
2	88 grants completed	31 December 2011	Project Manager
3	132 grants completed	31 March 2012	Project Manager
4	152 grants completed	30 June 2012	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 Private Housing Capital Board (programme board)	Housing Capital and Project Board	Private 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"> Customer forum Questionnaire 	SCC principal officer Business support	Annual On completion of work		
Building contractors	<ul style="list-style-type: none"> Improve quality Ensure capacity maintained 	<ul style="list-style-type: none"> Forum or breakfast briefing 	Arranged by SCC	Six monthly		
Occupational therapists and Decent Homes	<ul style="list-style-type: none"> Service improvement Performance management 	<ul style="list-style-type: none"> Meeting (Adaptations Steering Group) 	Senior managers from respective Council Divisions	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
Failure of post home improvement agency transition arrangements to deliver service to agreed time and quality	Home Improvement Team Leader	Low	High	Ongoing	Regular monitoring meetings, evaluation of monitoring and performance data and customer feedback
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 Adaptations Steering Group
Insufficient local building contractors to deliver	Home Improvement Team Leader	Low	High	Ongoing	Contractors forum; increasing number and capacity of contractors; 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 Adaptations Steering Group
Structural changes in council or implementation of new service to deliver adaptations	Project Manager	Medium	Medium	2011/12	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

