

Date: 24 September 2009

TO: All members of the Executive
FOR ATTENDANCE

All other councillors
TO: FOR INFORMATION

Dear Sir/Madam

Your attendance is requested at a meeting of the **EXECUTIVE** to be held in the **GUILDHALL, ABINGDON** on **FRIDAY, 2ND OCTOBER, 2009** at **3.30 PM**.

Yours faithfully



Margaret Reed
Head of Legal and Democratic Services

Members are reminded of the provisions contained in the Code of Conduct adopted on 30 September 2007 and Standing Order 34 regarding the declaration of Personal and Prejudicial Interests.

A G E N D A

A large print version of this agenda is available. In addition any background papers referred to may be inspected by prior arrangement. Contact Carole Nicholl, Democratic Services Manager, on telephone number (01235) 540305 / carole.nicholl@whitehorsedc.gov.uk.

Please note that this meeting will be held in a wheelchair accessible venue. If you would like to attend and have any special access requirements, please let the Democratic Services Officers know beforehand and they will do their very best to meet your requirements.

Open to the Public including the Press

Map and Vision

(Page 5)

A map showing the location of the venue for this meeting is attached. A link to information about nearby car parking is http://www.whitehorsedc.gov.uk/transport/car_parking/default.asp

The Council's Vision is to build and safeguard a fair, open and compassionate community.

STANDING ITEMS

1. **Apologies for Absence**

To receive apologies for absence.

2. **Minutes**

To adopt and sign as a correct record the minutes of the Executive meeting held on 7 August 2009 (previously circulated).

3. **Declarations of Interest**

To receive any declarations of Personal or Personal and Prejudicial Interests in respect of items on the agenda for this meeting.

Any Member with a personal interest or a personal and prejudicial interest in accordance with the provisions of the Code of Conduct, in any matter to be considered at a meeting, must declare the existence and nature of that interest as soon as the interest becomes apparent in accordance with the provisions of the Code.

When a Member declares a personal and prejudicial interest he shall also state if he has a dispensation from the Standards Committee entitling him/her to speak, or speak and vote on the matter concerned.

Where any Member has declared a personal and prejudicial interest he shall withdraw from the room while the matter is under consideration unless

- (a) his/her disability to speak, or speak and vote on the matter has been removed by a dispensation granted by the Standards Committee, or
- (b) members of the public are allowed to make representations, give evidence or answer questions about the matter by statutory right or otherwise. If that is the case, the Member can also attend the meeting for that purpose. However, the Member must immediately leave the room once he/she has finished; or when the meeting decides he/she has finished whichever is the earlier and in any event the Member must leave the room for the duration of the debate on the item in which he/she has a personal and prejudicial interest.

4. **Urgent Business and Chair's Announcements**

To receive notification of any matters which the Chair determines should be considered as urgent business and the special circumstances which have made the matters urgent, and to receive any announcements from the Chair.

5. **Statements and Petitions from the Public Under Standing Order 32**

Any statements and/or petitions from the public under Standing Order 32 will be made or presented at the meeting.

6. **Questions from the Public Under Standing Order 32**

Any questions from members of the public under Standing Order 32 will be asked at the meeting.

7. **Financial Monitoring**

(Pages 6 - 12)

Appended to the agenda is a schedule of requests for virements. Table 1 sets out virement requests for approval by the Executive. Table 2 sets out virements approved under delegated authority by the Strategic Director.

Recommendation

that the virements set out in table 1 of the agenda report be approved.

OTHER MATTERS

8. **Community Grants**

(Pages 13 - 28)

To receive and consider report 50/09 of the Head of Corporate Strategy.

9. **Performance Monitoring Report: April to June 2009**

(Pages 29 - 46)

To receive and consider report 51/09 of the Head of HR, IT and Customer Services.

10. **Tender Evaluation Policy**

(Pages 47 - 56)

To receive and consider report 52/09 of the Head of HR, IT and Customer Services.

11. **Safeguarding Children and Vulnerable Adults Policy**

(Pages 57 - 96)

To receive and consider report 53/09 of the Head of Corporate Strategy.

12. **Exclusion of the Public, including the Press**

The Chair to move that in accordance with Section 100A(4) of the Local Government Act 1972, the public, including the press, be excluded from the remainder of the meeting to prevent the disclosure to them of exempt information, as defined in Section 100(I) and Part 1 of Schedule 12A, as amended, to the Act when the following items are considered:-

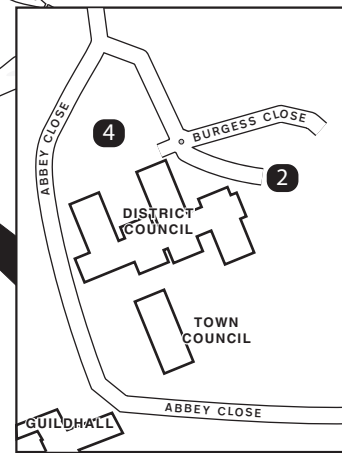
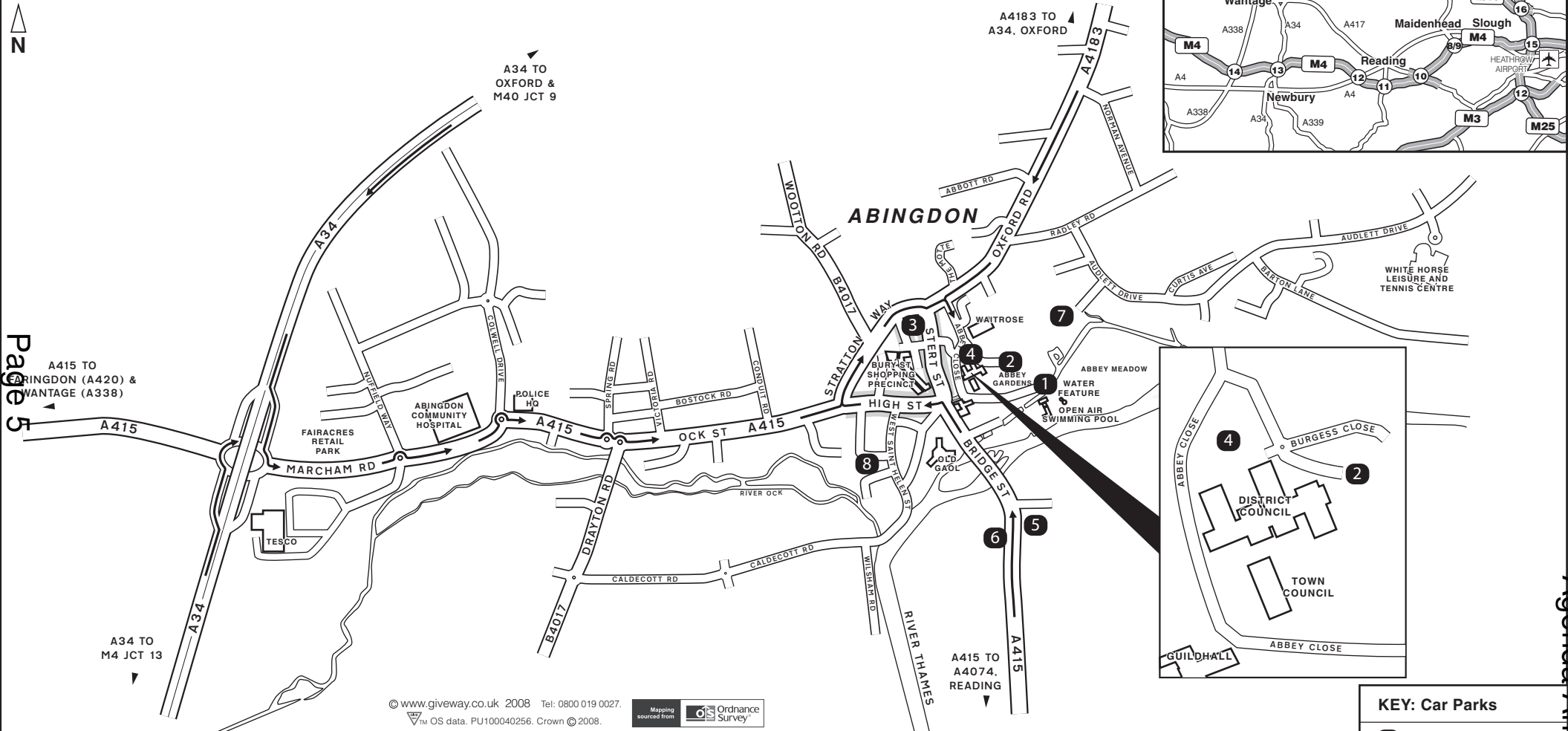
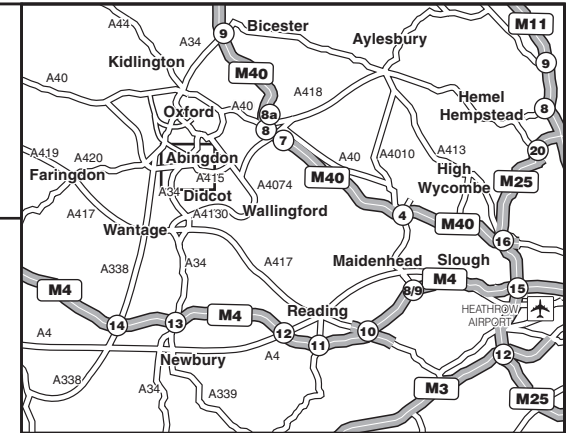
- Item 13 Restructuring the Council's Direct Service Organisation
(Category 2 - Information which is likely to reveal the identity of any individual.)
(Category 3 - Information relating to the financial or business affairs of any particular person (including the authority holding that information.)

EXEMPT INFORMATION UNDER SECTION 100A(4) OF THE LOCAL GOVERNMENT ACT 1972

KEY DECISIONS

13. **Restructuring the Council's Direct Service Organisation**

To receive and consider report 54/09 of the Head of Commercial Services. **REPORT TO FOLLOW**



KEY: Car Parks

1	Abbey Close
2	Cattle Market
3	Charter Multi-storey
4	Civic
5	Rye Farm
6	Hales Meadow
7	Audlett Drive
8	West St Helen Street

By rail – the nearest main line railway stations to Abingdon are either Didcot Parkway (seven miles) or Oxford (eight miles). Radley railway station is located on the main line between Oxford and Didcot and is three miles from Abingdon town centre. For details of train times visit www.nationalrail.co.uk or call 08457 484950

By bus – there are a number of bus routes serving Abingdon town centre. For details of services and timetables, visit Oxfordshire County Council's website at www.oxfordshire.gov.uk. Contact details for bus operators can be found on the travel information pages on our website www.whitehorsedc.gov.uk

Parking – details of car parks charges can be found on our website

Budget Virements requests received at 15 September 2009 for Executive Approval (or noting where approved under Delegated Powers)

Table 1 in this report identifies all budget virements that must be authorised by Executive and reported to Council. Table 2 lists those budget virements which have been approved under delegated powers and which are reported to Executive for information only.

Budget virements do not increase the Council's expenditure. The list includes a number of virements at a detailed level. This is to ensure that, wherever feasible, budget variances on day-to-day expenditure and income do not arise and that the real budget pressures and potential underspends can be correctly identified.

Key to Type

- 1 Within a subjective within a cost centre
- 2 Within a Cost Centre but across subjective headings
- 3 Within the cost centres of a service area
- 4 Across service areas
- 5 Over £10,000

Table 1 - Virements for Approval by Executive

Date	Account From	Cost Centre Code	Cost Centre Name	Account To	Cost Centre Code	Cost Centre Name	Virement Total £	Virement Percentage	Reason	Type
23/07/2009	4400	EP11	EH Admin	4512	EP11	EH Admin	2,920	17.5%	To provide additional budget to cover the cost of IDOX (Uniform) software licences as the current budget is insufficient and a budget for the out of hours overtime costs, to be achieved by reducing expenditure from other budgets within the service.	3
	4610	EP11	EH Admin	1011	EP11	EH Admin	500	3.0%		3
	4400	EP22	General Environment	1011	EP11	EH Admin	580	37.4%		3
	4400	EP25	Noise	4512	EP11	EH Admin	1,500	17.8%		3
27/07/2009	Various (see below)	DS31	Direct Services	Various	CP21	Car Park Operations	28,030	4.3%	From 1 August the post of Maintenance Technician (554035) has been transferred from Direct Services to Car Parks so the budgets relating to the post need to be moved also (see breakdown below).	5
27/07/2009	9109	CL81	Interim Waste Team	5010	CL81	Interim Waste Team	31,260	2.5%	To offset the unforeseen costs of shipping garden waste to Chipping Norton from additional income for diverting waste from landfill.	5
27/07/2009	4400	CL11	Waste Strategy	4400	CH41	Fit for the Future	2,000	12.0%	Commercial Services contribution to Fit for the Future consultation costs.	4
31/07/2009	2604	SR61	White Horse Leisure & Tennis Centre	2604	SR31	Wantage Leisure Centre	900	8.0%	Unforeseen tree felling is required at Wantage Leisure Centre due the trees restricting access to service vehicles on Willow Lane. A saving can be made on the grounds maintenance works at the WHLTC to cover the cost.	3
10/08/2009	4432	Various cost centres		4901	SB31	Contingency	38,860	n/a	Budgets for the estimated cost of public liability insurance are held across various cost centres. After the actual recharges are made a central adjustment is made to match the budgets to the actual costs, with the surplus budget being moved to Contingency.	5

Date	Account From	Cost Centre Code	Cost Centre Name	Account To	Cost Centre Code	Cost Centre Name	Cost Centre Code	Virement Total £	Virement Percentage	Reason	Type
10/08/2009	4999	SB31	Contingency	2701	Various cost centres			8,270	n/a	Budgets for the estimated cost of premises insurance are held across various cost centres. After the actual recharges are made a central adjustment is made to match the budgets to the actual costs, with the difference being moved from Contingency.	4
12/08/2009	Various employee accounts	Various cost centres		4901	SB31	Contingency		42,220	n/a	Salary budgets for the Senior Management Team were based on the structure prior to the new management structure being finalised. This virement transfers budget to cover actual costs of the new structure including payments to, and income from, South Oxfordshire. The difference is taken to Contingency as a corporate saving.	5
18/08/2009	1001/1003/1005/3010	Various cost centres		1001/1003/1005/3010	Various cost centres			281,380	n/a	Salary budgets for 2009/10 were based on the staff apportionments that existed prior to restructuring. As a result of the new service groups a number of staff moved between service groups and their salary allocations have been recalculated to reflect the new structure. This virement moves the salary budgets to the correct cost centres.	5
21/08/2009	4999	SB31	Contingency	2300	Various Cost Centres			1,380	n/a	Budgets for the estimated cost of business rates on Council property are held across various cost centres. After the actual recharges are made a central adjustment is made to match the budgets to the actual costs, with the surplus budget being moved to Contingency.	4
18/08/2009	4504	HE31	Regulation	3008	HE31	Regulation		380	27.5%	Following the reapportionment of staff between cost centres (as a result restructuring) it is expected that the budget for staff travel costs on this cost centre will be insufficient. This virement moves the projected saving on the telephone budget towards these costs.	2
21/08/2009	1100	EP11	Environmental Health	4503	EP21	Water Environment	250	250	6.1%	The Water Environment cost centre is receiving recharges for postage but there is currently no budget to cover this. This virement transfers small savings from agency staff, telephones and computer supplies in Environmental Health cost centre to meet postage costs.	3
	400						3				
	600						3				
21/08/2009	4400	EP23	Terrestrial Environment	4704	EP23	Terrestrial Environment	1,430	1,430	31.4%	Transfer of saving on Fees & Hired Services budget to meet the share of subscription costs to the Chartered Institute of Environmental Health and a budget pressure on Equipment Maintenance.	2
							600				2
21/08/2009	4505	HM11	Housing Register	4512	HM11	Housing Register		20,710	n/a	The budget for the costs of annual software licences is currently held against the account for purchase of hardware. This virement move the budget to the correct account.	5

Date	Account From	Cost Centre Code	Cost Centre Name	Account To	Cost Centre Code	Cost Centre Name	Virement Total £	Virement Percentage	Reason	Type
01/09/2009	2201	EP41	Food Safety	1500	EP41	Food Safety	200	60.6%	There is an expected saving on the budget for room hire and it is proposed to transfer this saving to cover the cost of employee subscriptions for which there is no budget.	2
01/09/2009	4504	EP41	Food Safety	4704	EP42	Health & Safety	460	6.6%	There is an expected saving on the budget for telephones and it is proposed to transfer this to cover a pressure on subscription expenditure.	3
01/09/2009	4007	EP32	Pest Control	9102	EP32	Pest Control	2,800	12.2%	Due to increased use of contractors there is expected to be a saving on the cost of materials. However a consequence of using contractors is a reduction in income from fees. This virement creates a matching reduction in expenditure and income.	2
				9307			3,200			
01/09/2009	5000	CH31	Performance Management	5000	RM01	Risk Management	16,150	100.0%	The budget for the recharge from South Oxfordshire for the Vale's contribution to the joint Risk Management Officers' post is held in CH31 in HR, IT & Customer Services. The function has now been moved to Corporate Strategy and a new cost centre set up. This virement moves the budget to the new cost centre.	5
03/09/2009	4999	SB31	Contingency	5000	RM01	Risk Management	4,000	n/a	The Risk Management Officer was due to spend 40% of her time working at the Vale but this has now been increased to 50% with the extra time being spent on business continuity matters. The additional budget for this is currently sat in Contingency and this virement moves it to the Risk Management cost centre.	4
09/09/2009	3001	SD01	Sports Development	4055	CH41	Fit for the Future	2,000	15.0%	Economy, Leisure & Property's contribution to Fit for the Future consultation costs to be met from a saving in vehicle costs.	4
09/09/2009	2201	SD01	Sports Development	4901	SD01	Sports Development	2,000	15.0%	A saving on the room hire budget as a contribution towards the corporate savings target.	2
09/09/2009	7002	CT11	Committee Management	1500	CT11	Committee Management	470	23.0%	There is currently no budget to cover the professional subscriptions of the Head of Democratic and the Democratic Services Officer but membership is a requirement for both posts. A saving can be made on the budget for internal recharges to cover this.	2
11/09/2009	7002	CP21	Car Parks Administration	9604	DS83	DSO - Minor Works	24,220	48.8%	One of the DSO Maintenance Technicians has been transferred to Car Parks. As a result a matching virement is needed to reduce the Car Parks expenditure recharge budget and the DSO income budget.	5
Total Virements							519,670			

Date	Account From	Cost Centre Code	Cost Centre Name	Account To	Cost Centre Code	Cost Centre Name	Virement Total £	Virement Percentage	Reason	Type
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Breakdown of Maintenance Technician post transfer

Account	Account Description	Amount
1001	Salary	17,770
1002	Overtime	1,670
1003	National Insurance	1,260
1005	Superannuation	4,170
3000	Vehicle servicing	330
3002	Vehicle licences	100
3003	Vehicle fuel	330
3009	Vehicle insurance	1,000
4007	Materials & consumables	1,330
4504	Telephones	70
		<u>28,030</u>

Summary	Virement Total £
Total Type 1	0
Total Type 2	11,080
Total Type 3	8,110
Total Type 4	17,650
Total Type 5	482,830
Total	519,670

Table 2 - Virements approved under Delegated Powers for noting

Date	Account From	Cost Centre Code	Cost Centre Name	Account To	Cost Centre Code	Cost Centre Name	Virement Total £	Virement Percentage	Reason	Type
23/07/2009	9305	EP25	Noise	4400	EP25	Noise	3,210	n/a	To create matching income and expenditure budgets for consultants' costs in a noise prosecution and reimbursement of these costs through the Magistrates Court.	1
23/07/2009	9305	HM31	Temporary Accommodation	4400	HM31	Temporary Accommodation	2,000	n/a	To create matching income and expenditure budgets for expenditure on Bailiff fees and recovery from the debtors concerned.	1
23/07/2009	9117	EP41	Food Safety	1100	EP41	Food Safety	4,900	n/a	To create matching income and expenditure budgets for income received from West Oxfordshire DC for the secondment of an Environmental Health Officer and expenditure on agency cover for the secondment period.	2
23/07/2009	9117	EP42	Health & Safety	1100	EP42	Health & Safety	4,900	n/a	Virement to cover the cost of filling a vacant post from April to July with agency staff and additional overtime to be funded from a saving in shift allowance.	2
24/07/2009	1207	CS11	CCTV	1100	CS11	CCTV	2,300	n/a		1
				1002			4,800			

Date	Account From	Cost Centre Code	Cost Centre Name	Account To	Cost Centre Code	Cost Centre Name	Virement Total £	Virement Percentage	Reason	Type	
27/07/2009	4400	CL81	Interim Waste Team	4003	CL81	Interim Waste Team	8,290	n/a	The budget for litter and dog waste bins currently sits in Fees & Hired Services but should be under Maintenance of equipment.	1	
21/08/2009	4003	EP22	General Environment	4704	EP22	General Environment	200	n/a	To cover the share of the subscription to the Chartered Institute for Environmental Health allocated to EP22, it is proposed to vire expected savings on equipment maintenance and books & publications to cover this.	1	
	4303						60	n/a		1	
03/08/2009	4307	CH11	Organisational Change	4055	CH41	Fit For The Future	700	0.3%	HR, IT & Customer Services contribution to the Fit For The Future consultation costs to be met from savings within Supplies & Services budgets in the Service Area.	3	
							4000	350		3.1%	3
							4307	350		1.0%	3
							4307	100		1.7%	3
							4503	200		3.5%	3
10/08/2009	4402	RS71	Accountancy SSP	4055	CH41	Fit For The Future	2,000	3.1%	Finance contribution to the Fit For The Future consultation costs to be met from a projected underspend on the budget for bank charges.	4	
							4302	300			5.0%
10/08/2009	4427	CM31	Communications Team	4055	CH41	Fit For The Future	2,000	0.7%	Corporate Strategy contribution to Fit For The Future consultation costs to be met from savings on the budget for advertising.	4	
10/08/2009	1100	HE21	Enabling (Private Sector Grants)	2201	HE21	Enabling (Private Sector Grants)	140	0.2%	Virement to cover the unbudgeted room hire costs for hosting the Development Focus event using expected savings in agency costs.	2	
10/08/2009	4504	HE11	Housing Provision (Enabling)	4307	HE11	Housing Provision (Enabling)	400	n/a	There is no budget in HE11 to cover stationery costs so this virement reallocates a portion of the telephone budget to provide a budget for stationery.	1	
10/08/2009	4000	HM31	Temporary Accommodation	2601	HM31	Temporary Accommodation	900	0.3%	The cost of contract cleaning for the Council's temporary accommodation is expected to exceed the current budget. This virement transfers budget from Equipment Purchase to cover the expected costs.	2	

Date	Account From	Cost Centre Code	Cost Centre Name	Account To	Cost Centre Code	Cost Centre Name	Virement Total £	Virement Percentage	Reason	Type
10/08/2009	3009	Various		4901	SB31	Contingency	8,210	n/a	Budgets for the estimated cost of vehicle insurance are held across various cost centres. After the actual recharges are made a central adjustment is made to match the budgets to the actual costs, with the surplus budget being moved to Contingency.	4
14/08/2009	1001	HM11	Housing Register	1100	HM11	Housing Register	180	n/a	The 2009/10 budgets on HM11 and HM21 include the cost of maternity cover. It was assumed that cover would be directly employed but cover was initially provided by agency staff. This virement reappropriates the budget to reflect this situation.	1
	1001	HM21	Homelessness				7,970	n/a		2
	1003	HM21	Homelessness	1003	HM11	Housing Register	200	n/a		1
14/08/2009	4400	HM11	Housing Register	4503	HM11	Housing Register	5,600	n/a	The existing budget allocation for postage in the Housing Group is insufficient to cover the expected costs (based on previous years and expenditure to date). This virement transfers savings on the Fees & Hired Services budget to cover the postage costs.	1
21/08/2009	4000			4400	EP21	Water Environment	100		Small savings are expected on Equipment Purchase, Maintenance of Equipment and Subsistence. This virement transfers these savings towards the expected shortfall in budget to cover water sampling costs.	1
	4003	EP21	Water Environment				100	n/a		1
	4609						30			1
24/08/2009		PS11	Land Drainage				670	n/a	The budgets for salary costs and car allowances for the Property Team were amalgamated into one cost centre for 2009/10 but the budget for travel expenses was not. As the coding for travel expenses follows that of the salary, the travel expenses budget needs to be amalgamated also.	3
		PS21	Facilities Management				1,800	n/a		3
	3008	PS61	Operational Property	3008	PS31	Estates Management	600	n/a		3
		PS71	Non-Operational Property				670	n/a		3
27/08/2009	4066	RS73	Revenues & Benefits Client Team	4402	RS73	Revenues & Benefits Client Team	700	n/a	A projection of current costs for Girobank charges suggests that the budget is insufficient. This virement transfers expected savings on the Other Expenses budget towards these costs.	1
27/08/2009	4704	RS73	Revenues & Benefits Client Team	3008	RS73	Revenues & Benefits Client Team	580	2.8%	Staff travel costs are running above budget as a result of one off costs incurred to facilitate a member of staff getting to work following a personal accident. Savings are expected to be made on the cost of subscriptions to cover these costs.	2
27/08/2009	4512	RS51	Benefit Fraud	4609	RS51	Benefit Fraud	100	n/a	Virement to transfer savings on the software licence budget to cover shortfall in budget for subsistence	1
09/09/2009	1101	EL21	Electoral Registration	4055	CH41	Fit For The Future	2,000	3.0%	Legal & Democratic contribution to Fit For The Future consultation costs to be met from savings on the budget for casual staff	4

Date	Account From	Cost Centre Code	Cost Centre Name	Account To	Cost Centre Code	Cost Centre Name	Virement Total £	Virement Percentage	Reason	Type
09/09/2009	1212	CT21	Member Services	4655	LG11	Legal Services	420	4.4%	Virement to cover the costs of a consultant to help achieve Lexcel Quality Accreditation for Legal Services	3
	4609	CT21					400			
	1101	EL21	Electoral Registration				630	0.9%		3
	4400	CT51	Members Allowances				550	2.7%		3
	4505	CT51					2,000			
09/09/2009	9027	RS32	Business Rates	4066	RS32	Business Rates	14,850	n/a	The Council has received funding from the DCLG for the Business Rates Deferral Scheme. The implementation costs will be paid to Capita and this virement creates a matching income and expenditure budget for this.	2
10/09/2009	1001/1003/1005	EP11	Environmental Health	1001/1003/1005	CH11	Organisational Change	6,280	4.8%	The budget for a Technical Admin Assistant post is moving from Environmental Health to Organisational Change CH11). The post is 0.5 fte and 0.4 fte will transfer to CH11 with the balance being offered as a budget saving.	4
				1201	EP11	Environmental Health	1,560			1
10/09/2009	9109	HM21	Homelessness	4066	HM21	Homelessness	7,000	n/a	The budget for Homelessness includes a net budget to meet the cost of rent deposits. Good practice dictates that the gross expenditure and gross income should be in separate budgets. This virement creates a matching expenditure and income budget.	2
10/09/2009	4504	CD31	Health Development	1001	CD31	Health Development	140	4.6%	Use of projected savings on telephone costs to offset the unbudgeted cost of back pay to a former employee.	2
11/09/2009	2601	CP21	Car Parks Administration	4501	CP31	Excess Charges	2,500	1.4%	The handheld units and printers used by the Patrolers are becoming worn and unreliable but are expensive to repair. There is insufficient budget to replace them so this virement transfers a saving on contract cleaning to make up the shortfall in the cost of replacements.	3
Total Virements							103,940			

Summary	
Total Type 1	29,830
Total Type 2	41,380
Total Type 3	12,240
Total Type 4	20,490
Total Type 5	0
Total	103,940

Executive



2 October 2009

Report of **Head of Corporate Strategy**

Report No. 50/09

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Wards Affected
All

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Community Grants

Recommendations

- (a) that the Executive notes the remaining budget for 2009/10 for Vale-wide grants*
- (b) that the Executive agrees that the apportioning of the budget into different agendas is no longer required when the Executive or an area committee is considering or determining community grant applications*
- (c) that the Executive agrees a reduction of £ 15,000 in the council's community grants budget for 2009/10 that is apportioned between the Executive and area committees*
- (d) that the Executive considers and determines the grant applications that have been received and appraised*

1. Purpose of report

- 1.1 The purpose of this report is to set out the budget position for the Executive in respect of community grants and to invite Executive to consider and determine the grant applications received. The Executive currently considers grant applications twice each year, usually in April and October.

2. Relationship with Corporate Plan

- 2.1 The award of grants to community and voluntary sector groups helps to deliver actions set out in the Vale's Sustainable Community Strategy, which aims to improve the quality of life for everyone in the Vale.

3. The community grants budget

- 3.1 The current budget position for Executive community grants in 2009/10 is that £10,250 has been allocated and £11,464 remains to be allocated.
- 3.2 In the past the budget has been apportioned into different agendas and a discretionary proportion in order to guide Executive and area committees in the allocation of the budget. However Executive should note that the community grants scheme is a discretionary scheme and Executive and area committees are advised to allocate the budget to support the Corporate Plan and Sustainable Community Strategy. This report therefore includes a recommendation that the apportioning of the budget into different agendas is no longer required.
- 3.3 The Executive is aware that the council is facing a difficult financial situation. Executive should be aware that budget monitoring of the cost centre from which community grants are funded has identified a deficit of £ 12,000 which there is still time to mitigate. This deficit has arisen due to a commitment to increase grant payments to Abingdon Citizens Advice Bureau and Wantage Independent Advice Centre by the annual rate of inflation.
- 3.4 This report therefore includes a recommendation that the community grant budget is reduced by £15,000 to address the deficit of £12,000 with an allowance for any unforeseen costs.
- 3.5 It is proposed that the budget reduction is apportioned between the Executive and the area committees in the same way that the annual community grants budget is apportioned. The Executive receives 21 per cent of the budget and the remainder is apportioned according to the percentage of the electorate in each area on 1 January 2009. Therefore the budget reduction is apportioned as follows:

	Reduction	Remaining
Executive	£3,150	£8,314
Abingdon area committee	£3,786	£10,830
North East area committee	£ 2,710	£13,670
South East area committee	£3,264	£8,531
West area committee	£2,090	£413
Total	£15,000	£41,758

- 3.6 If the Executive agrees to the budget reduction and the proposed apportionment of the reduction, Executive should note that the remaining Executive community grants budget for 2009/10 will be £8,314.

4. New grant applications

- 4.1 Applications totalling £9,754 have been received from the following applicants and narratives providing additional details are in Appendix A:
- **KEEN (Kids Enjoy Exercise Now), £3,000**, towards running costs of providing sport and recreation activities for children and young people with special needs
 - **OCVA (Oxfordshire Community and Voluntary Action), £2,500**, towards running costs of the Volunteer Centre and expansion of its work in the Vale
 - **MS (Multiple Sclerosis) Therapy Centre, £1,471**, towards running costs of providing support to MS sufferers
 - **My Life My Choice, £2,783**, towards running costs of four self-advocacy groups for people with learning difficulties in the Vale

5. Options

5.1 There are no alternative options to the consideration and determination of the grant applications received.

6. Financial, legal and any other implications

6.1 Grant awards, if any, will be allocated from an Executive community grants budget and prior to determination Executive will be advised of the amount available to allocate.

7. Conclusion

7.1 Executive is requested to consider and determine the grant applications.

Background Papers

Community grant applications and supporting documents

Appendix:

Narratives summarising the applications received

APPENDIX A

APPLICANT - KIDS ENJOY EXERCISE NOW (KEEN)

Based in South Oxford Community Centre, Oxford

Years in existence

21

Type of organisation

A registered charity since 1988

Project, service or event details

KEEN is a student-run organisation, which is seeking a grant towards the running costs of providing sporting and recreational activities for children and young people with special needs. These include a Saturday sports club, a drama, music and craft workshop, and social clubs for 11-17 year olds and over 18s. They also offer special events and holiday activities.

Volunteers, who are students from the University of Oxford, Oxford Brookes University and local young people, provide one-to-one support for the children and young people who attend the activities. The type of activity offered is in response to members' suggestions.

KEEN aims to provide a safe and challenging environment for the young people. Users are encouraged to support themselves. Keen allows young people with special needs to develop through sport, recreation and play. Sessions focus on promoting good health, social skills and independence. Feedback from associated professionals, namely teachers, social workers, Out of School Liaison Officers and parents, shows that KEEN provides activities that they cannot find elsewhere and are very much appreciated.

There is a huge amount of local support for KEEN, even from people who are not connected with it, as evidenced by the funds raised by groups such as HM Prison Grendon B wing who have donated their family day raffle takings over the last two years.

There are four projects running in the Vale which have some similarity with particular aspects of KEEN's work, although in each case the range of activities offered and the age range and geographical area covered are far more limited.

Supports the following Vale community strategy priorities:

Healthier communities	X
Improving quality of life for older people	
Safer communities	
Fostering a greater sense of community	
A good understanding of town and parish priorities	
Involving young people	X
Helping those without cars to access jobs and services	
Affordable homes	
Good quality homes	
Access to good quality green spaces, sport, cultural and leisure facilities	X
Addressing economic weaknesses	
Building on our economic strengths	
Maintaining and enhancing the health and vitality of the Vale's market town centres	
A low carbon Vale	
Living with extreme weather conditions	
Using resources wisely	
Reducing waste and increasing recycling	
A high quality natural and historic environment	

Area of the Vale covered

Although KEEN runs the activities in Oxford, they are open to all Vale residents, and about 15 per cent of the 145 regular members/users come from within the Vale. The majority of users come from Abingdon, although several are from smaller villages such as Rowstock, and from Faringdon and Wantage.

Estimate of number of people the project/service/event will benefit in the Vale

Twenty seven male and six female, mainly within the 6-20 age bracket.

Charge to public for using the project/service/event?

KEEN's activities are free to members and volunteers except for the over 18s social club, where members are asked for a £3 contribution per session or £10 for daytrips.

Total estimated project cost

£62,240 including VAT (VAT cannot be reclaimed)

Balances

£73,905 at 31 August 2008. KEEN holds sufficient reserves to cover the coordinator's salary and running costs for the current year and one future year. They use reserves to fund KEEN's activities when there is a funding shortfall, as is the position this year.

Running costs

£59,050, year ending 31 August 2008.

Own contribution

£50,999 of fund raising achieved this year. This includes funding from charitable trusts, the University of Oxford colleges, local businesses, donations from individuals and from events run by the University of Oxford.

Volunteers run all sessions. Two hundred and eighty students and young people volunteered with KEEN over the last year.

Grant requested

£3,000

Previous awards (Vale)

None

Parish council support

KEEN are writing to all parish councils in the Vale to ask for support.

Other support

There is an ongoing grant from Oxford City Council and South Oxfordshire District Council until at least 2009/2010, amounting to £7,025 per annum. KEEN is investigating the possibility of similar support from West Oxfordshire District Council and Cherwell District Council and are applying to parish councils throughout the Vale.

Children in Need has funded the cost of the coordinator's salary for the last three years. KEEN is seeking a continuation of this funding.

New College, University of Oxford provides its sports ground and facilities free of charge for Saturday afternoon sport sessions.

Officer recommendation

Recommend support?	Yes
Amount recommended	To be determined by Executive
Reasons:	
Meets community grant criteria?	Yes
Supports corporate priorities?	Value for money services (EB1)
Supports community strategy?	Healthier communities; involving young people
Remaining budget	£11,464
Remaining committee meetings	None
Recommended conditions to grant award	Standard conditions
Other comments	None

APPLICANT - OXFORDSHIRE COMMUNITY AND VOLUNTARY ACTION (OCVA)

Based in Oxford

Years in existence

76

Type of organisation

Registered charity

Project, service or event details

OCVA is seeking a grant towards running costs for its Volunteer Centre, which currently offers 159 volunteering opportunities in the Vale and provides best practice advice to local organisations.

OCVA is planning to expand its work in the Vale through two Vale-specific events in 2009/10. One of these is a big information event in Abingdon to support local voluntary organisations across the Vale and help them to recruit volunteers. OCVA will also provide ongoing support to the organisations after the event. The second event being planned is a business and voluntary sector networking event to enable the further development of Responsible Oxfordshire Business Involvement Network (ROBIN) in the Vale, the specific location is still to be determined. This aims to bring together local businesses and voluntary organisations for mutual benefit, especially through encouraging employee volunteering.

The Volunteer Centre believes that the rise in unemployment presents a good opportunity to encourage local people to get involved in volunteering. It

enables them to build up skills and confidence while seeking work as well providing the opportunity for them to give back to their community.

Supporting volunteering contributes to the priorities of the Vale Sustainable Community Strategy and is part of the Local Area Agreement at a county level. OCVA continues to support the Volunteer Information Points in Abingdon, Wantage and Faringdon by training staff in guiding individuals as well as providing publicity leaflets as required.

However, OCVA member organisations in the Vale report that they have problems recruiting and retaining volunteers, whilst members of the public report their frustration at having no obvious place to go in the Vale to offer their services and discuss what will suit them. The two proposed events and the ongoing support, which OCVA will provide to businesses, voluntary organisations and volunteers, will go some way to addressing these problems and frustrations.

Supports the following Vale community strategy priorities

Healthier communities	X
Improving quality of life for older people	X
Safer communities	X
Fostering a greater sense of community	X
A good understanding of town and parish priorities	
Involving young people	X
Helping those without cars to access jobs and services	
Affordable homes	
Good quality homes	
Access to good quality green spaces, sport, cultural and leisure facilities	
Addressing economic weaknesses	
Building on our economic strengths	X
Maintaining and enhancing the health and vitality of the Vale's market town centres	X
A low carbon Vale	
Living with extreme weather conditions	
Using resources wisely	
Reducing waste and increasing recycling	
A high quality natural and historic environment	

Area of the Vale covered: Vale-wide

Estimate of number of people the project/service/event will benefit:

Potentially the whole population of the Vale could benefit from either volunteering or being supported by a volunteer. The OCVA directory lists 228 voluntary groups working in the Vale. OCVA supports all these groups with recruitment and retention of volunteers, which benefits thousands of users of

their services. Last financial year 105 people from the Vale applied for volunteering roles across the county.

Charge to public for using the project/service/event?

OCVA expect volunteer-involving organisations wishing to advertise opportunities to be members of OCVA, which costs £25/£75 a year, depending on the income of the organisation (and is free for groups with an income of less than £5,000). They will also charge organisations a £10 one off fee to register with the Volunteer Centre.

Total estimated project cost

£53,510 (excl VAT); £53,859 (including VAT) – annual running costs of the Volunteer Centre operating countywide. The VAT element is minimal because the major proportion of the cost is not subject to VAT. VAT can be reclaimed.

Balances

£381,344 – Total OCVA as at 31 March 2008

Running costs of the volunteer centre

£53,510 per annum

Own Contribution

Share of general OCVA funding – see below

Grant requested

£2,500

Previous awards (Vale)

- 2007-2008 - £2,500
- 2006-2007 - £2,500
- 2005-2006 - £2,500

Parish council support

OCVA has sent letters to the parish councils to request funding but has not received any responses to date.

Other support:

- £49,230 – Oxfordshire County Council (this is a portion of a larger OCVA contract with Oxfordshire County Council, which is allocated for the Volunteer Centre)
- £1,530 – South Oxfordshire District Council

Officer recommendation

Recommend support?	Yes
Amount recommended	to be determined by Executive
Reasons:	
Meets community grant criteria?	Yes
Supports corporate priorities?	Value for money services (EB1)
Supports community strategy?	Fostering a greater sense of community
Remaining budget	£11,464
Remaining committee meetings	None
Recommended conditions to grant award	Standard conditions
Other comments	None

APPLICANT – THE MS THERAPY CENTRE (OXFORD) LIMITED

Based at Milton Park, Abingdon.

Years in existence

25

Type of organisation

Registered charity

Project, service or event details

The MS Therapy Centre is principally a self-help group for people suffering with multiple sclerosis for which there is no cure. The Centre provides friendship, understanding and a positive outlook on life as well as a range of therapies.

The Centre is seeking a grant towards its running costs to provide support services to MS sufferers. In particular, it is seeking to purchase a laptop, projector, pull-up screen and software to deliver powerpoint presentations to various groups, as well as to produce a leaflet/donation form to hand out to those who express an interest in supporting the Centre. This will enable the Centre to promote its services to potential users as well as potential

supporters or those providing funding. In addition, the Centre is keen to replace its fridge, which is 25 years old.

The Centre is funded solely by voluntary contributions and through fundraising events. Donations to the Centre are decreasing as the credit crunch tightens so it is more important than ever for the Centre to raise its profile to attract new donors.

The MS Therapy Centre marks its 25th anniversary in 2009. It has been saving for years to make this a special year. They raised £18,000, earmarked to spend on fixtures and fittings to make the use of the hyperbaric oxygen more accessible and more comfortable for MS sufferers.

Supports the following Vale community strategy priorities:

Healthier communities	X
Improving quality of life for older people	X
Safer communities	
Fostering a greater sense of community	
A good understanding of town and parish priorities	
Involving young people	
Helping those without cars to access jobs and services	
Affordable homes	
Good quality homes	
Access to good quality green spaces, sport, cultural and leisure facilities	
Addressing economic weaknesses	
Building on our economic strengths	
Maintaining and enhancing the health and vitality of the Vale's market town centres	
A low carbon Vale	
Living with extreme weather conditions	
Using resources wisely	
Reducing waste and increasing recycling	
A high quality natural and historic environment	

Area of the Vale covered

Vale-wide.

Estimate of number of people the project/service/event will benefit:

Twenty two MS sufferers from the Vale currently use the centre. However, there are up to 1,000 people in the area who have MS and could benefit from the Centre's services.

Charge to public for using the project/service/event?

There are suggested donations for the services available from the Centre including for physiotherapy, podiatry and massage. There is also an annual membership fee of £15. The suggested donations are subsidised for people on low income or benefits. The Centre estimates that five per cent of its users are on income support, and 80 per cent are in receipt of incapacity or disability benefit.

Total estimated project cost

£35,917 incl VAT; £35,723 excl VAT overall running costs, of which £1,471 incl VAT; £1,277 excl VAT is for new equipment and printing (VAT cannot be reclaimed)

Balances

£50,258 as at 31 December 2008 including £18,000 earmarked for expenditure outlined above.

Running costs

£34,789 for the year ending 31 December 2008

Own contribution

The Centre has identified all its own funds for other projects as described above.

Grant requested

£1,471

Previous awards (Vale)

£500 towards an electronic door opener in 2005/6.

Parish council support

The Centre has written to parish councils and is awaiting responses.

Other support

- applied to the MS Society – awaiting outcome
- grant of £2,632 from Gannett Foundation for a new door in June 2009
- £250 from Co-op towards food for a quiz night on 3 October 2009
- Hilary Burr from OCVA visited on 27 August 2009 to provide advice on other funding

- one-off fund raising events such as marathons, Snowdon challenge, Rotary Club sponsored walk etc. £2,501 has been raised between January and June 2009, with a further £2,313 received from donations during the period
- no existing/ongoing county, district or parish council funding is currently received
- ongoing Gift Aid

Officer recommendation

Recommend support?	Yes
Amount recommended	Executive to determine
Reasons:	
Meets community grants criteria?	Yes
Supports corporate priorities?	Value for money (EB1)
Supports Community Strategy?	Healthier communities, improving quality of life for older people
Remaining budget	£11,464
Remaining committee meetings	None
Recommended conditions to grant award	Standard conditions
Other comments	None

(IV) APPLICANT

MY LIFE MY CHOICE

Based in Oxford

Years in existence:

12

Type of organisation:

Registered charity

Project, service or event details

My Life My Choice is the only independent self-advocacy organisation run by and for people with learning difficulties in Oxfordshire. It is seeking a grant towards the costs of running self-advocacy groups in Abingdon and Wantage, as well as the Women's Group and Men's Group that are also based in Abingdon. The organisation covers the cost of transport for members so

everyone in the Vale can access the meetings and events held by these groups.

These groups help support the social inclusion of people with learning difficulties into the community. In the groups people talk about their rights, including access to services, health, housing, leisure, transport, leaning and social care. It gives the members a means to support each other in making decisions, and empowers members to make decisions for themselves. Without the groups, members feel their risk of isolation and exclusion would increase.

Local and national statistics show that people with learning difficulties have low social and economic status. The support offered by My Life My Choice helps to address this issue and helps people with learning difficulties to lead healthy and more independent lives.

My Life My Choice is seeking a grant that is equivalent to 5 per cent of the costs of running the four groups in the Vale.

Supports the following Vale community strategy priorities:

Healthier communities	X
Improving quality of life for older people	X
Safer communities	
Fostering a greater sense of community	X
A good understanding of town and parish priorities	
Involving young people	
Helping those without cars to access jobs and services	
Affordable homes	
Good quality homes	
Access to good quality green spaces, sport, cultural and leisure facilities	
Addressing economic weaknesses	
Building on our economic strengths	
Maintaining and enhancing the health and vitality of the Vale's market town centres	
A low carbon Vale	
Living with extreme weather conditions	
Using resources wisely	
Reducing waste and increasing recycling	
A high quality natural and historic environment	

Area of the Vale covered

Vale-wide

Estimate of number of people the project/service/event will benefit

Thirty two males and 33 females, across a broad age range of 16-60+

Charge to public for using the project/service/event?

None

Total estimated project cost

£10,663.32 including VAT; £10,096.79 excluding VAT (VAT cannot be reclaimed)

Balances

£47,181 for the entire My Life My Choice Association as at 31 March 2008

Running costs

£193,844 for the entire My Life My Choice Association year ending 31 March 2008 of which £127,166 is restricted funding

Own contribution

Fundraising to cover the remaining 95 per cent of costs of running Vale groups

Grant requested

£2,783

Previous awards (Vale)

£1,000 for the last four financial years

Parish council support

My Life My Choice are applying to Abingdon and Wantage Town Councils for £300 each

Other support

My Life My Choice receives funding from Oxfordshire County Council, Oxfordshire PCT, Charitable Funds and the Leaning Disabilities Development Fund. The organisation also receives support in kind from the Said Business School (for meetings) and from the Oxfordshire Partnership Board (for travel).

Officer recommendation

Recommend support?	Yes
Amount recommended	To be determined by Executive
Reasons:	
Meets community grant criteria?	Yes
Supports corporate priorities?	Value for money services (EB1)
Supports community strategy?	Healthier communities, fostering a greater sense of community
Remaining budget	£11,464
Remaining committee meetings	None
Recommended conditions to grant award	Standard conditions
Other comments	None

Executive



2 October 2009

Report of **Principal Performance Management Officer**

Report No. 51/09

Author: **Robert Woodside**

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Wards Affected
All

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Performance Monitoring Report – April to June 2009

Purpose of report

1. This report shows the council's performance in quarter one against National Indicators (NIs), Local Area Agreement targets (LAAs) and Local Performance Targets (LPTs) which have been agreed and included in 2009/10 service plans. It indicates whether we expect to achieve our targets by the year end.

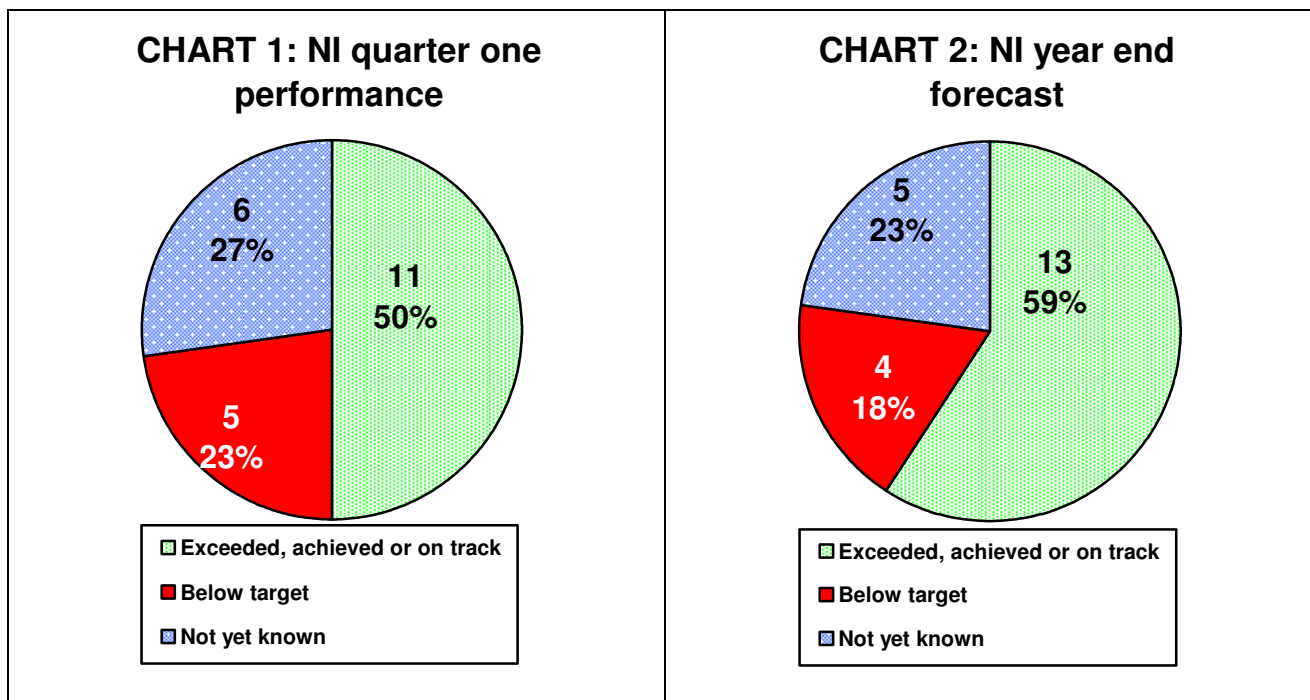
What this report contains

2. **Part one** of this report shows how we have performed against **22 National Indicators (NIs)** that apply to district councils. Ten of these are **Local Area Agreement (LAA)** targets. The local area agreement is a three year agreement with government which sets out the top priorities for Oxfordshire. The LAA targets are specially selected national indicators that reflect the priorities of all partners within our county, including district councils and local strategic partnerships.
3. **Part two** of this report shows how we have performed against **41 Local Performance Targets (LPTs)**. These are targets we set ourselves and are included in 2009/10 service plans.
4. **Part 3** is a summary of sickness and turnover. This is the first report based on the new management structure and it has not been possible to compare performance on a service area basis with 2008/09. However the overall results for the quarter, and against the 2008/09 result, have been compared.
5. **Part 4** is a financial commentary. As some time has passed since the end of the first quarter this section reports on the position to the end of July 2009. It includes a short narrative for each service area and a summary table.

PART ONE – NATIONAL INDICATORS (NI) AND LOCAL AREA AGREEMENT (LAA) TARGETS

All NI targets

6. Chart one below summarises our quarter one (April to June 2009) performance against 22 NI targets. This analysis excludes NI targets which can only be measured and reported on at year end. The performance of individual NI targets can be viewed in annex 1.
7. Chart two shows our current prediction of whether NIs are on track to meet their year end target at 31 March 2010.



LAA targets

8. Oxfordshire councils have agreed 35 priority targets to be delivered across Oxfordshire under a local area agreement with government. Of these, 18 are measured directly at district level. LAA targets are a subset of the NIs reported above. Full details of quarter 1 performance are included in annex 1.
9. Chart three below summarises our quarter one (April to June 2009) performance against 10 of the district level LAA targets – the remaining targets can only be measured and reported at the year end.
10. Chart four shows our current prediction of whether LAA targets are on track to meet their year end target at 31 March 2010.

CHART 3: LAA quarter one performance

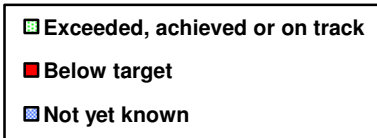
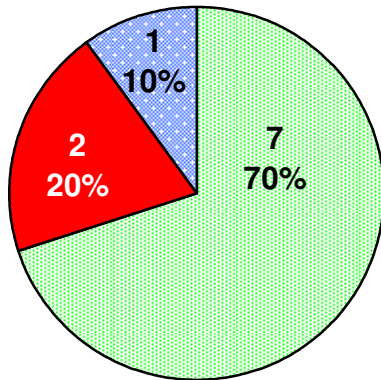
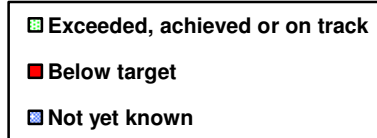
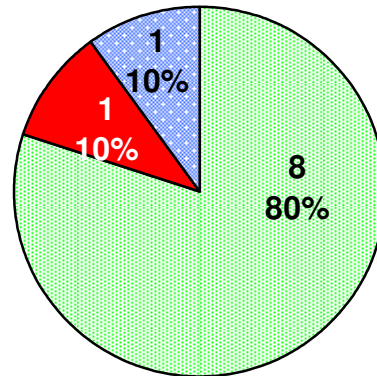


CHART 4: LAA year end forecast



PART TWO – LOCAL PERFORMANCE TARGETS (LPTS)

Quarter one performance

11. Chart five below summarises our quarter one (April to June 2009) performance against 40 local performance targets (LPTs). Full details of quarter 1 performance are included in annex 2. This analysis excludes LPTs which can only be measured and reported on at the year end.
12. Chart six shows our current prediction of whether LPTs are on track to meet their year end target at 31 March 2010.

CHART 5: LPT quarter one performance

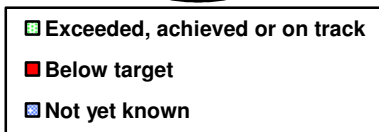
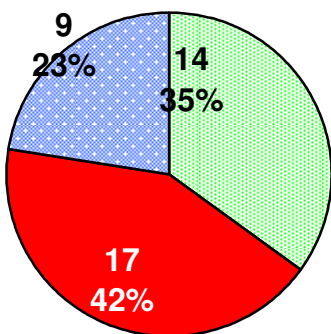
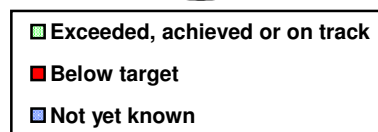
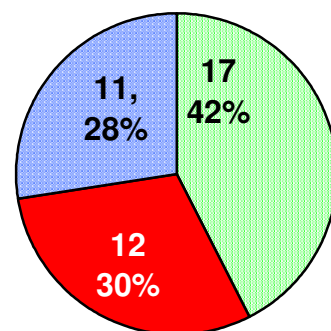


CHART 6: LPT year end forecast



PART THREE – SUMMARY OF SICKNESS AND TURNOVER

This is the first report based on the new management structure and it has not been possible to compare performance on a service area basis with 2008/09. However, total levels of sickness in the first quarter (1.17 days per full time equivalent FTE) are significantly lower than the levels in the first quarter of 2008/09 (1.94 days per FTE) and the final quarter of 2008/09 (1.28 days per FTE). The overall level of sickness for 2008/09 was 7.27 days per FTE.

The turnover levels are also significantly lower in the first quarter (4 leavers) than the first quarter 2008/09 (8 leavers). The overall turnover rate for 2008/09 was 7.58% which was 21 leavers.

SICKNESS SUMMARY & LEAVERS BY SERVICE AREA APRIL TO JUNE 2009

Service Area	Total Headcount	Total No. FTE	No. of days sickness Apr - Jun 2009	No. of working days lost per FTE	Total leavers	Turnover %
Commercial Services	40	36.1	53.00	1.47	2	5.00%
Corporate Strategy	23	19.9	21.00	1.06		0.00%
Economy, Leisure & Property	30	24.7	35.00	1.42		0.00%
Finance	18	17	16.00	0.94		0.00%
Health & Housing	36	33.9	12.00	0.35		0.00%
HR, IT & Customer Services	54	44.6	52.50	1.18	1	1.85%
Legal & Democratic Services	20	19.4	3.50	0.18		0.00%
Planning	37	33.7	80.00	2.37	1	2.70%
Strategic Directors Office	4	4		0.00		0.00%
TOTAL/AVERAGE	262	233.3	273.00	1.17	4	1.53%

PART FOUR – FINANCIAL COMMENTARY

Budget monitoring 1st April – 31st July 2009

Introduction

Budget monitoring for the first quarter of 2009/10 indicated that the Council was facing budget pressures causing a predicted year-end overspend of £621,000 on account of some significant reductions in income for the Direct Services Organisation (DSO), parking, planning fees and investment interest income. Ordinarily this would be cause for concern, but this year it is particularly worrying given the recently reported shortfall in predicted revenue balances. Management team has instructed officers to achieve a £700,000 net budget under spend by the year-end in order to replenish balances. The quarter-end budget monitoring report therefore indicated that the Council was off track by £1.3 million. Management team requested all heads of service to identify ways to bring the budget back into line with the planned underspend.

Update as at end of July 2009

Since that time a number of significant adjustments have been identified which have helped to bring the budget back closer into line and have reduced the potential

overspend to £178,000. The table below lists the budget pressures and savings for each of the services.

The key changes to the Council's predicted outturn position have been as follows:

1. The award for inflation allowed for in the budget was 2.25%. The actual award was 1.00% (£100,000)
2. Income from the development of 6 mobile home plots (£230,000)
3. Saving on the costs of SMT restructuring (£142,000)

It is these significant adjustments that have helped to bring the Council's overall budget pressure downward. But they are one-off 'windfall' savings (with the exception of 1. above which has a small on-going impact on the medium term plan) which are not adequate to correct the budget. Management Team and Heads of Service will consider urgent actions to achieve the planned underspend. The Executive will be consulted on any necessary cost reductions which are likely to adversely impact on corporate priorities, service targets or council policies.

Analysis of budget monitoring to end July 2009	Under budget	Over budget
Commercial services	£000	£000
Salary savings	(53)	
Waste - additional transport costs garden waste		59
Waste - reduced bulky waste collection income (net of costs)		7
Waste - increased income for waste diverted from landfill	(39)	
Waste - increased income from car park cleaning and reduction in recharges for interim waste team	(13)	
Procurement hub savings delay in programme - City, West, South & Vale		65
Direct Services Organisation income shortfall		96
Parking income shortfall		72
Loss of transitional business rate relief on car parks		17
Hold on non-essential expenditure	(7)	
total	(112)	316
Corporate strategy		
Printing costs		67
Consultation costs - 2 citizens panels	(13)	
Advertising costs	(31)	
Partnership grants budget set without inflation increase		12
CCTV maintenance costs	(36)	
CCTV income to be offset by under-spent expenditure budgets above		37
Vale Housing Association income for community safety	(5)	
No vacancy savings on salary costs - full establishment		9
total	(85)	125
Economy, Leisure and Property		
Economic development & arts development salary underspends	(43)	
Civic Hall increased income (net of increased costs)	(4)	
Halls bar income (net of costs)	(9)	

Increased utility costs for leisure centres + shortfall on contract increase £8,000		73
Reduction in salary costs less redundancy and pension costs of re-organisation of Business Support Unit (BSU)	(50)	
Reduction in recharge income to reprographics resulting from formation of BSU		139
Reversal of credit note re previous year invoice raised		10
Other miscellaneous	(1)	
total	(107)	222
Finance		
Housing benefits - net increase in costs		3
Council Tax benefits - net increase in costs being queried at present		41
Possible shortfall in Capita contribution to housing benefit audit costs		14
Increased fees payable to Capita due to rise in accounts receivable volumes		16
Reduction in rate relief	(8)	
Assisted transport initial projection	(96)	
Bank charges and fund management costs reduced	(14)	
Past pensions cost reduction	(16)	
total	(134)	74
HT, IT & Customer		
Staffing cost variations - staff not in pension scheme + vacancies	(34)	
Reduced management development in the current year	(21)	
Staff training reductions	(11)	
Recruitment advertising reductions	(11)	
total	(77)	0
Housing & Health		
Impact of staff at full establishment + reduction in hours of Team Leader post which had been budgeted now no longer likely to happen		63
Reduced bed and breakfast costs	(5)	
Loss of income to Pest Control on use of contractors (net of reduced costs)		16
total	(5)	79
Legal & Democratic		
Staffing cost variations	(16)	
Members' allowances	(9)	
Taxi licensing increased income (net of increased costs)	(6)	
Legal services increased income	(14)	
Committee management reduced costs	(4)	
total	(49)	0
Planning		
Reduction in income from planning fees		105
Staffing cost variations including consultancy £30,000		49
total	0	154

Strategic management

Reductions in bank charges and savings on office furniture	(23)	
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Contingency

Work on the SMT restructuring has finalised with an underspend against budgeted costs.	(142)	
Saving achieved on insurance costs for Council	(47)	
total	(189)	0

Below the line

Investment income interest - a 1% reduction on forecast interest resulting in a £300,000 under achievement of income.		300
Mobile Homes Parks	(230)	
total	(230)	300

Unbudgeted events

LABGI income	(81)	
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TOTAL (1,092) 1,270

NET 178

SUMMARY OF QUARTER ONE PERFORMANCE

What went well

13. NI 195 – Improved street and environmental cleanliness (levels of litter, detritus*, graffiti and fly posting). This is measured as the percentage that falls below an acceptable level, with good performance being a low number. There has been a significant improvement in performance largely due to a training session for the street cleaning operatives carried out by a Vale officer and more intensive monitoring of the contractor. This has seen litter fall from 7 percent in the fourth quarter of 2008/09 to 2 percent in the first quarter 2009/10 and detritus fall from 33 percent in the fourth quarter of 2008/09 to 8 percent in the first quarter 2009/10. (** detritus is defined as dust, mud, soil, grit, gravel, stones, rotted leaf and vegetable residues, and fragments of twigs, glass, plastic and other finely divided materials*)
14. LPT 257 – Council Tax collection (was BVPI 9). Collections are ahead of the same period last year.
15. LPT 258 – NNDR collection (was BVPI 10). Currently on track and ahead of last year, however, the full extent of legislation changes and economic climate are not yet fully known.

What did not go well

16. NI 154 – Net additional homes provided. Target is **530** homes and current quarter performance is **85** homes. The below target number of completions should be considered in the context of the current housing and financial climate.

17. LPT 259 – Processing new benefit claims (was BVPI 78a). The cumulative 'whole-year average' target is **20.5** days and current performance is **39.16** days. Year-end performance will be below target, which will result in reduced payments to the contractor. However, an action plan is in place and this, along with increased investment by the contractor, should see the target achieved for "in-month" performance by the year-end; and, 'whole year average' target should be achieved for 2010/11. July in-month performance improved to **30.43** days.
18. LPT 318 – Benefit processing – financial accuracy of claims. Target is **95** percent and current performance is **84.39** percent. July performance was 84.34 percent. Capita has centralised the service in Havant and this should bring improvements in performance in the near future.
19. LPT 341 – Number of affordable homes delivered on rural exception sites or in smaller villages. This target will not be met. Thirty two units are in the pipeline and likely to get planning permission during 2009/10. However there are no rural sites which will be completed this year.

RECOMMENDATIONS

20. Executive is invited to

- note the progress that has been made and our predictions for the end of the year
- question and challenge officers present at the meeting

ANNEX 1 - PERFORMANCE AGAINST ALL NATIONAL INDICATORS (NIS) INCLUDING LAA TARGETS

21. Annex 1 presents our performance against all NI targets excluding the NIs only measurable at year end

22. LAA measures are included and are highlighted in grey.

23. The 'year end forecast' column shows ☺ if a target is forecast to be achieved by the year end, and shows ☹ if it is not on track.

Ref	Measure	2009/10 target	Quarter 1 perf	Year end forecast	Comment / proposed action
NI 014	Reducing avoidable contact	34.4%	44%	☹	The first quarter results are below target. It is calculated using data obtained through a survey of customer enquiries made during a sample week during each quarter. Detailed guidance identifies types of enquiries that are of low or no value to the customer. Good performance is a low percentage. The Audit Commission has acknowledged the weaknesses of this indicator and that there will be considerable variations in the way it is calculated. For this reason they have stated that results will not be compared between authorities.
NI 016	To maintain the reduced number of serious acquisitive crimes per 1000 population. The baseline (2007/08) is 5:13 per 1,000 population as at 31 March 2008	5.13 per 1000 population	1.05 per 1000 population	☺	There were 124 cases in the first quarter compared to 167 in the first quarter 2008/09 The rolling 3 and 6 month trend shows a decrease in numbers.
NI 020	Assault with injury crime rate* - includes domestic abuse offences. Reported as the number per 1,000 population	2.7% decrease on baseline of 500 actual incidents in 2008/09	132 actual incidents in Q1	☺	There were 141 incidents in Q1 2008/09. The largest decrease has been in non domestic abuse incidents, which accounted for 90 of the 132 cases.

Ref	Measure	2009/10 target	Quarter 1 perf	Year end forecast	Comment / proposed action
NI 035	Building resilience to violent extremism. This indicator is measured on a scale of 1-5 against a detailed assessment framework.	Working in partnership with South and West Oxfordshire District Councils. Target yet to be agreed	*	*	A paper was submitted and agreed at the Local Strategic Partnership (LSP) on the 18 June 2009. 1. That the Vale adopts a joint approach to developing an action plan with the South and West Oxfordshire Community Safety Partnerships (CSP). 2. The Vale Community Safety Partnership takes the lead in developing an action plan in partnership with the South and West CSPs 3. The Vale LSP will continue to support and co-ordinate local engagement to prevent violent extremism or pull people away from it.
NI 154	Net additional homes provided [LAA2]. This indicator measures the net increase in dwelling stock over one year and is reported as an actual number	530	85	☹	The below target number of completions should be considered in the context of the current housing and financial climate
NI 155	Number of affordable homes delivered. This includes new builds and acquisitions	100	0	☺	More than 200 units were under construction at the end of June 2009. 42 homes had been completed by the end of August 2009. In addition, 14 households had successfully completed through the government funded 'MyChoice' scheme
NI 156	Number of households living in temporary accommodation (the final 2009/10 result is measured as the fourth quarter result)	62	56	☺	
NI 157a	Processing of major planning applications as measured against targets	65%	60%	☹	There were only 5 applications during the quarter. Two applications did not have a decision within 13 weeks. One application was subjected to complex negotiations and the other application was referred to the Secretary of State as it was a departure to the Green Belt.

Ref	Measure	2009/10 target	Quarter 1 perf	Year end forecast	Comment / proposed action
NI 157b	Processing of minor planning applications as measured against targets	75%	78.87%	☺	
NI 157c	Processing of other planning applications as measured against targets	88%	88.07%	☺	
NI 180	The number of changes of circumstances which affect customers' HB/CTB benefit entitlement within the year	Not a target – 'for information only'.	5764	*	This indicator, which measures benefit activity brought about by changes in claimant circumstances, had increased to 6109 by the end of July.
NI 181	Time taken to process housing benefit / council tax benefit new claims and change events. This is reported as the average number of days.	To be confirmed *	26.96 days	*	*Awaiting Department of Work and Pensions quartile data Year to date performance is 26.54 at the end of July.
NI 182	Satisfaction of business with local authority regulation services. This is measured by a monthly survey of businesses.	95%	88.22%	☹	Service managers will examine the results of the consultation and see what improvements can be made to the service provided.
NI 184	Food establishments in the area which are broadly compliant with food hygiene law	85%	85.22%	☺	
NI 185	CO ₂ reduction from local authority operations [LAA2]. This includes buildings and vehicle emissions	3% reduction on 2008/09 baseline	*	*	Data for the 2008/09 baseline was submitted on the self-assessment spreadsheet before the August 2009 deadline. Total emissions for the Vale were 5,423 tonnes CO ₂ Actuals for 2009/10 will be submitted in July 2010
NI 188	Planning to adapt to climate change. This is self assessed against levels of performance scored 0-5	Level 2	Level 1	☺	Corporate and team climate risk reviews have been completed. Service plan actions are on target to achieve level 2 by the end of 2009/10

Ref	Measure	2009/10 target	Quarter 1 perf	Year end forecast	Comment / proposed action
NI 189	Flood Risk Management	Target to be agreed with Environment Agency		☺	Actions to be agreed with the Environment Agency. Meeting to be arranged.
NI 191	Residual household waste per household	572kg	126.26kg	☺	On target
NI 192	Percentage of household waste sent for reuse, recycling and composting	36%	39.46%	☺	Above target
NI 194	Air Quality - Percentage reduction in NOx and primary PM10 emissions through local authority's estates and operations	3%	*	*	Emissions data for the 2008/09 spreadsheet have been submitted with the NI185 data to Oxfordshire County Council.
NI 195	Improved street and environmental cleanliness (levels of litter, detritus, graffiti and fly posting)	4% litter, 10% detritus, 1% fly-posting, 1% graffiti	2% litter, 8% detritus 0% graffiti	☺	There has been a significant improvement in performance. See detailed comment in paragraph 13 of this report
NI 196	Improved street and environmental cleanliness	Effective	Effective	☺	*Annual Indicator only. To achieve - "effective" in Flycapture classification and 3% reduction of fly-tipping compared to 2006/07 baseline

ANNEX TWO – PROGRESS AGAINST ALL LOCAL PERFORMANCE TARGETS (LPTS)

24. Annex 2 below presents the progress of all LPT targets excluding the LPTs only measurable at year end

25. The 'year end forecast' column shows ☺ if a target is forecast to be achieved by the year end, and shows ☹ if it is not on track.

Ref	Measure	2009/10 target	Quarter 1 perf	Year end forecast	Comment / proposed action
LPT 256	Payment of commercial invoices within 30 days (was BVPI 008)	99%	95.72%	☹	Performance for Q1 is significantly below target. The year-end target is not yet out of reach but service teams will need to try much harder for the remainder of the year if the target is to be achieved. Note that performance has improved since the end of the first quarter.
LPT 257	Council Tax collection (was BVPI 009)	98.6%	30.85%	☺	Collections are ahead of the same period last year and currently on track.
LPT 258	NNDR collection (was BVPI 010)	99.4%	34.57%	☺	Currently on track and ahead of last year, however, full extent of legislation changes and economic climate are not yet fully known.
LPT 259	Processing new benefit claims (was BVPI 078a)	20.5 days	39.16 days	☹	Year-end performance will be below target. However, an action plan is in place and this, along with increased investment, should see the target achieved for "in-month" performance by the year-end. July in-month performance improved to 30.43 days
LPT 301	Average time taken to remove abandoned vehicles once legally entitled	2 days	4.5 days	☹	Performance during the first part of Q2 indicates that the target will not be achieved
LPT 302	Missed refuse collections per 100,000 scheduled	30	32.65 / 100,000	☹	Performance during the first part of the second quarter shows a slightly improved performance. However, the number of missed collections normally increases in the winter months as a result of poor weather conditions

Ref	Measure	2009/10 target	Quarter 1 perf	Year end forecast	Comment / proposed action
LPT 303	Missed green box collections per 100,000 scheduled	30	48.93 / 100,000	☹	Below target, however it is an improvement on Q1 2008/09 of 65, and the overall figure for 2008/09 of 68
LPT 304	Value of Warm Front works in the Vale	£250,000	£137,000	☺	
LPT 305	Number of households insulated via Vale insulation schemes	400	53	☺	Q1 performance was 58. This is traditionally a quarter when the numbers are low; demand is expected to pick up later in the year. One of the contractors has recently completed a Vale wide mail shot.
LPT 311	Vacant retail units below national average in market towns	20%		*	Annual collection of performance monitoring data
LPT 312	Southern Oxfordshire LEADER funding	£250,000	£22,000	☺	There has been a significant increase in allocated spend during Q2. most of the actual spend will be delivered during Q3 and Q4
LPT 313	Number of jobs created / safeguarded by Southern Oxfordshire LEADER funding	1	0	*	Target does not have quarterly profile
LPT 314	At least one new large science related enterprise employing more than 50 people locates in the Science Vale UK area	0	*	*	Target to be reviewed as a result of project review
LPT 315	An overall growth in employment of at least 250 new jobs in the next four years in the Science Vale UK area	25	*	*	Target to be reviewed as a result of project review.
LPT 316	Maintain or improve business confidence in Science Vale UK area	Establish baseline	-	*	Annual collection of performance monitoring data

Ref	Measure	2009/10 target	Quarter 1 perf	Year end forecast	Comment / proposed action
LPT 317	Increase percentage of adult population in the Vale who participate in sport and active recreation (contributes to NI 8)	At least 30.6% participation in sport or other physical activity	-	*	Measured externally via Active People Survey (an annual survey)
LPT 318	Benefit processing - financial accuracy of claims	95%	84.39%	☹	July performance 84.34%. Capita has centralised the service in Havant and this will bring improvements in performance in the near future.
LPT 319	Average time to pay an invoice	10 days	10.27 days	☹	Performance for Q1 was very slightly below target and it has worsened to 11 days at the end of July. The transfer of processing work by Capita to Mendip is likely to have a negative impact on performance.
LPT 320	Health and Safety at Work inspection programme Inspections Fit3/ Health and Safety Partnership	80% / 100%	N/A - See comment	☹	Action for this indicator is profiled to start from Q2. Year end forecast is likely to be 10% to 20% below target due to food safety audit requirements. To review position at the end of Q2
LPT 321	Undertake scheduled Food hygiene inspections (High Risk / Low risk)	High risk 85% Low risk 75%	High Risk = 62% Low Risk = 56%	☺	Staff shortages have impacted on the first quarter performance. These have now been resolved and the year end target will be achieved
LPT 322	Health Act 2006 : response to complaints about smoking in public enclosed spaces	90%	100%	☺	
LPT 323	Undertake scheduled Local Authority Risk Based Pollution Control risk based interventions	100%	No inspections due during Q1	☺	

Ref	Measure	2009/10 target	Quarter 1 perf	Year end forecast	Comment / proposed action
LPT 324	Undertake scheduled Health and Safety at Work interventions	100%	N/A - Action for this indicator is profiled to start from Q3, with preparation in Q2.	☺	
LPT 326	Improve a % of high risk food premises with 0-2 star hygiene rating	25%	*	*	Preparation achieved. Percentage performance not applicable in Q1
LPT 332	Responses to Service Requests within 5 days (housing operations)	90%	90%	☺	
LPT 333	The number of households prevented from becoming homeless during the financial year	280	87	☺	
LPT 334	Number of households prevented from becoming homeless during the financial year through the issuing of a Rent Deposit bond or rent in advance	150	43	☺	
LPT 335	The average number of days that households are accommodated in nightly charged properties in the financial year	50	58	☺	High figure due to one particular legal case. The average number of days is predicted to fall significantly next quarter.
LPT 336	Uptake of Flexible Home Improvement Loans (value)	170000	0	*	Team has generated 23 enquiries however these are slow in converting to loans due to clients choice. Publicity is needed and is being arranged by the Communications Team and we are awaiting press releases and publicity campaign.

Ref	Measure	2009/10 target	Quarter 1 perf	Year end forecast	Comment / proposed action
LPT 337	Increase uptake of Disabled Facilities Grants by elderly or disabled households (No's of grant approvals)	140	42	☺	
LPT 338	The number of category 1 and 2 hazards Housing Health Safety Rating System (HHSRS) identified and resolved	200	Identified = 110 Resolved = 49	☺	
LPT 339	Number of properties where category 1 / 2 (HHSRS) hazards have been removed through education/ encouragement/ enforcement (improved properties)	30	13	☺	
LPT 340	Collect % of total rent due in the year	95%	13.4%	☹	Income significantly reduced due to low numbers in Temporary Accommodation. Overall costs for TA are significantly below budget.
LPT 341	Number of affordable homes delivered on rural exception sites or in smaller villages	20	0	☹	32 units are in the pipeline and likely to get planning permission during 2009/10 however there are no rural sites which will be completed in this year.
LPT 342	Number of affordable homes for which investment is secured	100	0	*	No funding was secured during Q1. However a number of schemes are currently going through the application process.
LPT 347	Average sickness absence per employee per annum	8.25 days	1.17	*	See detailed comment on sickness levels in part 3 of the report
LPT 349	% of planning enforcement complaints to be investigated within 10 working days of receipt of complaint.	80%	19.48%	☹	The admin support post had been vacant from December 2008 and was only filled in June 2009. There have been delays in making up files, inputting data and completing data
LPT 350	Planning refusals won by the council (excluding partially allowed decisions) (%)	72%	58%	☹	The overall number of appeals are small, and they were mainly small scale developments

Ref	Measure	2009/10 target	Quarter 1 perf	Year end forecast	Comment / proposed action
LPT 352	Meet milestones in agreed Local Development Scheme (Core Strategy Development Plan Document (DPD), Statement of Community Involvement (SCI), Managing Development DPD, Sustainable development/residential design guide Supplementary Planning Document (SPD))	Meet milestone	Publish Draft SCI in May. Publish Draft residential design guide for public consult in May.	*	Ongoing work on Core Strategy - progress slower than hoped. The production of draft Core Strategy for December may be delayed due to staffing difficulties and delay of the SCOTS report.
LPT 354	To identify Tree Preservation Orders (TPO) that are no longer current or consist of Area TPOs. To survey and re serve them if necessary.	To have completed the review within the budgetary constraints	Survey and review progressing	☺	

Executive

2 October 2009



Report of Head of: **HR, IT and Customer Services**

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To: **VALE EXECUTIVE** **2 October 2009**

To: **SOUTH CABINET** **5 November 2009**

Report no. 52/09

Wards Affected:
ALL

Tender evaluation policy

Recommendation

That South Cabinet and Vale Executive approve the joint tender evaluation policy accompanying this report

Purpose of report

1. For South Cabinet and Vale Executive to separately approve a joint tender evaluation policy.

Relationship with corporate plan

2. The proposed tender evaluation policy links to both councils' corporate plan's strategic objective of "managing our business effectively". It will help to deliver the corporate priority of "providing value for money services" by increasing the focus on price for large procurements of supplies, services and works.

Background

3. The councils' contracts procedure rules in their respective constitutions set out the process for procurement of supplies, services and works at various financial thresholds, and require formal tenders when the overall contract value is likely to be above £50,001. While the rules describe the processes that officers must follow, they do not specify the weight to be

giving to any of the evaluation criteria used to decide on the selection of a preferred supplier and subsequent award of contract.

4. While the councils have always been successful in appointing good suppliers, councillors have now requested the creation and adoption of a policy which places a high degree of weighting to the evaluation on price.

A joint approach to tender evaluation

5. As a consequence of the shared management arrangements, management team asked South's business improvement team to develop a common tender evaluation policy.
6. The adoption of a common policy by both South and Vale will benefit future joint procurements of supplies, services and works by introducing consistency, and avoiding the complication to both officers and potential suppliers of having different policies.

The tender evaluation policy

7. The new joint approach to tender evaluation described in appendix one of this report:
 - ensures that the councils procure supplies, services and works which best meet the needs identified
 - enables the councils to select the quote or tender which offers the best value for money
 - requires that price forms at least 60 per cent of the evaluation criteria and award decision
 - makes the tendering process, open, transparent, fair and objective.
8. The policy was formulated by officers from South and Vale and incorporates best practice from each council.
9. The policy will be communicated to officers via the intranet and proactively managed during tender evaluations by the business improvement manager (South) and the organisational change group manager (Vale).
10. The policy will be communicated to potential suppliers by being made available on the councils' websites and included in invitation to tender/quote documentation.

Financial, legal and any other implications

11. The adoption of the proposed policy should result in better value for money procurement, and thus help both councils meet their budgets. Apart from that, there are no direct financial implications arising from this report.
12. EU procurement rules require that tender evaluation criteria and their weighting are published in the OJEU Contract Notice/descriptive/invitation to tender documents. Hence bidders for EU contracts (current threshold £139,893) would see that the councils intend to evaluate all bids with at least 60 per cent of the weighting based on price. There is no such requirement to publish the evaluation criteria and their weighting for contracts below this threshold, although we will make all potential bidders aware of the councils' criteria through the tender evaluation policy.
13. All other aspects of procurement are governed by the contracts procedure rules (South) and contracts standing orders (Vale) in the councils' respective constitutions. Officers

propose to include reference to the tender evaluation policy in the next update to the constitutions, and in the forthcoming harmonisation of contracts procedure rules and contracts standing orders.

Conclusion and recommendation

14. The proposed tender evaluation policy will ensure that price forms at least 60 per cent of all tender evaluations, and this in turn will help the councils achieve better value for money in procurements.
15. The adoption of this policy in both councils will make any future joint procurements simpler and clearer, by making clear to officers and potential suppliers the criteria that will be applied for each procurement.
16. Cabinet and Executive is recommended to approve the tender evaluation policy in appendix one of this report.

See also: Tender evaluation policy

Tender evaluation policy

CONTEXT

1. This is a joint policy applying to South Oxfordshire District Council and Vale of White Horse District Council.
2. As well as being a policy for evaluating tenders, this document also brings together best practice in procurement and clarifies the process to be followed by officers.
3. This policy should be viewed in conjunction with Contracts Procedure Rules (South) / Contracts Standing Orders (Vale). These describe the process of approval of any procurement by officers and members at each threshold of procurement expenditure.
4. Any exceptions to this policy must be approved by a head of service in consultation with the relevant Cabinet / Executive portfolio holder.
5. References to 'councils' in this policy means to either separately or both together.

PURPOSE OF THIS POLICY

6. The purpose of this policy is to ensure that:
 - the councils procure supplies, services and works that meet the defined and agreed essential needs of the councils as specified in the Invitation to Tender/Invitation to Quote (Framework Agreements) (ITT/ITQ).
 - in all cases, a specification is produced and agreed prior to the ITT/ITQ being issued that clearly identifies the essential requirements (needs), along with the highly desirable (discretionary added value) and desirable (wants).
 - the selection criteria are clearly identified within the ITT/ITQ with cost being at least 60 per cent (preferably higher) of the criteria for selection in all cases.
 - the tender is selected which offers the best value for money to the councils over the whole life of the project
 - the tendering process, selection of bidders and the award of contracts are fair, open and objective
 - all tenders are evaluated to a consistently high standard
 - the councils comply with their contracts procedure rules (South) / contracts standing orders (Vale) in their constitutions, procurement best practice policies and guidance, regulations and EU procurement legislation and rules
 - equality and diversity considerations are embedded in the councils' tendering process.

APPROACH

7. This tender evaluation policy is based on a template tender evaluation policy and guidance provided by the Office of Government Commerce (OGC) on evaluating tenders, including the following definitions:
 - “award criteria” – factors to be considered when evaluating bids
 - “weightings” – proportion of total marks available for each factor
 - “evaluation methodology” – guides the award of marks under the various criteria.
8. A clear distinction must be drawn between the short listing of the Pre Qualification Questionnaire (PQQ) “assessment” stage and the tender “evaluation” stage of the procurement process.
9. At the start of the procurement the lead officer must agree with the procurement's stakeholders whether to appoint an independent officer, third party or an internal assessment/evaluation panel, to assist with the short listing assessment of candidates following receipt of the PQQ and to evaluate the qualitative aspect of tenders.
10. The lead officer should conduct the tender process and ensure that it complies with the contracts procedure rules (South) / contracts standing orders (Vale) in the councils' constitutions for tenders in excess of £50,001.
11. When the total value of the contract is over £120,000 and therefore at risk of exceeding the EU threshold (from 1 January 2008: £139,893 for supplies and services and £3,417,313 for works see www.ogc.gov.uk/procurement_policy_and_application_of_eu_rules_eu_procurement_thresholds_.asp
12. for latest thresholds) the lead officer must in consultation with legal services place an advertisement Contract Notice in the Official Journal of the European Union (OJEU). The lead officer must ensure that the award criteria specified in the ITT/ITQ are consistent with the award criteria published in the relevant OJEU Contract Notice.
13. The process of procurement is described on the councils' intranets as a flowchart step-by-step guide to officers.
14. More information on securing best value for money from procurements can be found at: www.ogc.gov.uk/key_policy_principles_delivering_value_for_money_in_procurement.asp

Pre-Qualifying Questionnaire (PQQ) Assessment

15. An Expression of Interest Notice and a PQQ may be issued for high value or complex contracts in order to reduce the number and improve the quality of companies invited to tender.
16. This short listing stage is essentially a present or backward-looking process which assesses candidates in the abstract e.g. whether they are suitable in principle for the contract based on professional ability, technical capacity, economic and financial standing, experience, staff resources, approach to promoting equality and diversity, approach to health and safety etc.
17. Where the councils wish to exclude a tender under the open procedure or at the assessment stage under the restricted or negotiated procedures they must do so in accordance with the criteria set out in the Public Contracts Regulations 2006.

18. At the conclusion of short listing and prior to submitting the ITT/ITQ the councils will identify candidates, with whom they would, in principle, be content to contract. Short listing should therefore be about the candidate not the bid.

Invitation to Tender (ITT) / Invitation to Quote (ITQ) Evaluation

19. The evaluation and contract award stage following the receipt and evaluation of the ITT should be about the tender/bid. At the evaluation and award stage the lead officer should solely look forward and evaluate what each bidder has offered in its tender.

20. The regulations allow choice between “lowest price” and “most economically advantageous tender” (MEAT). Council policy is to use MEAT when selecting tenders. MEAT can be broken down as the combination of quality and whole-life costs that will meet the user's requirements. The officer leading the procurement (“lead officer”) should conduct the ITT/ITQ tender evaluation stage to ensure that the most economically advantageous tender is selected.

ITT/ITQ EVALUATION CRITERIA

21. Best practice procurement involves deciding in advance of the issuing of the tender what criteria will be used to evaluate bids. The specification within the ITT/ITQ must identify those requirements that are essential and those over which the councils will exercise discretion i.e. desirable. The lead officer must notify tenderers of the award criteria and any sub-criteria and their weighting within the OJEU Contract Notice and / or in the Invitation to Tender. The award criteria need to be given relative weighting or, if this is not possible, listed in descending order of importance and should be clearly set out in the ITT/ITQ to avoid any confusion later on in and at the end of the tendering process.

22. When evaluating a contract or framework agreement on the basis of MEAT, the lead officer must use the criteria in the ITT/ITQ/specification (and no others) in order to determine which offer is the most economically advantageous and offers the best quality over the lifetime of the contract. Such criteria may include:

- ability to meet the essential requirements
- price
- quality
- technical merit of the bid
- aesthetic and functional characteristics
- environmental characteristics
- running costs
- approach to promoting equality and diversity
- cost effectiveness
- after sales service
- technical assistance
- delivery date and delivery period
- period of completion
- risk
- legal
- approach to health and safety

23. It is the councils' intention that price will always carry at least a 60 per cent weighting in the tender award choice; and that the lowest price bid that meets the essential requirements should be selected, unless the lead officer can demonstrate added value or savings that could be achieved by selecting an alternative bid.

24. 'Added value' that justifies a higher price must flow from the defined essential service criteria, and could include environmental benefits.
25. Any possible saving opportunities inherent in accepting a higher price bid must flow from the defined essential criteria, and must be clearly identified in terms of additional life cost of the contract verses guaranteed one-off or on-going savings.
26. These criteria relating to the qualitative (e.g. technical, delivery, quality) and commercial (e.g. price, cost, risk, legal) elements of the requirement are used to communicate to tenderers the basis on which their entire tender response will be evaluated.
27. The lead officer should ensure that the essential and desirable tender evaluation criteria are developed in conjunction with the business or project aims, critical success factors and specification. It is therefore important to know how to evaluate tender responses before the criteria are agreed. For example:
- The lead officer will disqualify a tenderer if they do not meet the essential response requirement.
 - Unless there is specific reason otherwise, an evaluation panel should evaluate the qualitative part of the tender separately from price.
 - The lead officer / evaluation panel will recommend acceptance of the lowest price bid that meets the essential requirements, unless it can justify acceptance of a higher price bid in accordance with the guidance on 'added value' and/or identified savings outlined above.

High level evaluation criteria for selection of provider and award of the contract or providers onto framework

28. The following is an example of how the lead officer might present the evaluation criteria in the OJEU Contract Notice and/or Invitation to Tender:

<i>Criterion</i>	<i>Weighting</i>
Only those bids that meet all of the essential requirements will proceed to evaluation of the remaining criteria.	
Price	At least 60 per cent
## lead officer to insert other criterion	##
## lead officer to insert other criterion	##
## lead officer to insert other criterion	##
## lead officer to insert other criterion	##

EVALUATION METHODOLOGY

29. The lead officer or evaluation panel will evaluate tenders by considering how the tender meets each of the evaluation criteria.
- First evaluation – ability to meet the essential requirements (the 'can do')
 - Broad criteria weighting against only those tenders that meet the essential requirements:

- Method statements (the 'how')
 - Price
 - Added value additional services or functionality inherent in the price.
 - Confidence in the tenderer's ability to deliver the contract.
- A breakdown of the marks as set out in the tender documents so that tenderers can see how many marks are allocated for each section or question.

30. It is also a good idea to circulate this policy and to draw up evaluation marking guidelines for the evaluation panel and to meet to discuss these so that everyone is clear on the evaluation methodology.

ITT/ITQ EVALUATION PROCESS

31. The whole tender evaluation process can be summarised very simply in the generic steps below. The evaluation process will feature some, if not all, of the following phases:

Receipt and opening

32. Invitation to Tender (ITT) and Invitation to Quote for Framework Agreements responses are formally logged upon receipt and opened in accordance with the councils' contracts procedure rules / contracts standing orders. Currently this logging and opening function is undertaken by the Business Improvement Manager in HR, IT and Customer Services (South) and by Democratic Services (Vale). Any tender ITT response received after the deadline will be rejected and not considered for evaluation.

Independent evaluation of tender responses

33. The lead officer, alone or in conjunction with members of the evaluation panel (if any), should ask the evaluation panel members to mark the responses independently. However, some tenders may contain a technical response that only a specialist stakeholder is qualified to mark.

Moderation of scores

34. After the panel has marked the tender responses independently, the lead officer should re-convene the panel in order to moderate the scores. This will ensure that any areas where scoring differs markedly from panel member to panel member, can be re-visited. This meeting should talk through any elements of risk that panel members consider apply to each tender. At this stage a short-list of tenderers can be drawn up.

Tenderer presentations

35. Depending on the type of procurement (more common for services and works contracts) it may be necessary to invite the tenderers to present their proposals to the panel. However the lead officer will need to be clear on whether the tender presentation will be evaluated and if so ensure that this has been included in the award criteria and weighted. The tender presentation should also serve to clarify the information contained within the method statements and confirm what is included in the price. This may affect the initial evaluation scoring.

Customer references

36. The lead officer will need to draw up a questionnaire to send out to the referees provided in the Pre Qualification Questionnaire and/or ITT/ITQ.
37. The evaluation panel may request site visits to existing users of the short-listed tenderers' services, products, or solutions to view and discuss the products/services at first hand prior to making its final selection. However if the intention is to score this then this should also be set out in the ITT/ITQ.

Final meeting of the evaluation panel

38. The lead officer should hold a final meeting to moderate and merge the scores gathered from any ongoing short listing issues such as due diligence further financial appraisal and customer reference site visits and/or the written references if candidate has requested that these should not be taken at the short listing assessment stage of the process in order to produce a final ranking.

Evaluation report and recommendation

39. The lead officer will now be in a position to qualify the panel's recommendation for the award of contract. This is presented in report format and will need to obtain the relevant approval, as defined by the councils' contracts procedure rules / contracts standing orders.
40. More information can be found at:
www.ogc.gov.uk/policy_and_standards_framework_general_evaluation_and_award.asp

AWARD OF TENDERS AND FRAMEWORK AGREEMENTS

Notification

41. Subject to Cabinet/Executive approval and call in the lead officer must inform all those who have participated in the procurement process of the intention to award the tender or framework agreement¹ preferably by email and confirmed by letter. Notification of this intention to award must include:
 - The criteria for the award of the contract - original award criteria.
 - The score obtained by the recipient of the notice and the successful tenderer
 - The name of the successful tenderer

Standstill period

42. The day after the date that the notification is sent, a ten day standstill period will begin (this is known as the Alcatel period). Day one of the ten calendar days is the day after despatch of the award notice, and if the standstill period ends on a non-working day it must be extended to the end of the next working day. During this period unsuccessful tenderers are able to ask for a detailed debrief as to why their tender has not been taken forward.

¹ A framework Agreement is a general term for agreements with suppliers, which set out terms and conditions under which specific purchases (call-offs) can be made throughout the term of the agreement. It is advisable to tender for a framework of suppliers for contracts.

43. More information can be found at:

http://www.ogc.gov.uk/documents/10day_Mandatory_Standstill_Period.pdf

Contract Award and OJEU Award Notice

44. At the end of the standstill period whether or not there has been a formal challenge to the proposed award, the contract or framework agreement can be confirmed and signed. If there has been a formal challenge the councils may elect to proceed or to await the outcome of the challenge.

45. Within 48 days of the award of contract a Contract Award Notice should be submitted to OJEU.

POLICY IMPLEMENTATION

46. The councils will agree this joint policy via approval by Cabinet (South) and Executive (Vale).

47. We will implement this policy by including relevant sections in the following documents:

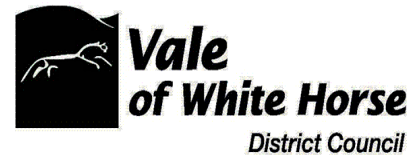
- ITT/ITQ open procedure tender document (above and below EU threshold)
- ITT/ITQ restricted procedure tender document (above and below EU threshold)
- Contracts procedure rules / contracts standing orders

48. We will ensure suppliers are aware of relevant sections of this policy by publicising it in the Guide to Suppliers which is published on the councils' websites.

49. We will ensure that officers undertaking procurement comply with this policy by including it in the intranet procurement flowchart which sets out the procurement process, and by briefing the Contracts and Procurement Group. The Business Improvement Manager (South) and Organisational Change Group Manager (Vale) will oversee the implementation of this policy.

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Last updated 23 September 2009

Executive



2 October 2009

Report of **Head of Corporate Strategy**

Report No. 53/09

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Safeguarding Children, Young People and Vulnerable Adults Policy

Recommendations

That the Safeguarding Children and Vulnerable Adults Policy be approved.

1. Purpose of Report

- 1.1 The Children Act¹ sets out new requirements in relation to vulnerable children, and we have updated our policy relating to protecting children, young people and vulnerable adults in the light of these new requirements.
- 1.2 Executive is asked to agree the Safeguarding Children and Vulnerable Adults Policy and procedures attached. This policy has been developed jointly by staff from the Vale of White Horse District Council and South Oxfordshire District Council, and the policy will apply to both councils.

2. Relationship with Corporate Plan

- 2.1 Safeguarding is a statutory duty. This policy is about managing risk around working with children, young people and vulnerable adults, it therefore it makes a contribution to our strategic objective to manage our business effectively.

3. Background

- 3.1 Section 11 of the Children Act widens the responsibilities of local authorities in relation to children – as well as protecting children from harm we now have a responsibility to

¹ Statutory guidance on making arrangements to safeguard the welfare of children under section 11 of the Children Act, DiES, 2007

promote the welfare of children. The Act applies to a range of public bodies, including district councils, whose housing, environmental health, leisure and licensing teams are seen as having a particular role to play.

We have the following responsibilities under the Act:

- to produce a clear statement or policy on the councils responsibilities and ensure all staff are aware
- allocate clear lines of responsibility on safeguarding issues – and identify a designated officer who will ensure the duties are met and will be the first point of contact for staff to report concerns to
- provide training for all staff and councillors appropriate to their roles and the level of contact they are likely to have with children
- ensure we have safe recruitment practices, including Criminal Record Bureau (CRB) checks appropriate to the level of contact staff and councillors are likely to have with children.

Our proposals for these are set out in the draft policy attached.

4. Options

4.1 There are no alternative options. A policy that is appropriate for the councils is required.

5. Financial, legal and any other implications

5.1 Financial implications arising from the proposals contained in this report will be relatively minor. These relate to an increase in the number of CRB checks required on staff appointment, and the cost of providing higher level training to a small number of staff, for which there could be a small charge. These costs can be accommodated within existing budgets.

5.2 Legal Implications: This report and the draft policy attached sets out how we will implement our responsibilities under Section 11 of the Children Act.

6. Conclusion

6.1 Executive is requested to agree the councils' first Safeguarding Children, Young People and Vulnerable Adults Policy which will ensure that we are meeting our responsibilities to protect children, young people and vulnerable adults from harm and promote their wellbeing.

Background Papers:

Statutory guidance on making arrangements to safeguard the welfare of children under section 11 of the Children Act, DfES, 2007

Appendix:

Draft Safeguarding Children, Young People and Vulnerable Adults Policy

Safeguarding Children, Young People and Vulnerable Adults Policy

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INTRODUCTION AND AIMS

1. The councils have a duty to ensure that, in discharging their functions, they have regard to the need to safeguard and promote the welfare of children, young people and vulnerable adults.
2. The councils also have a duty to ensure that other organisations commissioned to provide services on their behalf have regard to the need to safeguard and promote the welfare of children, young people and vulnerable adults.
3. In order to carry out this duty, the councils require staff (and councillors) to be aware of how they can contribute to this aim whilst undertaking activities for and on behalf of the council.
4. All staff should be aware of their responsibilities and how to act in ways that protect themselves from wrongful allegations of abuse.

DEFINITIONS FOR THIS POLICY

Member of staff

5. All members of staff employed by the Vale of White Horse and South Oxfordshire District Councils; permanent or temporary. This includes paid and voluntary staff, and also elected councillors.

Criminal Records Bureau (CRB)

6. The CRB is a national organisation conducting police checks to enable an assessment to be made on the suitability of a person to care for or work with children, young people or vulnerable adults.

Oxfordshire Safeguarding Children's Board (OSCB)

7. The Children Act 2004 required each principal local authority to establish a Local Safeguarding Children Board (LSCB). The Oxfordshire Safeguarding Children Board (OSCB) is the key statutory mechanism for agreeing how all relevant organisations in Oxfordshire will cooperate to safeguard and promote the welfare of children and young people in the county, and for ensuring the effectiveness of their arrangements for safeguarding.

A child

8. A person who is of compulsory school age (a child is of compulsory school age until the last Friday in June in the school year in which they reach age 16).

A young person

9. A person under the age of 18.

A vulnerable adult

10. A person aged 18 or over:

- 'who is or may be in need of community care services by reason of mental or other disability, age or illness; and
- who is or may be unable to take care of him or herself, or unable to protect him or herself against significant harm or exploitation'.¹
- This could include:
 - people with dementia
 - people with learning difficulties
 - people with mental health problems
 - people with drug or alcohol problems
 - people with sight, hearing or physical disabilities
 - people who through age or illness are dependent on other people to help them
 - people who care for others.
- A person aged 18 or over who has a condition of the following type:
 - a learning or physical disability
 - a physical or mental illness, including an addiction to alcohol or drugs; or
 - a reduction in physical or mental capacity.

Parent

11. A mother, father or a person appointed by a legally recognised court to represent a child's, young person's or vulnerable person's best interests (a legally appointed guardian or carer)

Contracted staff

¹ Taken from: Department of Health (2000). No secrets: Guidance on developing and implementing multi-agency policies and procedures to protect vulnerable adults from abuse.

12. Those working for organisations contracted by the councils to provide services or agency staff.

Designated officer

13. A term used throughout this policy to describe the council employee who is responsible for handling all cases of abuse/suspected abuse within the councils. This is Matt Prosser, Strategic Director.
14. In the absence of the Designated Officer, the deputy Designated Officer will take on this role. This is Clare Kingston, Head of Corporate Strategy.

Health and welfare

15. Health means 'physical or mental health' and development means 'physical, emotional, social or behavioural development'.²
16. Children/young people's health and development and vulnerable adults' health, well-being and independence.

Safeguarding and promoting the welfare of children and young people

17. This means:
 - protecting children and young people from maltreatment
 - preventing impairment of children's/young people's health or development
 - ensuring that children/young people are growing up in circumstances consistent with the provision of safe and effective care; and
 - undertaking that role so as to enable those children/young people to have optimum life chances and to enter adulthood successfully.

Safeguarding and promoting the welfare of vulnerable adults

18. This means:
 - protecting vulnerable adults from maltreatment
 - preventing impairment of vulnerable adults' health and well-being
 - ensuring that vulnerable adults are living in circumstances consistent with their needs and with the provision of safe and effective care; and

² Adapted from the Children's Act 1989.

- undertaking that role so as to enable those vulnerable adults to have optimum life chances and independence.

RESPONSIBILITIES

19. A member of the councils' Management Team will be named as the designated officer responsible for safeguarding and promoting the welfare of children, young people and vulnerable adults throughout the councils. This person is Matt Prosser, Strategic Director.
20. Heads of Service must ensure that their staff are subject to appropriate Criminal Records Bureau/police checks.
21. Line managers are responsible for ensuring that their staff undertake appropriate training.
22. The Human Resources Manager is responsible for ensuring that recruitment procedures for posts with direct access to children, young people or vulnerable adults are in line with this policy and that appropriate training is provided.
23. All members of staff are responsible for carrying out their duties in a way that safeguards and promotes the welfare of children, young people and vulnerable adults in line with this policy. They must also act in a way that protects them from wrongful allegations of abuse as far as possible, in line with this policy and bring matters of concern about the safety and welfare of children, young people and vulnerable adults to the attention of the designated officer.

SAFEGUARDING AND PROMOTING THE WELFARE OF CHILDREN, YOUNG PEOPLE AND VULNERABLE ADULTS

24. As well as our duty to safeguard children, young people and vulnerable adults, all staff are expected to promote the welfare of these groups, and all children have the right to legal protection. The following teams in particular can contribute to this:

Housing

25. Staff working within the housing team should pay regard to the safeguarding and promotion of the welfare of children, young people and vulnerable adults in their day to day work. (see Appendix 1).
26. An officer within the housing team will be named as the representative for Multi Agency Public Protection Arrangements (MAPPA) and they will co-operate with MAPPA.
27. It is the responsibility of the Head of Health and Housing to ensure that organisations delivering housing services on our behalf have regard for the safeguarding and promoting the welfare of children and vulnerable adults.

Environmental Protection and Food and Safety

28. Environmental Health Officers should pay regard to the safeguarding and promotion of the welfare of children, young people and vulnerable adults in their day to day work. (see Appendix 2)

Legal and Democratic Services

29. In making decisions about licensing, staff and councillors should pay regard to the safeguarding of children, young people and vulnerable adults. Where there is any danger of harm, for example through underage drinking or adult entertainment, they should impose conditions on the licence or certificate.

Leisure and Arts

30. There must be at least one qualified coach leading every coaching session - Level 2 UKCC (UK Coaching Certificate) or equivalent.
31. Sports coaches and arts workers may be considered a special case when they are engaged for very short periods of time to complete single sessions or short projects. In these circumstances there are exceptions to the policy on criminal record checks (see paragraphs 36 and 37) and training (see paragraphs 48 and 49).
32. It is the responsibility of the Head of Economy, Leisure and Property to ensure that organisations delivering leisure and arts services on our behalf have regard to safeguarding and promoting the welfare of children and vulnerable adults.

Community Safety, Local Services Points, Reception and Youth Development

33. Staff working within these teams should pay regard to the safeguarding and promotion of the welfare of children, young people and vulnerable adults in their day to day work.

RECRUITMENT AND CRIMINAL RECORD CHECKS

Recruitment Procedures

34. The Human Resources Manager is responsible for ensuring that the appropriate recruitment procedures take place as detailed below.
35. If the applicant will have any direct access to children, young people or vulnerable adults the following statement will be included in the job description:
36. "The post holder must at all times carry out their duties and responsibilities with due regard to the Child Protection Act (1999), the Children's Act (2004) and the Council's "Safeguarding Children, Young People and Vulnerable Adult Policy".

37. Information provided by applicants and referees will be scrutinised by:
- taking up and satisfactorily resolving any discrepancies or anomalies
 - verifying identity and any academic or vocational qualifications
 - obtaining independent professional and character references
 - checking previous employment history and experience
 - checking that a person has the health and physical capacity for the job
 - making the application for criminal record checks, where appropriate, and responding to any disclosures - as set out below.

Criminal Record Checks

38. Heads of Service are responsible for ensuring that members of staff in relevant posts will be subject to the appropriate level of criminal record checks, as set out below.
39. Where members of staff (or councillors) have unsupervised contact with children, young people or vulnerable adults more than three times in a 30 day period, they will be required to have an enhanced CRB check.
40. When it is uncertain whether a member of staff fits into this category, the head of service should discuss the issue with the Human Resources Manager and agree a joint decision.
41. It will be made clear to applicants for posts of this nature that they will need to obtain a "basic disclosure" from the Criminal Records Bureau, prior to commencing employment, and that the position is exempt from the provisions of the Rehabilitation of Offenders Act 1974. The council will reimburse the cost.
42. The Designated Officer and Deputy Designated Officers will also be required to have satisfactory enhanced police checks.

POSITIVE DISCLOSURES

43. In the event of any positive disclosure the post holder's line manager, with support from the Human Resources Manager will undertake a risk assessment (see Appendix 3) to ascertain the suitability of the member of staff in the specified role.
44. In the event of any positive disclosure for a councillor the Designated Officer and Deputy Designated Officer, with support from the Human Resources Manager will undertake a risk assessment (see Appendix 3) to ascertain the suitability of the councillor in the specified role.
45. The applicant will not be employed or the post holder will have their employment terminated if the positive disclosure reveals either:

- a caution or conviction related to children, young people or vulnerable adults or
 - a caution or conviction related to a violent offence.
46. A councillor will not be allowed any unsupervised contact with children, young people or vulnerable adults if the positive disclosure reveals either:
- a caution or conviction related to children, young people or vulnerable adults or
 - a caution or conviction related to a violent offence.

EXCEPTIONS

47. Sports coaches and arts workers may be considered a special case when they are engaged for very short periods of time to complete single sessions or short projects.
48. In these circumstances, sports coaches and arts workers with unsupervised access to children, young people or vulnerable adults are required to have an enhanced CRB check that is less than three years old and that was carried out in Oxfordshire.

TRAINING

49. Line managers and service managers are responsible for ensuring that members of staff in relevant posts (and relevant councillors) have the appropriate level of training for their role, as set out below.
50. There are different levels of training available to members of staff defined by the Oxfordshire Safeguarding Children Board (OSCB).
51. All new members of staff, paid or voluntary, will be briefed on their responsibilities towards children, young people and vulnerable adults during their induction.
52. All members of staff, who are:
- in contact with children, young people or vulnerable adults during the normal course of their role; or
 - responsible for a child or young person for any period during the work experience placement scheme at Vale of White Horse or South Oxfordshire District Council will be required to attend a briefing on safeguarding and promoting the welfare of children, young people and vulnerable adults (OSCB “Introduction to safeguarding” standard).
53. In addition, all members of staff that have unsupervised contact with children or young people on average more than three times in a 30 day period, will be required to attend safeguarding training, which meets the OSCB “Generalist” course standard. They will be required to attend this training no less than once in every three year period.

54. The Designated Officer and Deputy Designated Officer will be required to attend Specialist Child Protection Training through OSCB. They will be required to attend this training no less than once in every three year period.
55. All members of staff that have unsupervised contact with vulnerable adults on average more than three times in a 30 day period will be required to attend Oxfordshire County Council's Level 1 Safeguarding Adults Training.
56. The Designated Officer and Deputy Designated Officers will be required to attend Oxfordshire County Council's higher level Safeguarding Adults Training
57. When it is uncertain whether a member of staff fits into any of these categories, line managers should discuss the issue with the Human Resources Manager and if necessary the Designated Officer.

Exceptions

58. Sports coaches and arts workers may be considered a special case when they are engaged for very short periods of time to complete single sessions or short projects.
59. In these circumstances, sports coaches and arts workers with unsupervised access to children, young people or vulnerable adults are required to participate in an appropriate level of training. This can be through a corporate training programme or an equivalent and relevant training course e.g. Sports Coach UK Safeguarding course.

WORK EXPERIENCE WITH CHILDREN, YOUNG PEOPLE OR VULNERABLE ADULTS

60. All members of staff responsible for children, young people or vulnerable adults for any period during the work experience placement scheme at Vale of White Horse or South Oxfordshire District Council will be required to attend a briefing on safeguarding and promoting the welfare of children, young people and vulnerable adults.
61. The member of staff responsible for the work experience placement must be satisfied that we can meet the health and safety needs of every student and will ensure that the above training takes place and for the following:
 - acquiring a signed parental/carer permission for the student to take part in the scheme, where they are under 16
 - acquiring information from parents/carers about any medical conditions and emergency contact information for parents/carers
 - acquiring any relevant information about the student's history or behaviour from the organiser of the work experience that might impact on the placement

- ensuring that a confidentiality and a statement of responsibility form is signed by the student
- ensuring that there is a timetable of activities for the extent of the placement, including which member of staff will be supervising the student at any one time
- ensuring that there is an up-to-date risk assessment for all activities, which is returned to parents/carers either directly or via the organiser of the work experience
- ensuring that the student is aware of health and safety, fire and first aid procedures while they are on the placement
- being the initial point of contact for the student to report any complaints/incidents to during their work experience particularly if in relation to their supervisor.

TRANSPORTING A CHILD, YOUNG PERSON OR VULNERABLE ADULT

62. Wherever possible it is advisable that transport is undertaken other than in private vehicles, with at least one adult additional to the driver acting as an escort.
63. Members of staff and councillors can transport children, young people or vulnerable adults 12 years or over in the course of their duties as long as the following conditions are satisfied:
- insurance is valid and covers the use of the vehicle for business purposes
 - the vehicle is roadworthy with a valid MOT certificate
 - the child, young person or vulnerable adult wears a seat belt
 - the prior permission of the parents/guardians has been obtained.
64. These are the responsibility of the member of staff/councillor transporting the child, young person or vulnerable adult.
65. If a member of staff/councillor will normally be transporting children, young people or vulnerable adults alone more than three times in a 30 day period, they must have an enhanced CRB check. The relevant head of service is responsible for ensuring this happens.
66. Staff members/councillors should:
- be aware that the safety and welfare of the child is their responsibility
 - report the nature of the journey, route and expected arrival time to their line manager or the relevant member of staff

- accommodate any specific needs the child young person or vulnerable adult may have.

Use of Taxis

67. If children, young people or vulnerable adults are to be transported unaccompanied by taxi then the checklist and booking form shown at Appendix 6 and 7 must be followed. Taxi firms from the Oxfordshire County Council approved list on the intranet must be used. All taxi drivers have to be police checked but the approved list is recognition that they have received specific instructions/training about how to deal with young people in their taxis.

RISK ASSESSMENTS

Work and Work Experience

68. For the purposes of work experience placements, all students are regarded as employees.
69. Managers must assess the risks to children, young people and vulnerable adults before they start work, taking into account their inexperience, lack of awareness of risks, immaturity and other specific needs.
70. There is no need to carry out a new risk assessment each time a young person starts work, as long as the current risk assessment takes account of the characteristics of children, young people and vulnerable adults.

Other activities

71. A risk assessment should be carried out for events that we organise for groups of children, young people or vulnerable adults, for example disability panel meetings and young people's networking events.
72. For regular events, there is no need to carry out a new risk assessment for each occurrence if there is a standard risk assessment which takes account of the activities and characteristics of different children, young people and vulnerable adults attending.
73. There is no need to carry out a new risk assessment each time a child, young person or vulnerable adult visits the council unless you are aware of a particular child, young person or vulnerable adult's needs that will not be met by the current building's risk assessment.

RECORDING IMAGES

74. Staff should be aware of the potential for the recording of images to be misused for pornographic or 'grooming' purposes.

Images of Children and Young People

75. Images recorded of children/young people should be functional as opposed to attractive and children/young people should be fully clothed.
76. Staff should be clear about the purpose of recording images and what will happen to the photographs.
77. Photographs where children are identifiable require parental/carer written consent. This can be satisfied by the written confirmation from a school or youth organisation that the parents/carers of all children have already given consent for the recording and use of images (see sample form Appendix 4).
78. Photographs where young people over the age of 16 are identifiable should have the young person's written consent (see sample form Appendix 4).
79. Any images of children/young people published publicly should not include names without specific parent/carer (children) or young person (over 16) written consent.

Images of Vulnerable Adults

80. Photographs where vulnerable adults are identifiable require consent from the subject(s) of the photograph. The photographer should satisfy themselves that this consent is informed and should record this either as a signature from the adult or as a written record (see sample form Appendix 4).
81. In some circumstances it is acceptable to seek the views of the adult's carer as to whether this consent is informed.

CONTRACTED STAFF

82. Where relevant to the post, all agencies that provide us with contracted staff must have procedures in place to safeguard and promote the welfare of children, young people and vulnerable adults equivalent to those described in this policy.

CONCERNS ABOUT CHILDREN, YOUNG PEOPLE OR VULNERABLE ADULTS

83. You may become concerned about the safety or welfare of a child, young person or vulnerable adult in a number of ways:
 - the person may tell you
 - the person may say something that worries you
 - a third party may voice their concerns
 - you may see something – an incident or an injury or other sign.

Procedure for dealing with concerns

84. All concerns that a child, young person or vulnerable adult has been harmed or is at risk of harm must be reported immediately to the Designated Officer at the earliest opportunity.
85. In the absence of the Designated Officer you should report to the Deputy Designated Officer.
86. All concerns must be recorded using the appropriate report of concern form (see Appendix 5) and be:
 - brief
 - factual (who, what, when, where, how)
 - supported by available evidence e.g. a summary of what has been disclosed.
87. It is not the individual responsibility of any council employee to decide if abuse is taking or has taken place. The incident should be reported, following the correct procedure, and left to the Designated Officer/appropriate agencies to take the matter further.

Emergencies

88. Where an immediate police or medical response is required i.e. if the child, young person or vulnerable adult is in immediate danger of harm/injury you should contact the emergency services and inform the Designated Officer at the earliest opportunity once it is safe to do so.

Responding to a verbal allegation of abuse

89. The person who receives information concerning actual/suspected abuse should:
 - react calmly and quietly
 - take the allegation seriously
 - say little and give time for the other person to talk
 - keep questions to an absolute minimum, do not probe or lead
 - make a full record of what has been said as soon as possible (see report of concern form at appendix 5)
 - pass the information to the Designated Officer, or the Chief Executive if the allegation is against the Designated Officer.

Do not:

- make promises to keep secrets
- panic
- allow your shock/distaste to show
- speculate or make assumptions
- make negative comments
- approach the alleged abuser.

Confidentiality

90. Do not discuss the nature of your concern with anyone other than the Designated Officer (or Deputy if the DO is not available). It is the Designated Officer's responsibility to decide what action to take and who to share these concerns with.
91. It is important that information is shared appropriately and sensitively with the relevant agencies. This will be the decision of the Designated Officer who will take advice from the Local Authority Designated Officer (in a case involving a child or young person) or the Local Authority Safeguarding Adults Manager (in a case involving a vulnerable adult).

Allegations involving a council employee

92. All members of staff are responsible for acting in a way that protects them from wrongful allegations of abuse as far as possible, in line with this policy (see Appendix 8 for guidance on safe working practices).
93. If an allegation involves a council employee, the Designated Officer will work with the Oxfordshire County Council Local Authority Designated Officer (in a case involving a child or young person) or the Local Authority Safeguarding Adults Manager (in a case involving a vulnerable adult) and the Human Resources Manager to respond (this process is outlined in Appendix 10).

BEHAVIOUR OUTSIDE THE WORKPLACE

94. Where there are concerns about a member of staff's behaviour outside of the workplace towards a child, young person or vulnerable adult that may constitute abuse, this should be reported to the DO at the earliest opportunity.

CONTRACTED SERVICES

95. We should refer our contractors to the following guidance document, which was issued under section 11(4) of the Children's Act 2004:

Department for Education and Skills Statutory guidance on making arrangements to safeguard and promote the welfare of children under section 11 of the Children Act 2004 (issued 2007).

CONTACTS

96. If you fear a child, **young person or vulnerable adult is being abused then contact** Oxfordshire County Council Social and Community Services, Access Team 08450 507666

APPENDIX 1 – CONTRIBUTION OF HOUSING STAFF

Housing staff can play an important role in safeguarding and promoting the welfare of children and vulnerable adults as part of their day-to-day work as follows:

- Housing staff may become aware of needs or welfare issues that they can either tackle directly or by assisting the family in accessing help through other organisations.
- Housing staff can assess the housing needs of families with disabled children, who may require housing adaptations in order to participate fully in family life and reach their maximum potential. This also applies to adults with a disability.
- Housing staff assisting people who are homeless or at risk of homelessness may identify that children, young people or vulnerable adults have welfare needs when making enquiries and interviewing the family, particularly where this involves a visit to the home. Staff should consider not only the housing needs but also any need for support to ensure that the housing solution will be successful. Where domestic violence is identified, the safety of children, young people and vulnerable adults must be considered in any offer of appropriate accommodation.
- Housing staff, through their day-to-day contact with families, may become aware of concerns about the welfare of particular children, young people or vulnerable adults. Also, housing authorities may hold important information, for instance regarding a neighbourhood dispute, which could assist local authority social care to carry out assessments. Conversely, social care staff and other organisations working with children, young people and vulnerable adults may have information that will help housing staff in their assessment of what type of accommodation would be suitable.
- Our housing team should have joint protocols to share information with other organisations in appropriate cases.

APPENDIX 2 - CONTRIBUTION OF ENVIRONMENTAL PROTECTION AND FOOD AND SAFETY STAFF

Environmental Health Officers inspecting conditions in private rented housing may become aware of conditions that could impact adversely on children, young people and vulnerable adults. Under Part 1 of the Housing Act 2004, authorities must take account of the impact of health and safety hazards in housing on vulnerable occupants, including children, when deciding on the action to be taken by landlords to improve conditions.

APPENDIX 3 - RISK ASSESSMENT RECORD FOLLOWING DISCLOSURE OF CRIMINAL RECORDS

This assessment form needs to be completed by the appointing officer in conjunction with the person who has committed the offences.

Appointing Officer:

Your Criminal Records Check has been returned and has disclosed an offence or offences. We would therefore like to give you the opportunity to provide an explanation for these offences, as well as the circumstances around you at the time. We need to know who was involved, when it occurred, what occurred, where the offence was committed and why it was committed.

Name of subject:	Date of Birth:
Address of subject:	Disclosure Number:
Role of person Conducting Assessment:	
Name of Person Conducting Assessment -	

Offence:
Date of Offence:
We need to know who was involved, when it occurred, what occurred, where the offence was committed and why it was committed. It is also necessary to establish how the person now feels about the offence/reprimand etc.

Declaration by Applicant:

I certify that the information I have provided on this document is true and complete.

Signature:	Print:
------------	--------

RISK ASSESSMENT TO BE COMPLETED BY THE MANAGER

Risks Associated:

High Risks	
Medium Risks	
Low Risks	

Risk of Re-offending (Tick relevant box)

Opportunity to Re-offend	High	<input type="checkbox"/>	Medium	<input type="checkbox"/>	Low	<input type="checkbox"/>
Severity of Risk	High	<input type="checkbox"/>	Medium	<input type="checkbox"/>	Low	<input type="checkbox"/>

Can protective measures be put in place?

Yes/No

Outline of the Protective Measures:

Overall Risk (tick relevant box)

High	Medium	Low
------	--------	-----

Signed (Manager):

Print Name (Manager): Date.....

I understand and agree to abide by these protective measures.

Signed (Subject): Date.....

Risk Assessment to be reviewed (date):

APPENDIX 4 - MEDIA CONSENT FORM

FOR YOUNG PEOPLE AND VULNERABLE ADULTS

Parent Name: _____

Child's name: _____

Phone number: _____

Address: _____

The following consents are subject to the Conditions of Use on the reverse of this Media Consent Form.

Any child under 16 needs to have parental consent for taking and using a photograph or being filmed. Once a child is 16 years of age they can give their own consent and parent consent does not need to be sought or given. We believe children and young people of all ages should be asked and make the decision as to whether they want to be photographed or filmed.

For the parent/carer if child is under 16	For the young person
I give my consent for my child to be photographed or interviewed by staff from South Oxfordshire District Council/Vale of White Horse District Council for use on the Council's website, Youth website and/ or Youth Magazine and or local media.	I am happy to be photographed or interviewed by staff from South Oxfordshire District Council/Vale of White Horse District Council for use on the Council's website, Youth website and/ or Youth Magazine and or local media.
I give my consent for my child's name to be used in reports or in photos in South Oxfordshire District Council/Vale of White Horse District Council publications or websites and or local media.	I am happy for my name to be used in reports or photos in South Oxfordshire District Council/Vale of White Horse District Council publications or websites and or local media.
I permit staff from South Oxfordshire District Council/Vale of White Horse District Council to use the photographs/interviews in ANY of the following ways: In any printed publications produced On the council's websites or Oxfordshire County Council website In Council advertising campaigns Youth Magazine In local media	I am happy for staff from South Oxfordshire District Council/Vale of White Horse District Council to use the photographs/interviews in ANY of the following ways: In any printed publications produced On the council's websites or Oxfordshire County Council website In Council advertising campaigns Youth Magazine In local media
Parent signature:	Young Person signature:
Date:	Date:

Insert contact details

MEDIA CONSENT FORM CONDITIONS OF USE

1. This form is valid for five years from the date you sign it, or for the period of time your child attends the projects. The consent will automatically expire after this time. However, you acknowledge and understand that there may still be materials in circulation after this time.
2. You are entitled to withdraw your consent at any time provided that you tell us in writing.
3. We will not include personal e-mail or postal addresses, or telephone or fax numbers on video, on our website, or in other printed publications.
4. If we use photographs of individual children, we will not use the full name of that child in the accompanying text or photo caption.
5. If we name a child in the text, we will not use a photograph of that child to accompany the article.
6. We may use photographs or footage with very general labels, to identify the activity being carried out.
7. We will only use images of children who are suitably dressed, to reduce the risk of such images being used inappropriately.
8. Please note that websites can be viewed throughout the world and not just in the United Kingdom.

If you have any queries please contact:

Insert contact details

APPENDIX 5 - CHILD / YOUNG PERSON / VULNERABLE ADULT PROTECTION POLICY REPORT OF CONCERN FORM

Print and fill in this form by hand
Form to be given to Designated Officer at the Earliest Opportunity

You may become concerned about the safety or welfare of a child, young person or vulnerable adult in a number of ways:

1. The person may tell you
2. The person may say something that worries you
3. A third party may voice their concerns
4. You may see something – an incident or an injury or other sign.

Your Name:

Your Job Title:

Child/young person/vulnerable adult's name:

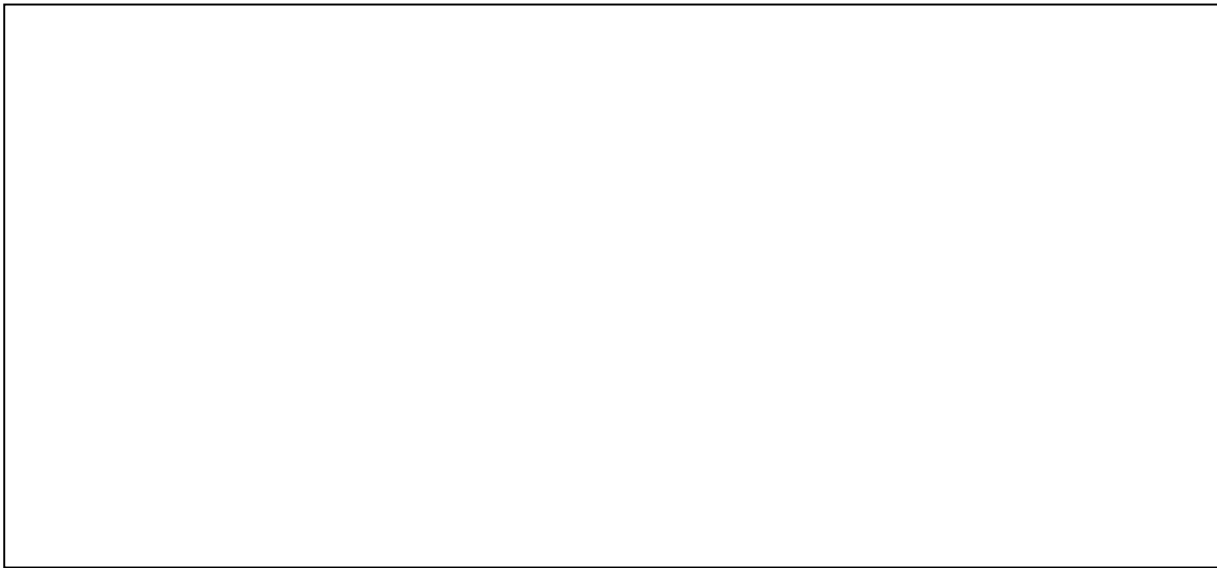
Child/young person/vulnerable adult's address (if you have it):

Child/young person/vulnerable adult's date of birth (if you have it):

Please include details of any third party involved:

Please detail your concerns below, including how you came to be concerned.

Ensure you are brief and factual (think about who, what, when, where, how).
Please attach any additional available evidence.



Your signature:

Date:

At all times, remember to maintain confidentiality. Do not discuss the nature of your concern with anyone other than the Designated Officer. It is the Designated Officer's responsibility to decide what action to take and who to share these concerns with.

Where an immediate police or medical response is required i.e. if the child, young person or vulnerable adult is in immediate danger of harm/injury you should contact the emergency services and inform the Designated Officer at the earliest opportunity once it is safe to do so.

To be completed by Designated Officer

Details of who/which organisations you have spoken to about this issue:

Name of person/job title	Organisation	Date of Contact

Details of any action taken, including dates:

APPENDIX 6 - CHECKLIST FOR BOOKING TRANSPORT FOR CHILDREN, YOUNG PEOPLE AND VULNERABLE ADULTS

- Ensure parent has agreed to their child, young person or vulnerable adult being transported in a taxi and signed has relevant consent forms
- Confirm with parents where child/young person or vulnerable person needs collecting from e.g. home, school, college and get full address including post code
- Find local taxi company from the Oxfordshire County Council approved taxi list (Drivers on this list are CRB checked – list available on the intranet)
- Telephone the company and make a booking, get a quote, booking number and confirm payment by invoice. They may require a purchase order to be able to invoice.
- Email taxi company to confirm details of young person, child or vulnerable adult, pick up and drop off details using booking form (available on the intranet)
- Receive confirmation of pick up times from taxi company
- Confirm pick up time and booking details with parents/young person, child or vulnerable adult and telephone number of worker to contact if there are any problems
- On the day of meeting ensure worker has taxi booking details in case taxi does not arrive or there is a delay
- Worker to meet young person, child or vulnerable adult at venue/meeting
- At the end of the meeting worker to ensure that young person, child or vulnerable adult is collected from venue/meeting by taxi and returned home/school safely

APPENDIX 7 - TAXI BOOKING FORM

Request from: (Name): _____

Contact telephone number _____ or mobile _____

Ref for invoice: (What event/visit) _____

Invoice Code: _____

Date of event: _____

Pick up in time to arrive at (Address)

for (Time) _____

Collect: (Name of young person) _____

From: (pick up address) _____

- When collecting a child, young person or vulnerable adult from a **school or college**, please go to meet them in the school/college's main reception, unless otherwise directed.
- When collecting a child young person or vulnerable adult from **home** knock on the clients door, do not use the horn
- Do not leave a child or young person or vulnerable adult at the destination until they have been met by myself or a co-worker.
- If the child or young person or vulnerable adult is not at pick up place please call worker.
- Do not leave until worker has investigated and gets back in touch with driver
- Please let worker know if taxi is running late
- Please carry names and addresses for young people, child or vulnerable adult on transport
- Carry ID badge, workers or clients may ask to see badges.

Return: Collect at (Time) _____

From (Address) _____

and drop at (address) _____

Please let me know approx collect and return times as soon as you can, by email if that's easier so I can pass that information on to the children, young people or vulnerable adults.

Please email back to (insert Name) _____ to confirm details:

Email Address _____

Invoices can be emailed or posted to:

APPENDIX 8 - GUIDANCE FOR SAFE WORKING PRACTICES WITH CHILDREN, YOUNG PEOPLE AND VULNERABLE ADULTS

EXERCISE OF PROFESSIONAL JUDGEMENT

There will be occasions and circumstances in which staff have to make decisions or take action in the best interests of the child or young person which could contravene this guidance or where no guidance exists. Individuals are expected to make judgements about their behaviour in order to secure the best interests and welfare of the child/young person/vulnerable adult and in so doing, will be seen to be acting reasonably.

GROOMING

There are occasions when adults embark on a course of behaviour known as 'grooming' where the sole purpose is to gain the trust of a child, young person or vulnerable adult and manipulate that relationship so sexual abuse can take place. Staff should be aware that conferring special attention and favour upon a child, young person or vulnerable adults might be construed as being part of a 'grooming' process, which is an offence.

BEHAVIOUR

An individual's behaviour, either in or out of the workplace, should not compromise her/his position within the work setting:

- adults should act as a role model and not drink alcohol or smoke in front of children/young people/vulnerable adults
- at no time should adults enter children/young people/vulnerable adult's rooms.

SOCIAL CONTACT

Staff should not establish or seek to establish social contact with children/young people/vulnerable adults that they have met through work for the purpose of securing a friendship or to strengthen a relationship. If a child/young person or parent seeks to establish social contact, or if this occurs coincidentally, the member of staff should exercise their professional judgment in making a response and be aware that such contact could be misconstrued as grooming.

COMMUNICATION WITH CHILDREN/YOUNG PEOPLE/VULNERABLE ADULTS USING TECHNOLOGY

Children, young people and vulnerable adults use technologies as a positive, productive and creative part of their activities. Children, young people and vulnerable adults often use these methods to make plans with friends or organise events so if you are working with children, young people and vulnerable adults it may be necessary to communicate with young people in this way.

By technologies we mean:

- mobile phones
- email
- social networking sites e.g Facebook – socialising with friends and making new ones within online communities
- Instant Messenger – chatting with friends live online.

Staff should not give their personal contact details to children/young people/vulnerable adults including e-mail, home or personal mobile telephone numbers.

Adults should, where possible, only use equipment provided through work to communicate with children/young people/vulnerable adults.

An exception to this may be where councillors are communicating with children, young people or vulnerable adults in their constituency for the purposes of representing them in the council. In these circumstances adults should be circumspect in their communications with children/young people/vulnerable adults so as to avoid any possible misinterpretation of their motives or any behaviour which could be construed as grooming.

SOCIAL NETWORKING SITES

Under no circumstances should personal accounts in social networking sites be used to communicate with children/young people/vulnerable adults that staff members have met during the course of their work. The use of a professional social networking site may only be used in line with council policy at such time as one exists.

If staff do use a social networking site to communicate with children, young people or vulnerable adults staff should set up an account using their work email address and only join groups that are managed by Oxfordshire County Council, Participation and Play Team and those that you are specifically invited to join such as UK Youth Parliament or Oxfordshire Youth Parliament Groups.

If children, young people or vulnerable adults you don't know "invite you to be a friend" you should not accept their invitation.

Do not pass on any child, young person or vulnerable adult's email or mobile phone number without their permission.

ONE TO ONE SITUATIONS

Staff should avoid spending time alone with a child/young person. Where possible, they should ensure that there is visual access and/or an open door in one to one situations.

PHYSICAL CONTACT

There are occasions when it may be appropriate for staff to have physical contact with children or young people or vulnerable adults e.g. sports coaching (see below), but it is crucial that they only do so in ways appropriate to their professional role.

It is not possible to be specific about the appropriateness of each physical contact. Staff should use their professional judgement at all times. They should be aware that any physical contact may be misconstrued.

Adults should:

- never touch a child, young person or vulnerable adults in a way which may be considered indecent
- never indulge in horseplay, tickling or fun fights
- always encourage children or young people, vulnerable adults, where possible, to undertake self-care tasks independently
- always be prepared to explain actions and accept that all physical contact be open to scrutiny.

Extra caution may be required where it is known that a child or young person or vulnerable adult has suffered previous abuse or neglect. In the child/young person/vulnerable adult's view, physical contact might be associated with such experiences and lead to staff being vulnerable to allegations of abuse.

SPORTS COACHING

Some staff, for example, those who coach sports will, on occasions, have to initiate physical contact with children/young people/vulnerable adults in order to support them so they can perform a task safely, to demonstrate the use of a particular piece of equipment or assist them with an exercise. This should be done with the pupil's agreement

Contact under these circumstances should be for the minimum time necessary to complete the activity and take place in an open environment. Staff should remain sensitive to any discomfort expressed verbally or non-verbally by the child/young person.

POWER AND POSITIONS OF TRUST

A relationship between a member of staff and a child/young person/vulnerable adults that they have met through the course of their work cannot be a relationship between equals. There is potential for exploitation and harm and staff have a responsibility to ensure that an unequal balance of power is not used for personal advantage or gratification.

Staff should avoid behaviour, which might be misinterpreted, and report and record any incident with this potential.

CONFIDENTIALITY

Confidential information about a child or young person or vulnerable adult should never be used casually in conversation or shared with any person other than on a need-to-know basis. In circumstances where the child/young person/vulnerable adult's identity does not need to be disclosed the information should be used anonymously.

For circumstances in which a member of staff is expected to share information about a child/young person/vulnerable adult, for example when abuse is alleged or suspected, they have a duty to pass information on without delay, but only to those with designated child/young person/vulnerable adult protection responsibilities.

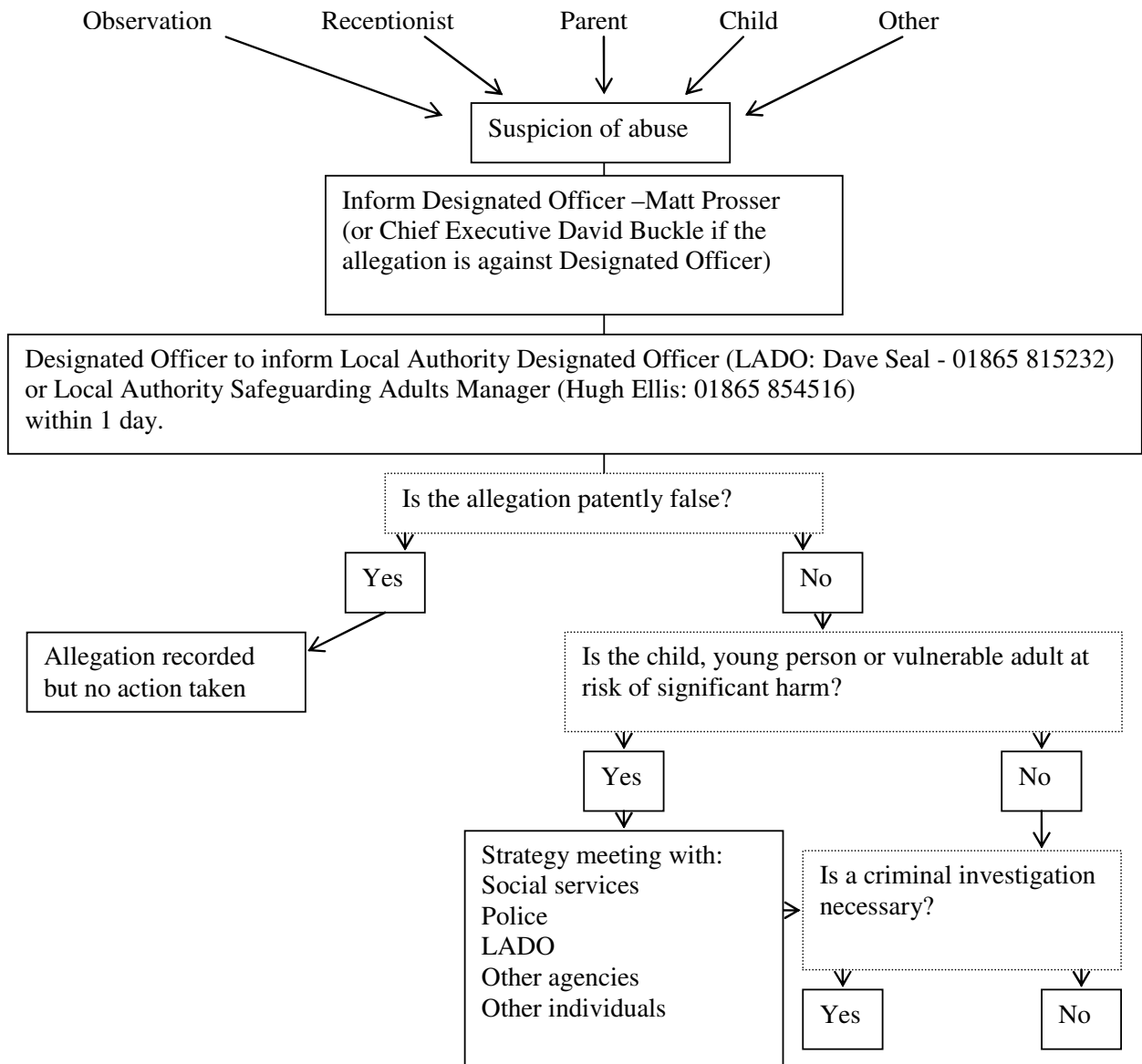
DRESS AND APPEARANCE

Staff should consider the manner of dress and appearance appropriate to their professional role. Staff should ensure they are dressed decently and appropriately for the tasks they undertake.

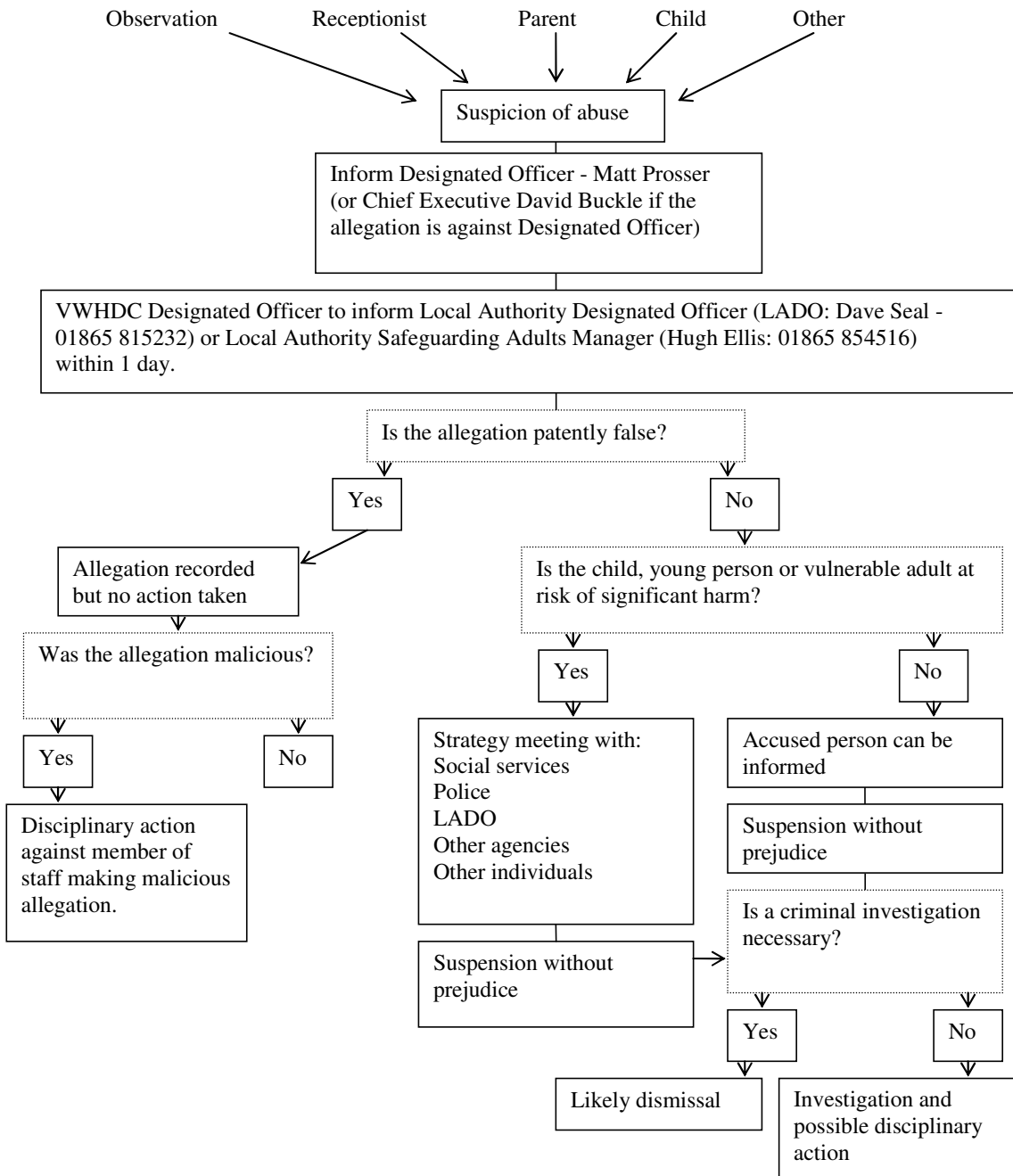
REFERENCES

This guidance has been adapted from: *Guidance for Safe Working Practice for the Protection of Children and Staff in Education Settings* (2006) Department for Education and Skills.

APPENDIX 9 – PROCEDURE FOR ALLEGATIONS OF ABUSE BY A THIRD PARTY MADE TO A MEMBER OF STAFF



APPENDIX 10 - PROCEDURE FOR ALLEGATIONS OF ABUSE INVOLVING A COUNCIL EMPLOYEE



APPENDIX 11 - DEFINITIONS OF ABUSE IN CHILDREN**

Taken from Oxfordshire Safeguarding Children's Board, 2008.

***Child* is taken to mean a person under that age of 18.

SEXUAL ABUSE

Sexual abuse involves forcing or enticing a child or young person to take part in sexual activities, including prostitution, whether or not the child is aware of what is happening.

The activities may involve physical contact, including penetrative (i.e. rape, buggery or oral sex) or non-penetrative acts. They may include non-contact activities, such as involving children in looking at, or in the production of, sexual online images, watching sexual activities, or encouraging children to behave in sexually inappropriate ways.

PHYSICAL ABUSE

Physical abuse may involve hitting, shaking, throwing, poisoning, burning or scalding, drowning, suffocating or otherwise causing physical harm to a child. Physical harm may be caused when a parent or carer fabricates the symptoms of, or deliberately induces illness in a child.

EMOTIONAL ABUSE

Emotional abuse is the persistent emotional maltreatment of a child such as to cause severe and persistent adverse effects on the child's emotional development. It may involve conveying to children that they are worthless, unloved or inadequate. It may feature age or developmentally inappropriate expectations being imposed on children. These may include interactions that are beyond the child's development capability, over protection and limitation of exploration and learning, or preventing the child participating in normal social interaction.

It may involve seeing or hearing the ill-treatment of another. It may involve serious bullying causing children to feel frightened or in danger or the exploitation or corruption of children. Some level of emotional abuse is involved in all types of maltreatment of children.

NEGLECT

Neglect is the persistent failure to meet a child's basic physical and/or psychological needs, likely to result in the serious impairment of the child's health and development. Neglect may occur during pregnancy as a result of maternal substance misuse.

Once a child is born, neglect may involve a parent or carer failing to:

- provide adequate food, clothing and shelter
- protect a child from physical and emotional harm or danger
- ensure adequate supervision (including the use of inadequate care-givers)
- ensure access to appropriate medical care or treatment.

It may also include neglect of, or unresponsiveness to, a child's basic emotional needs.

APPENDIX 12 - DEFINITIONS OF ABUSE IN VULNERABLE ADULTS

PHYSICAL ABUSE

Being physically hurt or harmed, or put at risk of harm, either deliberately or through rough, careless or thoughtless behaviour.

Physical abuse may include:

- non-accidental actions causing injuries, such as bruising, lacerations or welts, burns, fractures or dislocations
- threats of violence
- refusing to provide food as a punishment for disobedience
- hitting, smacking, biting, shaking or kicking
- pulling arms, hair or ears
- bending back fingers or bending an arm up behind the back
- placing hot substances in the mouth
- leaving a person in clothing or bedding that has been soiled
- physical restraint which is not justified, authorised or excused by law
- being lifted or moved roughly or carelessly or in a way that makes the person frightened or puts them at risk
- misuse of medication, e.g.
- giving medication that hasn't been prescribed
- giving too much medication or over-prescribing medication like anti psychotics i.e. to make the care of people with dementia or challenging behaviours easier for staff
- giving over the counter medication without first checking with the consumer's doctor for appropriateness or any potential harmful side affects.

EMOTIONAL ABUSE OR BULLYING

Being humiliated or put down or made to feel anxious, frightened or intimidated. Some level of emotional abuse is involved in all forms of ill treatment, though it may also happen on its own. Emotional abuse is often the first sign of other forms of abuse happening.

Emotional abuse may include:

- humiliating the person for losing control of their bladder or bowels
- shouting orders
- using humiliating or patronising names, or failing to address the person in their preferred manner
- treating adults as children
- humiliation, emotional blackmail, blaming, swearing, intimidation, name calling or isolation from friends and relatives
- the use of social isolation (ignoring)
- locking the person in their bedroom
- using other service users to provide physical control over another service user
- harassing a person to eat food they don't want to eat (or which is contrary to their cultural or religious beliefs)
- threats of harm or abandonment
- verbal or racial abuse
- isolation or withdrawal from services or emotional supports.

FINANCIAL ABUSE

Includes theft, fraud or exploitation,,the misuse of a position of authority for financial gain.

Financial abuse may include:

- denying the person access to or control over their money and personal finances
- taking the person's money or other property without their consent (which is likely to also constitute a criminal offence) or where their consent is fraudulently obtained
- misappropriation of money, valuables or property
- changes to wills or other legal documents, by coercion, misrepresentation or where consent for changes was fraudulently obtained
- denying the person access to information or documentation concerning their personal finances or individualised funding package
- personal use of a person's telephone which is not recorded or reimbursed

- staff borrowing or asking to borrow client's money or personal possessions even for a brief period, e.g. CDs, lawn mowers etc
- staff purchasing client's possessions at grossly below the real and accepted value of the item
- staff using clients vehicle for their own purposes
- theft or burglary
- grooming for the purposes of financial gain.

NEGLECT

- ignoring a person's medical or physical care needs
- withholding the necessities of life, such as medication, food/drink and heating
- failure to provide access to appropriate health, social care or educational services.

Neglect may also occur where there is a failure to take appropriate action to safeguard a person's welfare or to be negligent in the face of risk.

Concerns or allegations of physical or sexual abuse are often seen as more serious than neglect. But long standing physical neglect is often a major factor in deaths from abuse.

Neglect may include:

- not giving the necessary help or support so that the person can eat or drink
- failure to provide adequate food or drink or ensure that the person can eat or drink it, e.g. by placing it out of reach or not providing the equipment the person needs
- not providing adequate food, shelter, clothing or basic personal health care
- not using the person's communication devices to allow the expression of needs, choices or preferences
- failing to recognise or acknowledge non-verbal messages conveyed of people who have limited communication abilities
- leaving the person alone in a vehicle for extended periods
- not obtaining or seeking the appropriate medical, specialist, therapy or other health support the person may need e.g. dental care
- not ensuring that a person has access to regular medical support including assessments for medication blood levels, blood pressure, diet and nutrition or access to regular health screening tests

- failure to access or provide proper care or medical services for the person
- failure to report concerns
- negligence in the face of risk taking
- failure to give prescribed medication.

SEXUAL ABUSE

This includes all unwanted sexual acts or being made to do something that you don't want to, didn't or couldn't agree to. Sexual abuse doesn't have to be physical, for example it could include jokes or comments or being made to watch, look at or listen to something that makes you feel uncomfortable or embarrassed.

All adults have a right to express their sexuality. However, where there is any doubt as to a person's capacity to make informed decisions it is essential that the concern is reported and the necessary assessments are carried out in accordance with the Mental Capacity Act.

Sexual abuse may include:

Non contact:

- unwanted comments or sexual innuendo
- involving people against their wishes, or where they are unable to consent, in looking at, or in the production of pornographic material or sexual activities
- encouraging a person who lacks capacity to behave in a sexually inappropriate or provocative way e.g. dressing provocatively, soliciting

Contact:

- unwanted sexual touching or touching the person could not consent to or was coerced into
- other sexual activity the person could not consent to or was coerced into e.g. masturbation, oral sex or rape.