TENANT MANAGEMENT ORGANISATION
MONITORING PROCEDURE GUIDE

1. Background

The management of the Council's housing stock was delegated to the Royal Borough of Kensington and Chelsea Tenant Management Organisation in 1996. A Management Agreement between the two parties governs the arrangements. The first agreement was signed in February 1996, and then updated with a Deed of Variation in November 2002 when the TMO became an Arms Length Management Company in order to secure Decent Homes funding from central government. In April 2006 the agreement was updated and revised in to a Modular Management agreement in line with ALMO best practice, recommended by central government. A further update was completed in 2015.

The monitoring of the TMO is undertaken by officers in the Housing Commissioning (HC) Team, managed by the Head of Housing Commissioning.

This procedure guide should be read in conjunction with the MMA, but sets out the day to day monitoring function of the TMO undertaken by the Housing Commissioning team, in its client side role.

2. Modular Management Agreement

a.   The Agreements are kept in the office both in hard copy, on the shared server (\\Nas01\hipt\GN - TMO) and on the intranet http://kcnet/cs/Doing%20my%20job/Advice%20and%20guidance/housing%20options/TMOregisteprovid/Pages/Default.aspx

b.   Annual Review

In accordance with good practice the MMA will be reviewed annually to incorporate actual working practice in to the agreement by updating the Schedules contained in Volume 2 of the MMA. This is timetabled in to the Monitoring Timetable Appendix 1, and involves a meeting with the TMO's Company Secretary to put a work plan in place for the update.

In exceptional circumstances there may be changes to Volume 1 – The Agreement; which will require discussion and approval from the TMO Board, HSDMT and the Cabinet Member for Housing and Property, and may result in a Deed of Variation. The process in the MMA must be followed, see below.

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The General Needs Housing Commissioning team will arrange the meeting with the TMO's Company Secretary to discuss the work plan, changes and updates that need to be made to the MMA and the Schedules. Both parties will have canvassed other officers (see list for TMO (HRA) meetings) for updates on procedures and policies in the year and once these have been put in to a schedule and cross referenced with the MMA they will be referred by the HC team to Legal Services. Depending on the comments from Legal Services further investigation may be necessary and then depending on the types of changes required in the MMA approval for these may be:

Changes to Volume 1
Follow the provisions set out in MMA, Volume 1, Chapter 1, Clause 18, Page 21. HCT and Company Secretary to organise.

Changes to Volume 2
Update schedules – no approval necessary
Change schedules – discuss at TMO (HRA) performance meeting – decide if these needs to go to TMO Board/Cabinet Member for Housing and Property Services

Once updates agreed notify Legal, Policy, TMO's Business Improvement Team, and update MMAs on Housing intranet.

c. Five Year Review

As stated above the current document came in to effect in April 2006. In accordance with the MMA the arrangements will continue until terminated in accordance with the agreement, however it will be subject to Five Year Reviews. The review process and scope is determined by the MMA Volume 1, Chapter 8, Clause 7, Page 98. HCT to arrange meetings to start the process.

Next Five Year Review – April 2018

d. Failure to Perform

In circumstances where performance issues have been raised during the TMO (HRA) meetings or Quarterly PI meetings and these have not been resolved then the Council will follow the Escalation Protocol at Appendix 8.

Should the matter not be resolved satisfactorily following the Escalation Protocol then in accordance with the MMA Volume 1, Chapter 1, Clause 19, Page 24 the TMO will be requested by the Borough to produce an Improvement Plan. Appendices 9 and 10 set out the process for implementing and monitoring the Plan.

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The HC team will be responsible for monitoring the progress of the Plan and will direct the work streams in accordance with the process.

During this time the Improvement Plan will override any Performance Plan. Once the Council has deemed that the TMO has achieved the aims of the Improvement Plan then the monitoring will revert back to the Performance Plan. This decision will be a joint discussion through an Improvement Plan meeting and will be reported to the next available Scrutiny Committee.

Should the Improvement Plan not be implemented to the Council's satisfaction the option of Serving of a Breach Notice, and the subsequent processes (Warning Notice, Supervision Notice or Termination) will be undertaken. The process is prescribed by the MMA Volume 1, Chapter 1, Clause 19.4 – 20.11, Page 25 – 30.

3. Performance Indicators

The Performance Indicators are a mixture of indicators taken from old the National Indicators (NIs), Best Value PIs and Local Indicators that are chosen by the TMO and Council to demonstrate improving performance in areas of importance to the service. The targets are set using national data for councils and ALMOs collected through benchmarking clubs and from other council partners.

The TMO's Business Improvement Team is invited to Housing's Annual PI meeting held in October/November to discuss PIs for the forthcoming year (see Appendix 6). Once the HC team and BIT have had the suite of PIs agreed by the TMO Executive Team and HSDMT, the TMO then set the targets. These are agreed by HC team through a meeting with the Head of HC and Director of People and Performance.

Data is monitored and collected quarterly or annually by the TMO, and performance is monitored by the HC team on quarterly basis through the TMO (HRA) Performance meetings, and at the Annual Review meeting in preparation for the reporting to the Cabinet Member, Scrutiny Committee members and the TMO Board members.

4. Quarterly monitoring

At the end of each quarter the HCT contacts the TMO's Business Improvement Team for the quarterly performance information. The TMO either send over their Scorecard or complete the Performance Reporting template. The HCT checks the information to ensure the figures and the commentaries are correct and analyses the trends, completing the trends and targets columns, obtaining more information

from the Business Improvement Manager if there are any anomalies or exceptions on performance.

The information is discussed with the Head of HC once it has been agreed it is put of the agenda for the HSDMT. It is then submitted to the Corporate Service Improvement team (who will request the information by e-mail and detail the timetable for submission), for onward submission to the Corporate Board

See Appendix 2 for process.

5.   PI Audits

As part of a rolling programme of PI Audits the HCT and the Business Improvement Manager (in consultation with their managers) will agree which PIs for the suite should be audited during the year.

Once agreed the HCT and/or BIM/Housing Initiatives Officer will visit the PI contact. Using the Self Audit sheet – found at
\\Nas01\hipt\GN - PI Data\Audit Sheets 2013-2014
Officers will go through the sheet with the PI contact/Data Manager, looking at the processes in place for collecting data and verifying it in accordance with the Borough's data quality procedures, also found at the link above. This will include looking at the data produced, systems where the information is stored, the downloading and the reporting mechanisms.

An example is shown at Appendix 7.

5.   TMO (HRA) Performance meeting

The TMO (HRA) Performance meeting's purpose is to monitor the working relationship with the Council and the TMO, looking at performance across the different departments within both organisations and at the performance indicators.

See Appendix 3.

6.   Asset Management and Business Planning Meeting

The Asset Management and Business Planning meeting is held bi-monthly and organised by the Council. The purpose is to discuss the progress and spend of the Capital Programme, including Asset Management projects and funding. Attendees are listed in the schedule of meetings

The agenda contains:

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Capital Programme Report
Budget
Capital Bid – future year
Asset Management Strategy and the Annual HRA Business Plan
Specific capital schemes which sit outside the capital programme
Hidden Homes/Disposals

7. Home Ownership meeting

This meeting is held quarterly to discuss performance of the Home Ownership Services. It is organised by the Council. Attendees are listed in the Schedule of meetings. Examples of minutes and agendas are in the Homeownership folder.

8. Tenants' Consultative Committee

The meeting is held once a year currently, in January to discuss the rent setting, a mandatory function of the meeting. All of the TMO residents' associations are invited to the meeting, with the Director of Housing and the TMO Chief Executive setting the agenda, although the residents' associations are invited to submit agenda items. Governance Services (Cabinet Member of Housing and Property Service's assistant) organises and services the meeting. A separate TCC folder holds the minutes and agendas.

9. Reporting

There are three formal reports that go to the Cabinet Member for Housing and Property, the TMO Board and the Scrutiny Committee on Housing and Property. The Annual Review and Performance Plan are usually combined for the reporting purposes.

a. Performance Plan – This document is the key framework for the TMO's performance for a financial year. It sets out the work plan and targets for the PIs. The Performance Plan is drafted with full consultation from the TMO, and members of other council departments.

b. The 6 monthly progress report – This document gives councillors and board members details of the TMO performance against the Performance Plan for the first two quarters of the financial year. Produced in October/November it is useful to take stock of performance and re-adjust the work plan to ensure that it meets the criteria in the Performance Plan for that year.

c. The Annual Review is produced at the end of the financial year and is a look back at the TMO's performance over the previous year, comparing it to the Performance Plan. The Annual Review details the outturn on

the PIs and highlights areas of good performance or need for improvement.

These processes involved in producing these reports are detailed in Appendix 4.

See also full list of meetings and reporting at Appendix 5.

MONITORING TIMETABLE

Month	Action	Officer
July 1	Quarterly monitoring for April – June	Housing Commissioning
October 1	Quarterly monitoring for July – September	Housing Commissioning
2	Produce mid year PI report	
3	Produce 6 monthly Progress Report - see Appendix 4.	
January 1	Quarterly monitoring for Oct - Dec	Housing Commissioning
April 1	Quarterly monitoring for January - March.	Housing Commissioning
2	Produce end of year PI report	
3	Prepare Annual Review and Performance Plan – see Appendix 4	
May 1	Arrange and undertake benchmarking exercise	Housing Commissioning
2	Arrange and undertake review of TMO MMA	
3	Request Audit Sheets and follow up	

QUARTERLY MONITORING

1.   At the end of each quarter Housing Commissioning e-mails the TMO's Business Improvement Manager for the quarterly monitoring which is a range of PI data found at:

http://teamareas/hss_secure/housing/HousingNeedsBusInfo/Housing%20Suite%20Performance%20Indicators/Forms/AllItems.aspx

A timescale is set in accordance with the reporting timeframe given by the Corporate Services Service Improvement Team.

2.   The TMO data is provided in the required format and a copy of TMO's scorecard which goes to TMO Board is provided, which includes a traffic lights report and comments on performance.

3.   Data not provided for the Tracker, usually annual data, is requested from the Business Improvement Manager or other officers as appropriate.

4.   The figures are checked for accuracy and queries are taken up with the appropriate officers. This includes issues about data quality.

5.   The information is analysed as to whether it is on trend, not meeting targets, and if the commentary is informative and focussed on process

6.   Under performance or non-compliance issues are raised at the HRA performance meeting and outcome is monitored.

7.   Where necessary an action plan is put in to place, with implementation dates, and monitored through the HRA performance meeting or directly with the appropriate TMO Director.

8.   The Performance Tracker contains details of the appropriate contacts for each of the PIs (see link at item 1), but all liaison is through the TMO's Business Improvement Manager who gets the information agreed and signed off by the Executive Team.

Mid year and End of Year Monitoring

1. The Service Improvement Team contact the Housing Commissioning in October and April asking for the respective mid year and end of year returns to be made.

2. The HCT e-mails the TMO to ask for completion of the spreadsheet as per the quarterly monitoring process. The spreadsheet requests the same information as the quarterly return with the exception of asking for the numerator and denominator where there is a percentage figure provided. This spreadsheet also asks for a Red, Amber, Green for the trend reporting.

3. All of the processes are the same as quarterly monitoring.

4. At the end of year reporting HCT will request that the Audit Sheets are completed – see GN – PI Data

HRA MEETINGS

1) Frequency – Every quarter

2) Length of meeting – One and half to two hours

3) Co-ordinator – Housing Commissioning

4) Attendees:

    a) Council: Housing Commissioning Team

    b) TMO: Director of Customer Services, Director of Housing and Director of People and Performance

    c) Other officers depending on the agenda.

5) Preparation:

    a) Follow up from previous meeting.
    b) Check agenda items that should be carried over or that have been raised in the intervening period.
    c) E-mail performance contacts for issues to be raised:

        Customer Care and Complaints – Jon Morcom
        Environmental Health – Anju Sidhu
        Equalities – Angela Chaudry
        Housing Benefits – Gavin Lewis
        Housing Needs – Amanda Gill
        Law and Administration – David Walker
        Nominations performance – Sarah Evans
        Occupational Therapy – Kathy Jones
        Property Services – Richard Egan
        Regeneration – Ruth Angel

        Request from TMO the latest PIs for the meeting

    d) Draft agenda following b) & c) plus standards items:

        Minutes of the last meeting
        Matters Arising
        TMO Issues
        Quarterly Performance
        Housing Regeneration Programme
        MMA – Review, Updates
        Complaints/Ombudsman/Adjudication

Any Other Business

    e) E-mail agenda and minutes of the last meeting to attendees 3-4 days prior to meeting.

6) Post meeting

    a) Draft minutes and check accuracy with Head of HC.
    b) Circulate to attendees.
    c) Follow up on action plan.
    d) Diarise next meeting if necessary.

REPORTING

A.	**6 monthly Progress Report**	
1	Check date of Scrutiny Committee and inform Governance Services that the report will be produced for that date.	HCT
2	Obtain April – September quarterly monitoring information and additional data required to cover progress and issues from HRA minutes, and discussions with Head of HCT and TMO Director of People and Performance.	
3	Draft report using previous year's template.	
4	Circulate 1st draft to Head of HCT, Group Finance Manager and TMO Head of Director of People and Performance. Make amendments.	
5	Circulate 2nd draft, include Director of Housing. Make amendments	
6	Arrange and attend Digest meeting to discuss with Cabinet Member for Housing and Property Services. Make amendments.	
7	Finalise drafts for Scrutiny Committee and submit to Governance Services.	
B.	**Annual Review and Performance Plan.**	
1	Check date of Scrutiny Committee and inform Governance Services that the report will be produced for that date.	
2	Annual Review - obtain April – March quarterly monitoring information, annual PIs and additional data required to cover progress and issues from HRA	

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3	minutes, and discussions with Head of HCT and TMO Director of People and Performance. Performance Plan – e-mail all contacts detailed in HRA Performance meeting appendix (and section heads) to request items to be included, plus issues from HRA minutes, and discussions with Head of HCT and TMO Director of People and Performance.	
4	Check with TMO's Business Improvement Manager and Performance Officer in SIT regarding PI details.	
5	Draft reports using previous year's template.	
6	Put Performance Plan on the Forward Plan.	
7	Circulate 1st draft to, Head of HCT, Group Finance Manager and TMO Director of People and Performance Make amendments.	
8	Circulate 2nd draft to Head of Housing, Head of Resource Management, TMO Chief Executive. Make amendments	
9.	Arrange and attend Annual Review meeting to discuss outcome with Cabinet Member for Housing and Property, TMO Chair and Chief Executive. Make amendments.	
10.	Finalise drafts for Scrutiny Committee and submit to Governance Services.	
C.	**Improvement Plan**	
1	Request Director of Housing's PA books a series of monthly meetings for 6 months.	

	Invitations go to Cabinet Member for Housing and Property, Director of Housing, TMO Chief Executive, Director of Customer Services, Director of People and Performance, Head of HCT	
2	A week prior to the meeting request the latest report on the Improvement Plan that has been submitted to the TMO Board for approval.	
3	HCT transfers information on to template (see Appendix 11) and circulates to members of the group.	
4.	At the meeting the TMO discuss progress and answer queries. HCT takes minutes and updates plan.	
5.	HCT circulates updates in preparation for the next meeting.	

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SCHEDULE OF MEETINGS AND REPORTS

a. **Meetings with the TMO**

	Meeting	Frequency	Council Attendees	TMO Attendees
1	**Councillor's Policy Board** High level discussion of policy, strategy and performance	Monthly	Cabinet Member for Housing, Director of Housing	Chief Executive, Director of Customer Services and Director of People and Performance as necessary
2	**TMO / Director of Housing** One to one discussion of policy, strategy and performance	Monthly	Director of Housing	Chief Executive
4	**Joint Management Team** Discussing policy, strategy and performance	Quarterly	Senior Management Team members SM, LJ, AJ, RA	Chief Executive, and Executive Team
5	**TMO/RBKC Voids and Allocations liaison** Operational group	8 weekly	Housing Needs Group and HCT	Assistant Director of Neighbourhood Service, Head of Repairs and Customer Service and Voids Officer
6	**TMO/HRA Performance meeting** Strategic and performance discussion	Quarterly	HCT and Regeneration and Strategy Team	Director of People and Performance, Director of Customer Services
7	**Asset Management and Business Planning**	8 weekly	Head of Strategy and Regeneration Manager, HCT, Finance	Asset and Regeneration Team
8	**Homeownership Performance** Operational group	Quarterly	HCT	Head of Home Ownership
9	**Housing Benefits**	Quarterly	Customer	Rent Income

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			Services Group Leader	Manager
10	**Legal Services meeting** Operational group	Quarterly	Senior Solicitor (Litigation) and the Business Manager	Projects Manager and Coordinator
11	**Legal Services Annual meeting** Strategic and performance group – SLA	Annually	Director of Legal Services, Chief Solicitor, Senior Solicitor (Litigation) and the Business Manager	To be agreed
12	**Tenants Consultative Committee** Strategic meeting	Annually	Cabinet Member for Housing, Director of Housing	Chief Executive and Executive Team
13	**Annual Review** Strategic and performance group – past year's performance	Annually	Cabinet Member for Housing, Director of Housing, Head of HCT	Chairman of the TMO Board, Chief Executive and Executive Team

b. Multi-agency meetings that TMO reps attend

1	**Multi-agency ASB meeting** Operational group	Monthly	Noise and Nuisance Service	Neighbourhood Manager (South)
2	**Complaints meeting** Operational group	6 weekly	Cabinet Member for Housing	Complaints Team
3	**Health and Safety Main Coordinating Committee** Operational group	6 weekly	Safety Liaison Officers from each Business Group	Health and Safety Advisor

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b.   Reports

Annual and half yearly performance review and performance plan – To the Scrutiny Committee - April/May and November

Quarterly PIs collected by HCT for reporting HSDMT – July/October/January/April

Mid year and end of year PI reports – To Service Improvement Team for Corporate reporting

Void monitoring - monthly

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Housing Annual PI meeting

1.	Arrange meeting in November.
2.	Invite all PI contacts listed on PI template
3.	Agenda **Current PIs and performance** – are they still relevant, do they need amending? **Future targets** – request that targets are set by January for reporting to the Service Improvement team (SIT) **Reporting** – explain reporting (Performance Management Board and Scrutiny Committee), mid year and end of year Corporate reporting (all to SIT) **Data Quality issues** – refer to Intranet **Audit visits** – Undertaken by HCT, Internal Audit or external auditors
4.	The meeting must be minuted. HCT follow up on issues and actions and resolve queries to produce a refreshed set of PIs.
5.	Results of the meeting are reported to HSDMT. Following these discussions further follow up to resolve issues to finalise a set of refreshed PIs.
6.	Report refreshed PIs to SIT when requested in February/March.

RBKC SELF-AUDIT FORM

PERFORMANCE INDICATOR AND PI OWNERS			
PI ref. and title	NI 158		
Business Group	HHASC/TMO	Team	TMO Asset Management
Perf. manager	Janet Seward		
Data manager	John Parsons		
Risk assessment	[**Medium**, as recorded on audit pro forma]		

HISTORY

BVPI 184a went through an audit in 2008 and there was an issue regarding how to account for properties where tenants had refused works. This has now been clarified through the implementation of NI 158.

Following original concerns from Audit in 2004, regarding robustness of Decent Homes PI information, surveys and a Stock Condition Database (SCD) were implemented to hold all stock condition data. A Decent Homes Calculator (DHC) was subsequently developed to process base DH data captured by the SCD and output the required PI.

An update to the TMO stock Condition Data through carrying out a new round of surveys is planned for 2009/10. An upgrade to our systems and processes is currently ongoing with the implementation of the Keystone asset management system.

AWARENESS

Roles and responsibilities for producing the PI are clearly set out and documented. This includes collecting, recording, calculating and verifying the data. Where the data is being provided by a partner, expectations have been set out in a formal document.

Not met		Performance Manager and Data Manager named and listed on page 6 of Data Quality Framework (DQF).
Partly met		
Met	✔	Formal agreements with external partners existed during the Decent Homes programme but as these contracts have now been completed, these agreements are no longer relevant. (As part of our standard contract monitoring, we have agreements with consultants to provide data on the progression of projects.) *Data Collection* Data is collected from external contractors and internal project managers. Two main categories of update are provided: 1. Newly arising works. These are provided by feasibility studies and other surveys. Newly arising works are compiled into a report that is loaded into the stock condition database. There is currently very little activity in this area relating directly to Decent Homes. We are currently preparing for a new round of HHSRS based surveys due to commence Q3 2009-10. 2. Completed works – pro-forma. A pro forma spreadsheet (SCD Works Update Template 0910Q3.xls, attached) is circulated for completion every quarter and managers are reminded to respond even if they have no updates to provide for that period. Guidance for filling in the data is provided as part of the pro

		forma sent out.
		3. Completed works – ad hoc reporting. Updates that occur in other formats, e.g. non-pro forma (e.g. 150.xls, attached) or email message (e.g. 164.xls, attached) are saved in the same Update File format and logged in the database in the same method as all other updates.
		Data Recording The information provided by works managers is updated onto a Stock Condition Database (MS Access) by the Property Data Analyst, following detailed guidance maintained for the purpose. *Data Calculation* Decent Homes related stock data is extracted to an Excel spreadsheet (see **"Decent Homes Calculator - TEMPLATE.xls, attached**) to produce the current number of non-decent properties, following guidance maintained for the purpose. *Data Verification* The reported figure is verified by Asset Strategy Manager, Director of Technical Services and Business Improvement Team Manager prior to being sent for further verification by local council officers (RBKC).

Everyone involved understands the process for producing the indicator and what is expected of them.

Not met		All managers in department understand the indicator. A shared folder is present on the company's network drive to cater specifically for Decent Homes guidance and results (S:\Performance Data\Decent Homes). Additionally, all TMO staff have access to the internet and can search for such material as necessary.
Partly met		DQF page 6 names departmental data keepers and data managers and states that they are responsible for their individual PI areas referenced to the relevant data audit forms.
Met	✔	The process of data collection uses pro formas regularly sent out and chased up, thereby reducing risk requirements are not met. Awareness exists of the risk that only one person is conversant with the main database (SCD). In order to ameliorate this, the Property Data Analyst Procedures Manual is regularly updated as required. This risk is also to be addressed during implementation and training of the Keystone asset management system by facilitating improved user-friendliness, accessibility and ownership of the data systems and processes.

Those involved in collecting the data and producing the indicator take data quality seriously.

Not met		Departmental data keepers and data managers are responsible for ensuring data quality and this is explicitly stated in Data Quality Framework (DQF) - Section 4.
Partly met		The Framework (TMO Data Quality Framework 08-09.doc, attached).
Met	✔	

The indicator is reported regularly and is actively used to manage performance.

Not met		The Council require us to report annually and we also report quarterly to HouseMark/CLG (e.g. **"K&C TMO-DH-JP Q40809.xls", attached**).
Partly met		Targets are analysed and set annually for PIs.
Met	✔	Underlying stock data used to produce the PI is also used to inform priorities of Capital Programme through regular reporting to programme managers.

COLLECTING AND RECORDING

The latest versions of the definition and guidance are easily accessible to all involved. Where the guidance is complicated it has been simplified and made locally relevant.

Not met		Current definition and guidance for Decent Homes is held at T:\Technical Services\Asset Management Team\3. Data\Decent Homes\Guidance
Partly met		
Met	✓	

The process/system for collecting and storing the data ensures all relevant data is included in the indicator.

Not met		Currently work from process map and notes. Detailed Guidance currently in process of being up-dated (see Action Plan, below).
Partly met		
Met	✓	

There are controls in place which limit the risk of data being included in the indicator which is either inaccurate or outside the scope of the definition. Where possible and beneficial, manual manipulation of the data is kept to a minimum.

Not met		An update pro forma (MS Excel) defines the fields that require up-dating by works managers and includes guidance on the data entry format required. Updating of Stock Condition Database (SCD) from managers updates is carried out by the Property Data Analyst. This is largely a tick-box exercise and so manual manipulation is kept to minimum.
Partly met	✓	
Met		The MS Access based SCD is not however equipped to assess each dwelling against the NI 158 definition and so the relevant data is exported to a MS Excel based "Decent Homes Calculator" (DHC) (see Decent Homes Calculator - TEMPLATE.xls, attached). The data export from Access to Excel is automated as far as possible.
		NI 158 is implemented in the DHC as a series of automatic cell calculations that assess each dwelling according to the rules of the Decent Homes Standard. These calculated cells are locked to prevent accidental editing. The reported number of non-decent dwellings is obtained through the manual application of pre-set filters to the columns in Excel.
		A primary aim of the new asset management data base is to streamline the whole process.

Data is captured and recorded in a timely manner.

Not met		Pro forma spreadsheets are disseminated to the required officers and the system updated on a quarterly basis. These updates are driven by the need to report to HouseMark/CLG on a quarterly basis and on an annual basis to the Council.
Partly met		
Met	✓	

Staff have the skills and knowledge needed to collect and record data in a way that ensures data quality. Procedure notes, manuals and other guidance are available, up to date and followed by those involved. Where training is required it has been delivered.

Not met		The data manager has been trained in advanced Access and Excel. Maintained by the Property Data Analyst, the procedure Manuals for SCD, DHC and Works Completion Updates are made available and followed as required.
Partly met		
Met	✓	

There is no likelihood of data being accessed or amended where it should not.

Not met		A copy of the current Stock Condition Database is held on the Company's shared

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Partly met		network drive for people located throughout the organisation to query. The Property Data Analyst replaces that copy on the network drive with a new updated version as and when it is updated, usually every quarter.
Met	✔	The Property Data Analyst is the only user allowed editing permissions to the live version of the Stock Condition Database. The PC on which the live version resides has Windows XP domain security and the specific folder where the database is held, has NTFS protection so that other people who log onto the PC will not be able to alter the database. Other generic security and backup measures are in place.

EVALUATING

The adequacy of the system/process and associated controls are regularly checked, for example by using process mapping.

Not met		Detailed guidance and process mapping for producing the indicator are stored at: T:\Technical Services\Asset Management Team\3. Data\Property Data Analyst Procedures\
Partly met		
Met	✔	The process is checked annually, as part of implementation of new PI (NI 158) and also as part of implementation of new asset management software.

There is a formalised and regular process for checking and validating the data (for completeness, accuracy, validity and timeliness).

Not met		*Completeness*
Partly met		Quarterly synchronising core property data with property movements (RTB's, demolitions, conversions etc). Annual reconciliation with the statutory Base Data Return. Quarterly works completion updates. New Stock Condition Survey planned for Q3 2009-10.(link)
Met	✔	*Accuracy* Individual building elements are recorded with year becoming non-decent. Any element with a year non-decent below the current calendar year is classed non-decent. *Validity* Survey data is recorded and checked by qualified building surveyors. Works are completed to standards that fully address the decency of the building element. Records of works completions allow tracing of full audit trail. *Timeliness* Updates to SCD are carried out on quarterly basis.

The indicator is signed off at a senior level before being reported.

Not met		The Asset Strategy Manager will discuss the result with the Property Data Analyst and then pass on the calculation and result to be checked further by the Director of Technical Services. Once confidence in the accuracy has been reached it is reported to the TMO Business Improvement Team and examined by RBKC prior to reporting in the BPSA.
Partly met		
Met	✔	

There is a complete audit trail which clearly demonstrates from where the calculated figure has been derived and allows its accuracy to be verified.

Not met		Property and element specific works information is entered into pro forma files by programme managers and provided to the Property Data Analyst. These are stored
Partly met		

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Met	✔	with date and contact information as sequentially numbered Update Files (MS Excel workbooks, e.g. 150.xls and 164.xls, attached) on the TMO IT network. The Stock Condition Database is then updated using the information provided and each change to the SCD records a reference to the file that it originates from, thereby allowing all changes to be tracked back to their source.

The reported figure can be reconciled to the source data and the calculation has been checked for mathematical accuracy. Any variances can be explained.

Not met		The reported figure is derived directly from the base stock condition data. The Property Data Analyst presents the calculated information to the Asset Strategy Manager. The Asset Strategy Manager checks the calculation is accurate and that the correct formula has been used.
Partly met		
Met	✔	

A review of the relevant records, or a representative sample of records, shows they are complete and that which should be included/excluded has. Where a sample has been used, re-performing the calculation on the sample produces a figure in line with the reported figure.

Not met		Records for every dwelling are assessed in order to calculate the indicator, i.e. sampling is not used. Project managers regularly check the current list of non-decent homes in reference to the planning of upcoming programmes of work.
Partly met		
Met	✔	

CONCLUSION

Overall conclusion on the system/process in place for collecting and recording the data and reporting on the indicator	[Adequate]

[There are no hard and fast rules for arriving at the conclusion in terms of the number of the above criteria which have been met or not met, and the conclusion will therefore be a matter of judgement. You should justify your conclusion in this space. In general, however:

➢ Strong – Virtually all criteria have been fully met and the system/process is sound. The risk of data quality being poor has been minimised as far as possible

➢ Adequate – There are no serious failings against the criteria, the system/process is basically sound but there is room for improvement. The risk of data quality being poor is low but could be reduced further **We consider our system adequate because we have the procedures in place and the Data Quality Policy and the training in place but it requires some up-dating and a new asset management database.**

➢ Weak – There are serious failing against the criteria and as a result there is limited confidence in the robustness of the system. The risk of data quality being poor is high]

ACTION PLAN

Up-date the Property Data Analyst Procedure Manual (Complete: 31/08/2009 Action: J Parsons)
Implement the new asset management database

SIGN OFF

Sign off: Data manager	
Sign off: Performance manager	

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Sign off: PI Contact	

ESCALATION PROTOCOL

1. In accordance with the Modular Management Agreement – Volume 1, Chapter 1 19. Failure to Perform, this protocol sets out the steps the Council will take to resolve performance issues.

2. Performance issues are raised with the TMO and discussed through a number of fora:

   - Quarterly PI meetings
   - Home Ownership meetings
   - The HRA/TMO performance meetings
   - TMO Chief Executive/Director of Housing
   - Councillor's Policy Board

3. Issues are noted in the minutes of these meetings. These will be reported and reviewed at subsequent meetings and/or reported to higher level meetings with more senior officers so that they can be resolved through negotiation and regular monitoring.

4. On going issues are reported through the HRA Annual Review and Performance Plan and the Half Year Review.

5. If resolution is not achieved on the issues reported within a reasonable time (to be agreed in each case between the parties) then the Council will invoke clause 19.2 of the Failure to Perform section of the MMA and work with the TMO to develop agree and implement an Improvement Plan to improve the performance in order to reach those standards or prevent serious financial breaches. The Improvement Plan will be agreed by both parties and monitored through monthly update meetings and reporting.

6. Should the TMO fail to implement the Improvement Plan the Council will follow the escalation process further and may serve a Breach Notice in accordance with 19.4 of the MMA.

TMO IMPROVEMENT PLAN MONITORING PROCESS

1.   Introduction

The purpose of this paper is to set out the approach to the monitoring of the Improvement Plan developed as a result of the work of the Partnership Director, employed by the Council under the terms of the Variation to the TMO Management Agreement approved by Key Decision 02918/08/H/A on 10 July 2008.

The Improvement Plan details a number of "improvement measures" that are to drawn be out as targets and given milestones. These will be agreed at the start of the process to ensure compliance and measures set in place if these are not met.

2.   Progress meeting and reporting

The TMO Executive Team will produce a monthly progress report against the Improvement Plan in the TMO Board meeting reporting format.

The report will be submitted to the TMO Board by the Chief Executive of the TMO. The Board will "sign off" the progress report.

A monthly progress meeting, called the TMO Improvement Plan Programme Group, will be held between the TMO Chair and the Cabinet Member for Housing and Property. Also attending will be the Director of Housing and the Chief Executive of the TMO.   The progress report will form the agenda for the meetings and the meeting will be minuted as a formal record of progress.

The agreed Improvement Plan progress report will be sent to the Council at least 4 working days before the Programme Group meeting. The HCT will review the report and distribute to members of the Programme Group.

Progress will also be reported to quarterly meetings of the Scrutiny Committee for Housing and Property, and any other corporate reporting. Reporting is bi-annual and the submission of reports will be co-ordinated by the HCT.

3.   Implementing the Improvement Plan

The Improvement Plan will set out the targets and milestones for achievement (see Appendix 10). They will be specific and the Council will be clear about what it accepts as full implementation.

If the TMO are unable to meet these targets and milestones then action will be taken in accordance with the Modular Management Agreement.

**TEMPLATE - Improvement Plan progress
"dd/MM/yyyy"]**

IP – April 2009	24 April 09	14 May 09	11 June 09	October 09 – see response to Breach Notice and bar chart	
3.0 Governance • Board completes induction programme for all members and conducts a review against governance standards. Action plan agreed and key actions completed within four months including board/ committee appraisal processes. • Agendas structured to focus on decision items Information papers organised as a group and discussion limited to questions or key issues arising. Meetings chaired to focus on decisions. Board receives minutes of committees. • Board members currently sit in their respective groups (tenants/ leaseholders, councillors, independents). The dynamics of meetings would be improved if members from the different "constituencies mixed more. The layout of board meetings should be changed to bring	Induction prog booked – 3 meetings	2 sessions not taken place. Awayday delayed to give CE time to settle in. Board members given name plates show	2 sessions not held, must be before end of July. Board self-assessment planned for 30 June.	Legal responsibilities June 09 Completed – copy of plan to be provided On-going Completed Board papers circulated in time for last 3 meetings Completed – in operation	

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members closer together to aid discussion and interaction.		status. Agreed not to sit together.			
• The board monitors performance at the strategic level at least quarterly. Committees have responsibility for monitoring operational performance.				Completed – performance is an agenda item at board meetings	
• Committee structure reviewed. Clarity of role between board and committees for policy.					
• Delegation framework introduced for board, committees and executive				Completed by Company Secretary – June 09	
• Resident participation review completed				Reviewed and agreed by the Board July 09	
	Link with res. involvement done. ARB/consult still to be done. Also looking at compact models.			Project plan presented, involvement strategy to be reviewed – **going to Dec Board**	

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