

<b><u>MEETING</u></b>
<b>SPECIAL POLICY AND RESOURCES COMMITTEE</b>
<b><u>DATE AND TIME</u></b>
<b>THURSDAY 19<sup>TH</sup> JULY, 2018</b>
<b>AT 7.30 PM</b>
<b><u>VENUE</u></b>
<b>HENDON TOWN HALL, THE BURROUGHS, LONDON NW4 4BQ</b>

Dear Councillors,

Please find enclosed additional papers relating to the following items for the above mentioned meeting which were not available at the time of collation of the agenda.

Item No	Title of Report	Pages
7.	Business Planning	3 - 34
9.	Adults and Communities Case Management System	35 - 40
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16.	Award of Contract to Community Sector Development Partner (Exempt)	163 - 164

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	<p><b>Policy &amp; Resources Committee</b></p> <p><b>19<sup>th</sup> July 2018</b></p>
<p style="text-align: center;"><b>Title</b></p>	<p><b>Business Planning 2018-24</b></p>
<p style="text-align: center;"><b>Report of</b></p>	<p>Councillor Richard Cornelius</p>
<p style="text-align: center;"><b>Wards</b></p>	<p>All</p>
<p style="text-align: center;"><b>Status</b></p>	<p>Public</p>
<p style="text-align: center;"><b>Urgent</b></p>	<p>Yes</p>
<p style="text-align: center;"><b>Key</b></p>	<p>No</p>
<p style="text-align: center;"><b>Enclosures</b></p>	<p>Appendix A – Medium Term Financial Strategy (MTFS) to 2025</p> <p>Appendix B – Capital additions, deletions, slippage &amp; accelerated spend</p> <p>Appendix C – Capital Programme</p>
<p style="text-align: center;"><b>Officer Contact Details</b></p>	<p>Kevin Bartle – Director of Finance (S.151 Officer) <a href="mailto:kevin.bartle@barnet.gov.uk">kevin.bartle@barnet.gov.uk</a></p> <p>Paul Clarke – Head of Finance (Deputy s151 Officer) <a href="mailto:paul.clarke@barnet.gov.uk">paul.clarke@barnet.gov.uk</a></p>

## Summary

This paper provides an update on the council’s revenue and capital financial position including the council’s Medium Term Financial Strategy (MTFS) to 2023/4. The paper also sets out proposed amendments to the capital programme.

## Recommendations

The report recommends that the Committee:

1. Notes the current forecast of the revenue overspend for 2018/19 as set out in paragraph 1.2.3;
2. Approve the capital programme additions, deletions, slippage and accelerated spend as set out in Appendix B;
3. Approves that the council fund a 10% contribution to the cost of both the Henrietta Barnett School and St Michael's School applications to the Selective School Expansion Fund, should they be successful, up to a maximum cap of £1 million across the two schools at a revenue cost of £53,000 per year;
4. Approves the deletions from the Capital Programme as set out in table 1; and
5. Approves the debt write offs over £5,000 described in paragraph 1.2.11

### 1. WHY THIS REPORT IS NEEDED

#### 1.1 Executive Summary

- 1.1.1 Business planning and strategic financial management enable the council to plan its future direction on the basis of the best strategic fit between the resources available to meet stakeholder needs and expectations and the external conditions which prevail. This report sets out how the council intends to do this and the assumptions it has made.
- 1.1.2 In March 2018, the council set a Medium Term Financial Strategy (MTFS) covering the period 2018 to 2020. The MTFS for this period identified a total gross budget gap of £39.1 million. After mitigating actions and the planned use of reserves, in the MTFS anticipated a balanced position for 2018/19 and a remaining gap of £5.9m for 2019/20.
- 1.1.3 In June 2018, the financial position was considered by Policy and Resources Committee. The council's outturn position for 2017/18 showed a significant overspend of £7.9m in addition to an unplanned net drawdown from specific and general earmarked reserves of £5.6m. This overspend was also in addition to the planned use of reserves for 2017/18 of £7.7m. Overall, the total call on revenue reserves and balances for 2017/18 has therefore been **£21.2m**.
- 1.1.4 Given the scale of the 2017/18 overspend and the challenges of delivering some of the previously approved savings, the Council has financial pressures which cannot easily be mitigated during 2018/19. In June 2018, Policy and Resources Committee agreed that £9.5m of mitigations were required, and that progress in addressing these issues be reported to its July 2018 meeting.

## 1.2 Budget Management 2018/19

- 1.2.1 As reported to June Policy and Resources Committee, the rate of spend at the end of 2017/18 leads to gross initial pressures estimated at £11m during 2018/19. The June meeting agreed that an additional £1.5m of income should be targeted by reviewing recharges to the HRA and reflecting in the budget the increased levels of income currently being experienced within the Environment group of services.
- 1.2.2 June Policy and Resources Committee also noted that the remaining net pressure was therefore estimated at £9.5m. Along with the planned use of £4.04m of reserves set out in the agreed MTFs, this would mean an in-year detriment to general fund reserves and balances of £13.54m (2017/18 £21.148m).
- 1.2.3 As a result of the recovery plans put in place, the originally forecast pressure of £11m is presently anticipated to be managed down to £2.8m. The analysis of the remaining pressures across services is as follows:

	<b>£'000</b>
Family Services	650
Adults Services Placements	500
HR, OD & Pensions Administration	522
Customer Services & Registrars	361
Strategy and Communications	-
Environment Services	(1,000)
CSG Payments	522
Under achievement of income targets	1,630
Estates - leasing and running costs	1,119
Estates - Repairs and Maintenance	1,164
Estates - Security Costs	325
Housing (incl increased HRA recharge)	(165)
IT & Information Management	352
Legal costs	266
Service related budget variance	<b>6,245</b>
One off Capital Financing Underspend	(2,976)
Constrain inflationary uplifts	(500)
Corporate Budget Variances	<b>(3,476)</b>
Anticipated Period 2 Budget Variance	<b>2,769</b>

- 1.2.4 As the budget already includes an assumption of £4.04m to balance and forecast planned drawdowns of £0.9m, the revised calculation for the draw from reserves and balances totals £7.7m.

1.2.5 More detailed narratives of the forecast in-year variances will be presented to the Financial Performance and Contracts Committee throughout the year.

### **Write-Offs**

1.2.6 Actions taken to recover debt over £5,000 are as per the council's Income and Debt Management Policy. If an invoice is raised and remains unpaid, the "dunning" process comes into play as follows:

- Level 1 – a reminder is sent after 21 days
- Level 2 – a second notice is sent after 35 days i.e. a further 14 days.

1.2.9 The income team have reviewed all Level 2 cases remaining outstanding greater than 49 days (allowing a further 14 days to pay after the Final Notice) to decide whether the debt recovery should proceed.

1.2.10 Depending on the type of debt, customers and circumstances, the use of debt collectors or issuing proceedings in the County Court is considered. Every case is treated individually, hence the circumstances of each debt is assessed prior to taking a decision in the recovery of the debt in conjunction with the delivery unit.

1.2.11 Sundry debt write-offs, totalling £13k relating to Housing Revenue Accounts are requested for write-off, the details of which are:

<b>ACCOUNT NO</b>	<b>AMOUNT</b>	<b>TERMINATION DATE</b>	<b>REASON</b>
170179541	£13,009.80	19/03/2018	Deceased Without Estate
<b>1</b>	<b>£13,009.80</b>		

## **1.3 Capital Programme**

1.3.1 The June Committee report highlighted that the existing Capital Programme totalled a planned expenditure of £734.5m funded through a variety of means. The revenue budget allocated to fund the borrowing requirement within this plan is less than required to support the programme. Given the lack of scope to increase revenue budget to support this over programming it was recommended that the Chief Executive presents options to the July 2018 Policy and Resources Committee to reduce the capital programme to fit within affordability levels.

1.3.2 In addition, the June 2018 Capital Programme identified a risk of under achievement of Capital Receipts. It was noted that a regular update on progress against the planned total was provided to the committee.

1.3.3 Officers have reviewed the current capital budgets and their profiling and propose the following changes for approval by the Committee.

## **Changes to the Capital Programme**

- 1.3.4 The proposed changes to schemes below refer to the total value of the project life. There are also proposed changes to the profiling in which expenditure will be incurred. These changes are included at Appendix B.
- 1.3.5 The total value of reduction to the Capital Programme is £89.9m. This reduction consists of the following changes to funding sources:

### Grants

A net reduction of £5.9m has been reflected to recognise the anticipated actual grant values to be received. The largest reduction is within the Education and Skills service where unallocated contingency has been released to fit within the known Basic Need allocations.

### Section 106

Although this funding source has been reduced, the receipts are ringfenced to specific outputs and any under allocation will be realigned where appropriate.

### Capital Receipts

The net reduction in Capital Receipts of £20.6m directly reduces the risks associated with the under recovery of receipts. The current shortfall that remains for the year is £26m. Officers are strategically reviewing the council's options in relation to surplus assets to maximise their commercial potential and will report back to the Committee in Autumn.

### CIL

Although the proposed changes remove £4.0m of projects funded by CIL, this presents the council with the option to substitute this funding source for borrowing for eligible schemes elsewhere within the Capital Programme.

### Special Parking Account (SPA)

Schemes funded by the SPA have been reduced which releases £1.6m. This could be used towards other eligible capital schemes or released to support the council's revenue position as a one-off.

### Borrowing

Borrowing has reduced by £56.5m, made up of £69.3m of reductions, and the inclusion of an additional £12.8m in relation to the Strategic Infrastructure Fund for Brent Cross South, previously budgeted to be funded by capital receipts. This is an on-lending arrangement with the Brent Cross South Joint Venture, which will only be entered into if the terms ensure that the council's costs are at least fully covered. Heads of Terms are currently being drafted. This scale of reduction in borrowing costs significantly helps the short to medium term revenue position of the council.

- 1.3.6 The updated Capital Programme can be found at Appendix C.

## **Proposed Addition**

- 1.3.7 In June 2018 the Education and Skills Funding Agency launched the Selective School Expansion Fund, which will provide £50m of capital funding in 2018-19 to support the expansion of selective schools. Any applications in respect of voluntary aided (VA) will only be funded at 90% of the total expenditure. Both Henrietta Barnett School and St Michael's School have approached the Council about supporting their bids, including through a financial contribution to support their application. This paper sets out that £7 million of planned borrowing is being removed from the Educational Capital Programme and it is proposed that some of this is reinstated to fund a 10% contribution to the cost of these two applications, the total cost of this contribution expected to be less than £1,000,000. The revenue cost of this will be £53,000 per year. This addition is not reflected in the financial position explained at point 1.2.4 nor Appendix C.



Table 1- Proposed Changes

Directorate	Project	Budget Change Description	Amount	Grant	S106	Capital Receipts	RCCO	CIL	Parking reserve	Borrowing
			£'000	£'000	£'000	£'000	£'000	£'000	£'000	£'000
Adults	CCTV installation	Scheme no longer needed	(71)				(71)			
Commissioning	Depot relocation	Scheme complete - budget not needed	(2,920)			(2,920)				
Commissioning	Copthall Infrastructure Enhancement	Funding realigned for new project	1,000							1,000
Commissioning	Asset Management	Budget not required	(1,000)							(1,000)
Commissioning	Centre for Independent Living & Libraries	Budget not required	(4)	(1)						(3)
Commissioning	Daws Lane Community Centre	Budget not required	(1,224)			(1,224)				
Commissioning	Libraries asset management	Budget moved from Family services	506			133				373
Commissioning	ICT strategy	Budget not required	(2,361)			(2,361)				
Commissioning	Sports and Physical activities	East Barnet partnership library added to this project	500			500				
Education and Skills	St Mary's & St John's	Budget not required	(4,043)	(4,043)						
Education and Skills	Saracens Primary	Projects identified separately and removed from the unallocated	2,200	2,200						
Education and Skills	Kosher Kitchen	Projects identified separately and removed from the unallocated	800	800						
Education and Skills	Brookland	Projects identified separately and removed from the unallocated	1,064	1,064						
Education and Skills	Coppets Wood ASD	Projects identified separately and removed from the unallocated	62	62						
Education and Skills	Chalgrove Primary school ASD	Projects identified separately and removed from the unallocated	500	500						
Education and Skills	Whitefield School ASD	Projects identified separately and removed from the unallocated	2,000	2,000						
Education and Skills	School place planning (Primary )	Split budget out and reduce to Basic Need Grant Value	(7,900)	(7,900)						
Education and Skills	Alternative Provision	Reduced budget to level of basic need available	(2,000)							(2,000)
Education and Skills	Contingency	Removed as projects contain contingency	(5,007)							(5,007)
Family services	Libraries and library capital works	Budget moved to commissioning	(506)			(133)				(373)
Family services	Loft conversion and extension policy for Foster Carers	Scheme underspend	(240)			(5)				(235)
Family services	East Barnet Partnership Library	remove projects and add to the SPA project in commissioning	(500)			(500)				
Parking and Infrastructure	CCTV	Scheme no longer needed	(625)							(625)
Parking and Infrastructure	CCTV Projects Retention	Scheme no longer needed	(84)			(84)				
Parking and Infrastructure	Town Centre Bays	Scheme no longer needed	(75)			(75)				
Parking and Infrastructure	Parking signs and lines introduction and replenishment	Scheme no longer needed	(800)						(600)	(200)
Parking and Infrastructure	Car Parking improvement	Scheme no longer needed	(1,000)						(1,000)	
Parking and Infrastructure	DLO restructure and Investment project	Budget transferred to Highways (permanent re-instatement)	(250)			(250)				
Parking and Infrastructure	Highways (permanent re-instatement)	Budget transferred from DLO	250			250				
Re	Traffic Management	Scheme reduced to remove the borrowing	(111)							(111)
Re	Travel Plan Implementation	Scheme reduced to remove the borrowing	(25)							(25)
Re	Reconstruction of Railway Bridges	Scheme no longer needed	(650)			(29)				(621)
Re	Carriageways	Transfer £500k to Green spaces	(500)							(500)
Re	Road Traffic Act - Controlled Parking Zones	Scheme budget reduced	(4)			(4)				
Re	Parking	Scheme no longer needed	(28)			(28)				
Re	Saracens Primary	Scheme budget reduced	(6)				(6)			

Re	Mill Hill East	Scheme no longer needed	(520)			(30)			(490)	
Re	BXC - Funding for land acquisition	Remove critical infrastructure pending funding strategy	(55,000)						(55,000)	
Re	West Hendon Highway Improvement	Scheme no longer needed	(7,370)	(3,300)				(4,070)		
Re	Development pipeline	Funding changed from borrowing to s106	0		282				(282)	
Re	Strategic Infrastructure Fund	Scheme to be funded by borrowing and not capital receipts	0			(12,814)			12,814	
Re	Disabled Facilities Grants Programme	Scheme budget amended to fit within grant funding available	(1,300)	2,673		(973)			(3,000)	
Re	Housing Association Development Programme - New Affordable Homes	Scheme no longer needed	(1,416)		(1,516)					
Re	GF Regeneration	Scheme no longer needed	(1,000)						(1,000)	
Streetscene	Fuel Storage Tank	Scheme no longer needed	(60)						(60)	
Streetscene	Replacement Bins	Scheme no longer needed	(706)						(706)	
Streetscene	Street litter bins	Scheme no longer needed	(50)			(50)				
Streetscene	Green spaces development project	Budget transferred from Re-carriageways	500						500	
<b>TOTAL</b>			<b>(89,974)</b>	<b>(5,945)</b>	<b>(1,234)</b>	<b>(20,597)</b>	<b>(77)</b>	<b>(4,070)</b>	<b>(1,600)</b>	<b>(56,551)</b>

## Capital Financing

### Capital Programme Affordability

1.3.8 The proposed changes contained above reduce the capital programme total to £643m, with £494m being from the General Fund. The General Fund element of this includes borrowing of £274m. The revenue implications of this are set out in the table below.

	18/19 £'000s	19/20 £'000s	20/21 £'000s	21/22 £'000s	22/23 £'000s
Total Borrowing	248,562	353,030	375,154	375,154	375,154
Total Cost of Borrowing	16,908	22,771	26,446	26,680	26,663
Total Budget	19,885	21,551	26,280	28,205	29,246
<b>Variance to budget (Revenue)</b>	<b>(2,976)</b>	<b>1,220</b>	<b>167</b>	<b>(1,524)</b>	<b>(2,582)</b>

1.3.9 With the current value of the borrowing requirement there will be a revenue pressure in 2019/20 of £1.2m. This is based on the likely borrowing arrangements and equates to roughly £0.053m financing costs per £1m additional borrowing.

1.3.10 Officers will continue to review the capital programme actively to ensure that the capital programme for 2019/20 is brought within the revenue budget.

### Capital Receipts

1.3.11 The proposed amended Capital Programme is funded by an assumption of £54.4m in Capital Receipts. For 2018/19 the General Fund Capital Receipts requirement has slightly reduced to £34m. The current balance of receipts is £8m. This means that an additional £26m is required to be generated in year to meet the financing requirements of the current Capital Programme. Any decisions on the disposal of council assets will be considered by the ARG Committee.

1.3.12 The consequences of not achieving this level of receipts would be that the council will need to borrow more to meet the council's commitments. As discussed in earlier paragraphs this would have a detrimental impact on the revenue position of the council to the extent of £0.053m per £1m additional borrowing. The council could further reduce the capital programme and/or partially achieve receipts through the sale of capital assets. The revenue implications of these options range from zero (if the full value of required receipts was achieved) through to £1.378m if the full £26m was substituted for borrowing.

1.3.13 The Capital Receipts position will continue to be monitored closely and regular updates provided to both the Policy and Resources Committee and the Financial Performance and Contracts Committee.

#### 1.4 **Brent Cross Cricklewood**

1.4.1 The funding strategy for Brent Cross West station and other critical infrastructure was agreed by Policy and Resources Committee in May 2016. Members will recall that it includes £97m of central government funding, alongside £173m (uninflated) of council borrowing to be repaid through business rates from the growth of Brent Cross Shopping Centre which have been ringfenced by government for this purpose. The Committee set six tests to be met before this borrowing can be entered into. Officers are currently reviewing the funding strategy and the six tests and an update will be brought to the October meeting of the Policy and Resources Committee.

#### 1.5 **Medium Term / Strategic Planning for Financial Sustainability**

##### The MTFS Assumptions

1.5.1 The main assumptions within the MTFS are:

- **Pressures:** an assumption has been made in the MTFS for future demographic pressures specifically for Adults and Children's Social Care costs. This is based on the latest demographic projections from the GLA and specific data from the Projecting Older People Population Information System (POPPI) and the Projecting Adult Needs and Service Information System (PANSI). Based on existing budget monitoring, underlying budget pressures have also been factored into the budget;
- **Inflation (pay):** the agreed pay award by Greater London Provincial Council is assumed for 2019/20 and then 1% increase for future years;
- **Inflation (non-pay):** contractual inflationary amounts have been included based on the CPI inflationary rates announced in the Spring statement 2018 by Treasury.
- **North London Waste Authority (NLWA) levy:** figures for the NLWA levy are based on the latest information from the NLWA.
- **Capital financing costs:** the council's borrowing requirement has been reviewed, taking into account the latest projections on the current capital programme spend;
- **Concessionary fares:** increases have been projected in line with demographic changes of the 60+ population in Barnet;
- **Business rates:** The assumption on business rates is that the pool will be in place for 2018/19 only and so future income is based on the original split of the council retaining 30% of the share of income which is assumed to be increased by the CPI rates.
- **Revenue Support Grant:** reflects the funding settlement announced for 2019-20
- **Social Care Precept:** the council has the flexibility of raising a maximum of 6% between 2017/18 and 2019/20 via the social care precept to spend

exclusively on Adults social care, including care for the elderly. In 2017/18, the council set the Social Care Precept at 3% on council tax and a further 3% for 2018/19. Therefore 0% social care precept has been assumed from 2019/20.

- **General council tax:** a 2.99% increase has been assumed each year from 2019/20 onwards.
- Assumed a balance position for 2018/19 and that the gap of £9.5m will be achieved.

1.5.2 There are known risks which have not been factored into the current MTFs, these are:

- Impact of not achieving 50% recycling rates: the estimated impact of the new facility on the borough levy is an increase of £6m from 2021 onwards. However, this is predicated on achieving 50% recycling rate. Our current rate is c39% and whilst there are initiatives planned to achieve behaviour change through education and information, achievement of this will still require a change in current practices;
- Demographic increases and increases in complexity of social care packages: the MTFs factors in an increase in demographic pressures, however if the increase that services experience are more than this, then this could result in an overspend across those services impacted, as seen in 2017/18 in Adults services;
- Business rates: on the current business rates retention scheme, there is a risk that the current deficit will continue to grow;
- Non-pay inflation: the current MTFs assumes a CPI increase in contract spend, however inflation on some of the contracts is being assessed at 4%, if this is the case on most of the contracts, then this could result in an overspend across services.
- North London Waste Levy - due to the problems with the Edmonton Plant (new turbine) which will result in a loss. However, this may be covered by insurance. If not, then there might be an increase in levy charges by £1.2m in 2019/20

## **2. REASONS FOR RECOMMENDATIONS**

2.1 Local Government as a whole continues to face significant reductions in funding and increased demand for services, as set out in the strategic context. These require continual longer term robust financial planning and the recommendations in this report support the plan to ensure that adequate budget provision is allocated to the council's service areas.

## **3. ALTERNATIVE OPTIONS CONSIDERED AND NOT RECOMMENDED**

3.1 The alternative option to reducing the capital programme would be to make revenue reductions in order to fund the cost of borrowing.

#### **4. POST DECISION IMPLEMENTATION**

- 4.1 Following approval of these recommendations, the budget changes will be processed in the financial accounting system.

#### **5. IMPLICATIONS OF DECISION**

##### **5.1 Corporate Priorities and Performance**

- 5.1.1 This supports the Council's corporate priorities as expressed through the Corporate Plan for 2015-20 which sets out the vision and strategy for the next five years based on the core principles of fairness, responsibility and opportunity, to make sure Barnet is a place:

- Of opportunity, where people can further their quality of life;
- Where people are helped to help themselves, recognising that prevention is better than cure;
- Where responsibility is shared, fairly;
- Where services are delivered efficiently to get value for money for the taxpayer.

- 5.1.2 The Corporate Plan will be refreshed and will align with the updated MTFS period to 2023/24. This update to the corporate plan may significantly change the priorities and performance measures of the Council.

##### **5.2 Resources (Finance & Value for Money, Procurement, Staffing, IT, Property, Sustainability)**

- 5.2.1 The revenue budget proposals will enable the council to meet its savings target as set out in the MTFS. These budgets will be formally agreed each year, after appropriate consultation and equality impact assessments, as part of the council budget setting process. For this reason, the proposals are subject to change annually.

- 5.2.2 The council's financial regulations require that virements for allocation from contingency for amounts over £250,000 and capital programme additions must be approved by Policy and Resources Committee.

##### **5.3 Social Value**

- 5.3.1 None applicable to this report, however the council has to take into account the requirements of the Public Services (Social Value) Act 2012 to try to maximise the social and local economic value it derives from its procurement spend. The Barnet living wage is an example of where the council has considered its social value powers.

##### **5.4 Legal and Constitutional References**

- 5.4.1 Section 151 of the Local Government Act 1972 states that: "without prejudice to section 111, every local authority shall make arrangements for the proper

administration of their financial affairs and shall secure that one of their officers has responsibility for the administration of those affairs”. Section 111 of the Local Government Act 1972, relates to the subsidiary powers of local authorities.

5.4.2 Article 7 of the Council’s Constitution sets out the terms of reference of the Policy and Resources Committee which include:

- Responsibility for strategic policy finance and corporate risk management including recommending: Capital and Revenue Budget; Medium Term Financial Strategy; and Corporate Plan to Full Council
- To be responsible for the overall strategic direction of the Council including strategic partnerships, Treasury Management Strategy and internal transformation programmes.
- To be responsible for those matters not specifically allocated to any other committee affecting the affairs of the Council.

5.4.3 The council’s financial regulations state that amendments to the revenue budget can only be made with approval as per the scheme of virement table below:

### **Revenue Virements**

Virements for allocation from contingency for amounts up to £250,000 must be approved by the Section 151 Officer in consultation with appropriate Chief Officer
Virements for allocation from contingency for amounts over £250,000 must be approved by Policy and Resources Committee
Virements within a service that do not alter the bottom line are approved by Service Director
Virements between services (excluding contingency allocations) up to a value of £50,000 must be approved by the relevant Chief Officer
Virements between services (excluding contingency allocations) over £50,000 and up to £250,000 must be approved by Chief Officer and Chief Finance Officer in consultation with the Chairman of the Policy and Resources Committee and reported to the next meeting of the Policy and Resources Committee
Virements between services (excluding contingency allocations) over £250,000 must be approved by Policy and Resources Committee

### **Capital Virements**

Performance and Contract Management approval is required for all capital budget and funding virements and yearly profile changes (slippage or accelerated spend) between approved capital programmes i.e. as per the budget book. The report must show the proposed: i) Budget transfers between projects and by year; ii) Funding transfers between projects and by year; and iii) A summary based on a template approved by the Section 151 Officer
Policy and Resources Committee approval is required for all capital additions to the capital programme. Capital additions should also be

included in the quarterly budget monitoring report to Performance and Contracts Committee for noting.
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Funding substitutions at year end in order to maximise funding are the responsibility of the Section 151 Officer.
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## **6. Risk Management**

6.1 The Council has taken steps to improve its risk management processes by integrating the management of financial and other risks facing the organisation. The allocation of an amount to contingency is a step to mitigate the pressures that had yet to be quantified during the budget setting process.

6.2 The future savings proposals are significantly challenging and dependent on a range of factors often outside of the control of the service and with longer lead in times. The achievement of savings predicated on reducing demand through improved preventative work and social work practice should lead to better outcomes. However the relationship between early intervention/prevention and reduced demand on services is not always linear and is subject to a range of both controllable and uncontrollable variables. There is therefore a risk that the savings set out may not be deliverable as the Council must always ensure that safeguarding of adults, children and young people, and meeting its homelessness obligations, remains paramount.

## **7. Equalities and Diversity**

7.1 The Equality Act 2010 and The Public Sector Equality Duty outlined in statute, require elected Members to satisfy themselves that equality impact considerations have been fully taken into account in developing all the proposals which emerge from the finance and business planning process, and considered together with any mitigating factors. As part of the council's approach to strengthening how due regard is paid to equalities in decision making, the council will analyse the equality impact of each of those proposals in the budget year in question and will also develop a cumulative impact assessment of all the proposals. The council's Annual Equalities Report for 2016/17 reports on how this process was carried out in 2016/17.

7.2 Similarly, all human resources implications will be managed in accordance with the council's Managing Organisational Change policy that supports the council's Human Resources Strategy and meets statutory equalities duties and current employment legislation.

## **8. Corporate Parenting**

8.1 In July 2016, the Government published their Care Leavers' strategy Keep on Caring which outlined that the "... [the government] will introduce a set of corporate parenting principles that will require all departments within a local authority to recognise their role as corporate parents, encouraging them to look at the services and support that they provide through the lens of what a reasonable parent would do to support their own children.'



8.2 There are seven corporate parenting principles that local authorities must have regard to when exercising their functions in relation to looked after children and young people, as follows:

1. to act in the best interests, and promote the physical and mental health and well-being, of those children and young people;
2. to encourage those children and young people to express their views, wishes and feelings;
3. to take into account the views, wishes and feelings of those children and young people;
4. to help those children and young people gain access to, and make the best use of, services provided by the local authority and its relevant partners;
5. to promote high aspirations, and seek to secure the best outcomes, for those children and young people;
6. for those children and young people to be safe, and for stability in their home lives, relationships and education or work; and;
7. to prepare those children and young people for adulthood and independent living.

8.3 Chief officers are having regard to their responsibilities towards looked after children and young people, and care leavers, in developing mitigation actions. The review of the capital programme has protected expenditure on the new children's home, and maintained the programme of loft conversions for foster carers at the level of current actual expenditure.

## **9. Consultation and Engagement**

9.1 In terms of service specific consultations, the Council has a duty to consult on proposals to vary, reduce or withdraw services in the following circumstances:

- where there is a statutory requirement in the relevant legislative framework;
- where the practice has been to consult or where a policy document states the council will consult then the council must comply with its own practice or policy;
- exceptionally, where the matter is so important that there is a legitimate expectation of consultation.

9.2 Consultation is also recommended in other circumstances, for example to identify the impact of proposals or to assist with complying with the council's equalities duties. Consultation will take place on individual proposals linked to projects as they are developed, and the outcome of the consultation will need to feed into Committees as decision are taken.

## **10. Insight**

10.1 Information regarding population projections are sourced from the Greater London Authority and service specific demographic change information is sourced from specialist organisations.

## 11. Background Papers

Committee	Item & Agenda	Link
Policy & Resources 11 June 2018	Item 4 Business Planning	<a href="http://barnet.moderngov.co.uk/ieListDocuments.aspx?CId=692&amp;MId=9458&amp;Ver=4">http://barnet.moderngov.co.uk/ieListDocuments.aspx?CId=692&amp;MId=9458&amp;Ver=4</a>
Full Council 6 March 2018	Item 12 Business Planning 2018-20	<a href="http://barnet.moderngov.co.uk/ieListDocuments.aspx?CId=162&amp;MId=9162&amp;Ver=4">http://barnet.moderngov.co.uk/ieListDocuments.aspx?CId=162&amp;MId=9162&amp;Ver=4</a>
Policy & Resources 13 February 2018	Item 13 Business Planning 2018-20	<a href="http://barnet.moderngov.co.uk/ieListDocuments.aspx?CId=692&amp;MId=8742&amp;Ver=4">http://barnet.moderngov.co.uk/ieListDocuments.aspx?CId=692&amp;MId=8742&amp;Ver=4</a>
Policy & Resources 21 July 2014	Item 6 Finance and Business Planning – Capital programme and review of reserves	<a href="http://barnet.moderngov.co.uk/ieListDocuments.aspx?CId=692&amp;MId=7860&amp;Ver=4">http://barnet.moderngov.co.uk/ieListDocuments.aspx?CId=692&amp;MId=7860&amp;Ver=4</a>

# Barnet

Resources vs. Expenditure	2018/19 £m	2019/20 £m	2020/21 £m	2021/22 £m
Resources	290.6	280.3	285.5	294.6
Expenditure	294.6	293.9	310.2	326.9
<b>Net Position</b>	<b>(4.0)</b>	<b>(13.5)</b>	<b>(24.7)</b>	<b>(32.3)</b>
<b>Funded from reserves</b>	<b>4.0</b>	<b>3.7</b>	<b>0.0</b>	<b>0.0</b>
<b>Net position after reserves</b>	<b>(0.0)</b>	<b>(9.8)</b>	<b>(24.7)</b>	<b>(32.3)</b>

Forecast Expenditure	2018/19 £m	2019/20 £m	2020/21 £m	2021/22 £m
<b>Base Expenditure Budget</b>	<b>277.197</b>	<b>294.639</b>	<b>293.853</b>	<b>310.212</b>

Inflation - Pay	1.700	2.233	0.900	0.900
Inflation - Non Pay	3.651	3.015	3.402	3.467
Capital Financing Costs	1.289	0.910	1.000	1.000
Public Health	(0.454)	(0.454)	-	-
Pension Contributions	0.440	0.450	0.250	0.250
<b>Statutory / Cost Drivers Sub Total</b>	<b>6.626</b>	<b>6.154</b>	<b>5.552</b>	<b>5.617</b>

Contingency - general risks	2.146	4.853	4.408	4.653
Transfer to smoothing reserve	4.390	(4.390)	-	-
North London Waste Authority levy	1.229	1.915	1.000	1.000
Service Pressures - MTFS	4.986	3.594	5.000	5.000
Additional Service Pressures Identified	7.886	-	-	-
Highway Mtce	-	2.100	-	-
Family Services Duty & Assessment	0.600	-	-	-
IBCF & Adult Social Care grant	6.291	1.600	-	-
Apprenticeship Levy costs to Schools	(0.400)	-	-	-
Concessionary Fares / Other Levies	-	-	0.400	0.400
<b>Service Expenses sub total</b>	<b>27.128</b>	<b>9.672</b>	<b>10.808</b>	<b>11.053</b>

Forecast Resources	2018/19 £m	2019/20 £m	2020/21 £m	2021/22 £m
<b>New Formula Grant Funding</b>				
Business Rates (inc. S31 Grants)	78.232	39.333	36.366	37.093
Business Rates Localisation	5.400	-	-	-
Business Rates Top Up / (Tariff)	(8.672)	19.401	22.536	22.987
Internal Levy Adj	0.800	-	-	-
RSG	-	6.182	3.856	3.849
<b>New Formula Grant Sub Total</b>	<b>75.760</b>	<b>64.916</b>	<b>62.758</b>	<b>63.930</b>

**Council Tax**

CT Income	163.722	166.620	168.639	170.158
SC Precept	5.067	5.067	5.067	5.067
CT Increase 2019/20		5.226	5.226	5.226
CT Increase 2020/21 & 2021/22			5.478	11.184
<b>Total Council Tax</b>	<b>168.789</b>	<b>176.912</b>	<b>184.410</b>	<b>191.635</b>

CT Collection Fund Contribution	7.732	0.3		
PFI Credit	2.235	2.235	2.235	2.235
New Homes Bonus	9.382	9.730	10.019	10.921
Housing and CT Benefit Admin	1.801	1.621	1.459	1.313
Public Health	17.156	16.703	16.700	16.700
ASC Grant / IBCF	7.744	7.891	7.891	7.891

<b>Other Funding Sub Total</b>	<b>214.839</b>	<b>215.392</b>	<b>222.714</b>	<b>230.696</b>
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<b>Total Income From Grant and Council Tax</b>	<b>290.598</b>	<b>280.308</b>	<b>285.472</b>	<b>294.626</b>
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Budget Gap before Savings and Pressures	(20.352)	(30.157)	(24.740)	(32.257)
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Service Related Savings	9.432	16.612		
Mitigating Factors	6.880	0.000		

<b>Proposed Savings</b>	<b>16.312</b>	<b>16.612</b>	<b>0.000</b>	<b>0.000</b>
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Budget Gap after Savings	(4.040)	(13.545)	(24.740)	(32.257)
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Balances to / from Reserves				
Specific reserves contribution 2018/19	4.04			
Specific reserves contribution 2019/20		3.720		

<b>Reserves Sub Total</b>	<b>4.040</b>	<b>3.720</b>	<b>0.000</b>	<b>0.000</b>
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<b>Total funding Surplus/(Deficit)</b>	<b>(0.000)</b>	<b>(9.825)</b>	<b>(24.740)</b>	<b>(32.257)</b>
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Directorate	Year	Capital Programme	Funding Type	Additions/ Deletions	Slippage/Accel erated Spend
				£'000	£'000
Adults and Communities	2018/19	CCTV Installation	RCCO/ MRA	(71)	
Commissioning	2018/19	Depot relocation	Capital receipts	(2,920)	
Commissioning	2018/19	Copthall Infrastructure Enhancement	Borrowing	1,000	
Commissioning	2018/19	Asset Management	Borrowing	(1,000)	
Commissioning	2018/19	Centre for Independent Living & Libraries	Borrowing	(3)	
Commissioning	2018/19	Centre for Independent Living & Libraries	Grants/contribution	(1)	
Commissioning	2018/19	Daws Lane Community Centre	Capital receipts	(1,224)	
Commissioning	2018/19	Sport and Physical Activites	Capital receipts	500	(500)
Commissioning	2018/19	Gaelic playing pitch relocation	S106		(700)
Commissioning	2018/19	Libraries asset management	Capital receipts	133	
Commissioning	2018/19	Libraries asset management	Borrowing	373	
Education and Skills	2018/19	Saracens Primary	Grants/contribution	2,200	
Education and Skills	2018/19	Kosher Kitchen	Grants/contribution	800	
Education and Skills	2018/19	Brookland	Grants/contribution	1,064	
Education and Skills	2018/19	St Mary's & St John's	Grants/contribution	(4,043)	
Education and Skills	2018/19	Coppets Wood ASD	Grants/contribution	62	
Education and Skills	2018/19	Chalgrove Primary school ASD	Grants/contribution	500	
Education and Skills	2018/19	Whitefield School ASD	Grants/contribution	2,000	
Education and Skills	2018/19	School place planning (Primary )	Grants/contribution	(21)	
Education and Skills	2018/19	SEN	Grants/contribution	(2,562)	
Education and Skills	2018/19	Contingency	Borrowing	(2,557)	
Family Services	2018/19	Loft conversion and extension policy for Foster Carers	Borrowing	(170)	
Family Services	2018/19	Loft conversion and extension policy for Foster Carers	Capital receipts	(5)	
Family Services	2018/19	East Barnet Partnership Library	Capital receipts	(500)	
Family Services	2018/19	Libraries	Capital receipts	(133)	
Family Services	2018/19	Libraries Capital works	Borrowing	(373)	
Housing Needs Resources	2018/19	Alexandra Road	Capital receipts	(1)	
Housing Needs Resources	2018/19	Direct Acquistions	Borrowing		(30,000)
Housing Needs Resources	2018/19	Pinkham Way land release	Grants/contribution	1,500	
Parking and Infrastructure by S	2018/19	Lines and Signs	Borrowing		(170)
Parking and Infrastructure by S	2018/19	CCTV	Borrowing	(625)	
Parking and Infrastructure by S	2018/19	CCTV Projects Retention	Capital receipts	(84)	
Parking and Infrastructure by S	2018/19	Town Centre Bays	Capital receipts	(75)	
Parking and Infrastructure by S	2018/19	Parking signs and lines introduction and replenishment	Borrowing	(200)	
Parking and Infrastructure by S	2018/19	Parking signs and lines introduction and replenishment	Capital reserve	(300)	
Parking and Infrastructure by S	2018/19	Car Parking improvement	Capital reserve	(500)	
Parking and Infrastructure by S	2018/19	Highways (permanent re-instatement)	Capital receipts	250	(250)
Parking and Infrastructure by S	2018/19	DLO restructure and Investment project	Capital receipts	(250)	
Regional Enterprise	2018/19	Traffic Management	Borrowing	(111)	
Regional Enterprise	2018/19	Reconstruction of Railway Bridges	Borrowing	(621)	
Regional Enterprise	2018/19	Reconstruction of Railway Bridges	Capital receipts	(29)	
Regional Enterprise	2018/19	Travel Plan Implementation	Borrowing	(25)	
Regional Enterprise	2018/19	Carriageways	Borrowing	(500)	
Regional Enterprise	2018/19	Saracens	RCCO/ MRA	(6)	
Regional Enterprise	2018/19	Road Traffic Act - Controlled Parking Zones	Capital receipts	(4)	
Regional Enterprise	2018/19	Parking	Capital receipts	(28)	
Regional Enterprise	2018/19	GF Regeneration	Borrowing	(500)	
Regional Enterprise	2018/19	Mill Hill East	Capital receipts	(15)	
Regional Enterprise	2018/19	Mill Hill East	Borrowing	(35)	
Regional Enterprise	2018/19	BXC - Funding for land aquision	Borrowing	(55,000)	(10,972)
Regional Enterprise	2018/19	Grahame Park – Community Facilities	S106		(1,063)
Regional Enterprise	2018/19	Development Pipeline Strategic Opportunities Fund	Borrowing		(17,100)
Regional Enterprise	2018/19	Housing Association Development Programme - New Affordable Homes	S106	(1,416)	
Regional Enterprise	2018/19	Disabled Facilities Grants Programme	Grants/contribution	529	
Regional Enterprise	2018/19	Disabled Facilities Grants Programme	Capital receipts	(529)	
Streetscene	2018/19	Fuel Storage Tank	Borrowing	(60)	
Streetscene	2018/19	Replacement Bins	Borrowing	(456)	
Streetscene	2018/19	Street litter bins	Capital receipts	(45)	
Streetscene	2018/19	Green spaces development project	Borrowing	500	
HRA	2018/19	Burnt Oak Broadway Flats	Borrowing		(2,547)

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Directorate									Total Funding						
	2018-19	2019-20	2020-21	2021-22	2022-23	2023-24	2024-25	Total	Grants	S106	Capital Receipts	RCCO/ MRA	CIL	Borrowing	Total
	£000	£000	£000	£000	£000	£000	£000	£000	£000	£000	£000	£000	£000	£000	£000
Adults and Communities	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-
Commissioning Group	64,274	14,585	0	-	-	-	-	78,859	2,020	700	13,742	-	9,538	52,859	78,859
Education and Skills	44,272	16,900	-	-	-	-	-	61,172	53,170	8,002	-	-	-	-	61,172
Family Services	13,478	365	-	-	-	-	-	13,843	-	-	1,603	-	7,346	4,894	13,843
Housing Needs Resources	72,424	48,190	6,524	-	-	-	-	127,138	1,500	1,838	21,243	60	-	102,497	127,138
Parking and Infrastructure	1,699	1,020	-	-	-	-	-	2,719	-	-	2,010	-	-	709	2,719
Regional Enterprise	88,780	93,745	19,227	1,250	750	250	-	204,002	50,510	17,142	1,022	6,307	19,207	109,814	204,002
Street Scene	5,678	1,010	-	-	-	-	-	6,688	605	442	2,143	-	-	3,498	6,688
<b>Total - General Fund</b>	<b>290,605</b>	<b>175,815</b>	<b>25,751</b>	<b>1,250</b>	<b>750</b>	<b>250</b>		<b>494,421</b>	<b>107,805</b>	<b>28,124</b>	<b>41,763</b>	<b>6,367</b>	<b>36,091</b>	<b>274,271</b>	<b>494,421</b>
Housing Revenue Account	78,996	32,351	19,589	18,049	-	-	-	148,985	4,080	-	12,674	88,609	-	43,622	148,985
<b>Total - all services</b>	<b>369,601</b>	<b>208,166</b>	<b>45,340</b>	<b>19,299</b>	<b>750</b>	<b>250</b>		<b>643,406</b>	<b>111,885</b>	<b>28,124</b>	<b>54,437</b>	<b>94,976</b>	<b>36,091</b>	<b>317,893</b>	<b>643,406</b>

Adults and Communities	2018-19	2019-20	2020-21	2021-22	2022-23	2023-24	2024-25	Total	Grants	S106	Capital Receipts	RCCO/ MRA	CIL	Borrowing	Total
	£000	£000	£000	£000	£000	£000	£000	£000	£000	£000	£000	£000	£000	£000	£000
Investing in IT															



Commissioning Group	2018-19	2019-20	2020-21	2021-22	2022-23	2023-24	2024-25	Total	Grants	S106	Capital Receipts	RCCO/ MRA	CIL	Borrowing	Total
	£000	£000	£000	£000	£000	£000	£000	£000	£000	£000	£000	£000	£000	£000	£000
Depot relocation	1,950							1,950			1,950				1,950
Cophall Infrastructure Enhancement	1,000							1,000						1,000	1,000
Community Centre - Tarling Road	2,646	120						2,766						2,766	2,766
Asset Management	1,962	1,000						2,962			1,453			1,509	2,962
Libraries asset management	506							506			133			373	506
Centre for Independent Living & Libraries															
Daws Lane Community Centre															
ICT strategy	2,210	2,000						4,210			4,210				4,210
Community Centres fit out	1,520							1,520	20		1,500				1,520
Customer Services Transformation Programme	3,301							3,301			3,301				3,301
Implementation of Locality Strategy	695							695			695				695
Sport and Physical Activities	22,761	10,765						33,526	2,000		500		9,538	21,488	33,526
Gaelic playing pitch relocation		700						700		700					700
CCTV Installation															
Central contingency															
Office Build	25,723							25,723						25,723	25,723
	<b>64,274</b>	<b>14,585</b>						<b>78,859</b>	<b>2,020</b>	<b>700</b>	<b>13,742</b>		<b>9,538</b>	<b>52,859</b>	<b>78,859</b>

									TOTAL CAPITAL FUNDING						
Education and Skills	2018-19	2019-20	2020-21	2021-22	2022-23	2023-24	2024-25	Total	Grants	S106	Capital Receipts	RCCO/ MRA	CIL	Borrowing	Total
	£000	£000	£000	£000	£000	£000	£000	£000	£000	£000	£000	£000	£000	£000	£000
Modernisation - Primary & Secondary	4,275	2,300						6,575	6,575						6,575
Urgent Primary Places - Temporary Allocated	1,485							1,485	1,485						1,485
Orion Primary School	75							75	75						75
Menorah Foundation	182							182	182						182
Martin Primary	9							9	9						9
Monkfrith	35							35	35						35
Wren Academy	72							72	72						72
London Academy	21							21	21						21
St Agnes	770							770	770						770
Saracens Primary	2,200							2,200	2,200						2,200
Kosher Kitchen	800							800	800						800
Brookland	1,064							1,064	1,064						1,064
<b>Permanent Secondary Expansion Programme</b>															
Copthall	134							134	134						134
Compton	24							24	24						24
Oak Lodge Special School	354							354	354						354
St Mary's & St John's	1,001							1,001	1,001						1,001
St James / Blessed Dominic	15,706	5,000						20,706	16,755	3,951					20,706
<b>SEN Programme</b>															
Coppets Wood ASD	62							62	62						62
Chalgrove Primary school ASD	500							500	500						500
Whitefield School ASD	2,000							2,000	2,000						2,000
<b>Other Projects</b>															
School place planning (Primary )	2,634	2,600						5,234	2,966	2,268					5,234
School place planning (Secondary)	783							783		783					783
SEN	3,700	5,000						8,700	7,700	1,000					8,700
Alternative Provision	6,386	2,000						8,386	8,386						8,386

									TOTAL CAPITAL FUNDING						
Education and Skills	2018-19	2019-20	2020-21	2021-22	2022-23	2023-24	2024-25	Total	Grants	S106	Capital Receipts	RCCO/ MRA	CIL	Borrowing	Total
	£000	£000	£000	£000	£000	£000	£000	£000	£000	£000	£000	£000	£000	£000	£000
Contingency															
	44,272	16,900						61,172	53,170	8,002					61,172

									TOTAL CAPITAL FUNDING						
Family Services	2018-19	2019-20	2020-21	2021-22	2022-23	2023-24	2024-25	Total	Grants	S106	Capital Receipts	RCCO/ MRA	CIL	Borrowing	Total
	£000	£000	£000	£000	£000	£000	£000	£000	£000	£000	£000	£000	£000	£000	£000
Early Education and Childcare place sufficiency	3942							3,942					3,747	195	3,942
Information Management	673							673			428			245	673
Youth Zone	3999							3,999					3,599	400	3,999
Loft conversion and extension policy for Foster Carers	175	65						240			175			65	240
New Park House Children's home	20							20						20	20
East Barnet Partnership Library	0														
Meadow Close Children's Homes	2517	300						2,817						2,817	2,817
Family Services Estate - building compliance, extensive R&M, H&S, DDA	2152							2,152			1,000			1,152	2,152
	13,478	365						13,843			1,603		7,346	4,894	13,843

									TOTAL CAPITAL FUNDING						
Housing Needs Resources	2018-19	2019-20	2020-21	2021-22	2022-23	2023-24	2024-25	Total	Grants	S106	Capital Receipts	RCCO/ MRA	CIL	Borrowing	Total
	£000	£000	£000	£000	£000	£000	£000	£000	£000	£000	£000	£000	£000	£000	£000
Empty Properties	2,843	2,000	467					5,310			2,972			2,338	5,310
Chilvins Court	60							60				60			60
Out of borough acquisition	7							7						7	7
Direct Acquisitions	10,000	30,000						40,000						40,000	40,000
Modular Homes	1,476							1,476						1,476	1,476
Open Door	53,913	16,190	6,057					76,160			17,484			58,676	76,160
Pinkham Way land release	1,500							1,500	1,500						1,500
Micro sites	2,625							2,625		1,838	787				2,625
	<b>72,424</b>	<b>48,190</b>	<b>6,524</b>					<b>127,138</b>	<b>1,500</b>	<b>1,838</b>	<b>21,243</b>	<b>60</b>	<b>-</b>	<b>102,497</b>	<b>127,138</b>

									TOTAL CAPITAL FUNDING						
Parking and Infrastructure	2018-19	2019-20	2020-21	2021-22	2022-23	2023-24	2024-25	Total	Grants	S106	Capital Receipts	RCCO/ MRA	CIL	Borrowing	Total
	£000	£000	£000	£000	£000	£000	£000	£000	£000	£000	£000	£000	£000	£000	£000
Lines and Signs	170	170						340						340	340
CCTV															
CCTV Projects Retention															
Town Centre Bays															
Parking signs and lines introduction and replenishment															
Car Parking improvement															
Highways (permanent re-instatement)	969	850						1,819			1,450			369	1,819
Highways proactive patching	560							560			560				560
DLO restructure and Investment project															
	1,699	1,020						2,719	-	-	2,010			709	2,719

									TOTAL CAPITAL FUNDING						
Regional Enterprise	2018-19	2019-20	2020-21	2021-22	2022-23	2023-24	2024-25	Total	Grants	S106	Capital Receipts	RCCO/ MRA	CIL	Borrowing	Total
	£000	£000	£000	£000	£000	£000	£000	£000	£000	£000	£000	£000	£000	£000	£000
<b>HIGHWAYS TfL - LOCAL IMPLEMENTATION PLAN</b>															
Local Implementation Plan 2016/17 and onwards	3,237	1,500						4,737	4,737						4,737
<b>HIGHWAYS non-TfL</b>															
Footway Reconstruction	43							43		43					43
Traffic Management	4							4		4					4
Reconstruction of Railway Bridges															
Highways Improvement	364							364		364					364
Travel Plan Implementation	91							91		91					91
Carriageways	1,939							1,939						1,939	1,939
Highways Planned Maintenance Works Programme	40							40					40		40
Saracens	16							16		16					16
Drainage Schemes	70							70	69					1	70
Road Traffic Act - Controlled Parking Zones	108							108		107				1	108
Parking															
Investment in Roads & Pavement (NRP)	9,367	6,375						15,742						15,742	15,742
GF Regeneration															
Mill Hill East															
BXC - Funding for land aquisition	25,500	11,982						37,482						37,482	37,482
BXC - critical infrastructure															
Colindale – Highways and Transport	3,331	2,823	1,427					7,581	948	2,807			3,826		7,581
Colindale – Parks, Open Spaces and Sports	3,165	3,000	1,000	500				7,665		115			7,550		7,665
Colindale Station Works	6,500	6,000	1,500					14,000		11,250				2,750	14,000
Grahame Park – Community Facilities	1,000	1,063						2,063		2,063					2,063
West Hendon Highway Improvement	3,600							3,600	50				3,550		3,600
Town Centre	720	1,750	750	750	750	250		4,970	729				4,241		4,970

Regional Enterprise	2018-19	2019-20	2020-21	2021-22	2022-23	2023-24	2024-25	Total	TOTAL CAPITAL FUNDING						
									Grants	S106	Capital Receipts	RCCO/ MRA	CIL	Borrowing	Total
	£000	£000	£000	£000	£000	£000	£000	£000	£000	£000	£000	£000	£000	£000	£000
Thames Link Station	19,258	28,385						47,643	39,019			5,750		2,874	47,643
Development pipeline	282							282		282					282
Development pipeline strategic opportunities fund	6,900	5,000	14,100					26,000						26,000	26,000
Strategic Infrastructure Fund		23,000						23,000						23,000	23,000
Housing Association Development Programme - New Affordable Homes															
Disabled Facilities Grants Programme	1,741	2,760	450					4,951	4,951						4,951
Refurbish and regenerate Hendon Cemetery and Crematorium	1,149							1,149			592	557			1,149
Hendon Cemetery & Crematorium Enhancement	116							116			116				116
Decent Homes Programme	232	107						339			314			25	339
DECC - Fuel Povety	7							7	7						7
	<b>88,780</b>	<b>93,745</b>	<b>19,227</b>	<b>1,250</b>	<b>750</b>	<b>250</b>		<b>204,002</b>	<b>50,510</b>	<b>17,142</b>	<b>1,022</b>	<b>6,307</b>	<b>19,207</b>	<b>109,814</b>	<b>204,002</b>



									TOTAL CAPITAL FUNDING						
Streetscene	2018-19	2019-20	2020-21	2021-22	2022-23	2023-24	2024-25	Total	Grants	S106	Capital Receipts	RCCO/ MRA	CIL	Borrowing	Total
	£000	£000	£000	£000	£000	£000	£000	£000	£000	£000	£000	£000	£000	£000	£000
Old Court House - public toilets	40							40		40					40
Parks & Open Spaces and Tree Planting	54							54	54						54
Park Infrastructure	465							465	63	402					465
Victoria Park Infrastructure	501	110						611			611				611
Data Works Management system	432							432			432				432
Parks Equipment	108	100						208			200			8	208
Fuel Storage Tank															
Waste	234							234						234	234
Weekly Collection Support Scheme	488							488	488						488
Replacement Bins															
Street litter bins															
Vehicles	1,827	800						2,627			900			1,727	2,627
Street cleansing and greenspaces - vehicles and equipment	1,029							1,029						1,029	1,029
Green spaces development project	500							500						500	500
	<b>5,678</b>	<b>1,010</b>						<b>6,688</b>	<b>605</b>	<b>442</b>	<b>2,143</b>			<b>3,498</b>	<b>6,688</b>

Housing Revenue Account	2018-19	2019-20	2020-21	2021-22	2022-23	2023-24	2024-25	Total	Grants	S106	Capital Receipts	RCCO/ MRA	CIL	Borrowing	Total
	£000	£000	£000	£000	£000	£000	£000	£000	£000	£000	£000	£000	£000	£000	£000
Major Works (excl Granv Rd)	5,496	5,823	6,970	7,768				26,057				26,057			26,057
Regeneration	1,366	990	525	787				3,668				3,668			3,668
Misc - Repairs	2,706	2,314	2,314	2,324				9,658				9,658			9,658
M&E/ GAS	5,406	5,695	6,125	3,615				20,841				20,841			20,841
Voids and Lettings	3,677	3,605	3,655	3,555				14,492				14,492			14,492
Advanced Acquisitions (Regen Estates)	4,729							4,729			960			3,769	4,729
Moreton Close	5,914							5,914						5,914	5,914
Dollis Valley	5,107	1,500						6,607			6,607				6,607
Extra Care Pipeline	26,638	8,877						35,515	4,080		3,000			28,435	35,515
Burnt Oak Broadway Flats	1,435	3,547						4,982			1,490			3,492	4,982
Upper & Lower Fosters Community Led Design	1,669							1,669			195	475		999	1,669
Development Pipeline Stag House	1,435							1,435			422			1,013	1,435
HRA Fire Safety Programme	13,418							13,418				13,418			13,418
	<b>78,996</b>	<b>32,351</b>	<b>19,589</b>	<b>18,049</b>				<b>148,985</b>	<b>4,080</b>		<b>12,674</b>	<b>88,609</b>		<b>43,622</b>	<b>148,985</b>

	<p><b>Policy and Resources Committee</b></p> <p><b>19 July 2018</b></p>
<p style="text-align: right;"><b>Title</b></p>	<p><b>Adults and Communities Case Management System</b></p>
<p style="text-align: right;"><b>Report of</b></p>	<p>Cllr Richard Cornelius</p>
<p style="text-align: right;"><b>Wards</b></p>	<p>All</p>
<p style="text-align: right;"><b>Status</b></p>	<p>Public</p>
<p style="text-align: right;"><b>Urgent</b></p>	<p>No</p>
<p style="text-align: right;"><b>Key</b></p>	<p>No</p>
<p style="text-align: right;"><b>Enclosures</b></p>	<p>None</p>
<p style="text-align: right;"><b>Officer Contact Details</b></p>	<p>Dawn Wakeling – Strategic Director for Adults, Communities and Health  <a href="mailto:Dawn.Wakeling@barnet.gov.uk">Dawn.Wakeling@barnet.gov.uk</a>                      02083594290</p> <p>James Mass – Assistant Director, Adults and Communities  <a href="mailto:James.Mass@barnet.gov.uk">James.Mass@barnet.gov.uk</a>                      02083594610</p>

<h2>Summary</h2>
<p>The council went live with a new adult social care case management system (Mosaic) in April 2017. The implementation has involved significant issues which have critically affected the system’s performance.</p> <p>Improvements have been made to the system since go-live but there are still significant issues. These have an impact on financial monitoring, performance reporting and operational effectiveness, including the ability to efficiently bill clients and pay invoices. Mitigations are in place to manage the risks and issues.</p> <p>Resolving these problems has had both operational and commercial consequences. It is proposed that an audit lessons learned exercise is now undertaken and the findings are reported to Audit Committee. The commercial teams of the council and Capita have</p>

agreed to the principle that the most effective way to deliver a fit for purpose system is for the council to engage with an alternative provider to undertake the rest of the required implementation work.

This paper seeks authorisation to procure a new delivery partner to complete the delivery of a fit for purpose case management system for adult social care in Barnet, and the allocation of a capital budget to enable the procurement to commence, whilst the process to agree commercial liability with Capita concludes.

## **Officers' Recommendations**

- 1. That the Policy and Resources Committee approves a procurement exercise to the value of up to £3m.**
- 2. That the Policy and Resources Committee approves the project for inclusion in the capital programme with the budget requirements set out in section 5.2.**
- 3. That the Policy and Resources Committee agree that an audit lessons-learned exercise is now undertaken and the findings are reported to Audit Committee.**

### **1. WHY THIS REPORT IS NEEDED**

- 1.1 The Adults and Communities Investing in IT Programme was established to deliver a new IT system that supports the legislative requirements of the Care Act (2014, came into effect April 2015) and replace out-dated systems. The outcomes sought through this programme of work include:
  - Improved citizen and customer choice and control.
  - Increased shared data and records between services enabling more joined up care.
  - Strong evidence used to inform intelligent commissioning.
  - Increased productivity and efficiency.
- 1.2 In September 2014 Capita were commissioned by the council to deliver a fit for purpose Adult Social Care IT system. This was to replace two existing systems: Swift – the legacy case management system no longer under general support by Northgate; and Wisdom - used for case related document management.
- 1.3 There have been various issues in respect of the implementation. The new system was originally due to go live in April 2015 but this was delayed by two years. Go-live was achieved on the 3 April 2017 but unfortunately the system as it is currently configured is still not fully fit for purpose and has not achieved all the intended programme outcomes.
- 1.4 Whilst currently configured the Mosaic system enables the safe management of adult social care case work with service users and carers, the functionality of the new system has not been optimised to achieve the benefits sought in

more efficient case recording. The automated system reporting functionality is not working in a reliable, timely and accurate way, and the current finance and purchasing / payment processes require workarounds.

## **2. REASONS FOR RECOMMENDATIONS**

- 2.1 The continuing difficulties faced by the programme in completing the implementation of a fit-for-purpose system after the go-live in April 2017 led to a review of risks and issues by the programme board. Given the ongoing issues including the urgent need to meet year-end statutory reporting requirements, the council needed to engage additional contractors to continue delivering the necessary remedial work to the system configuration to ensure the council could meet its statutory obligations. The additional resources required in the short term is creating an additional cost pressure. Section 5.2 of this report sets out the resource requirement to cover work completed since April 2018 by council interim resource and for the future implementation work required to deliver a fit for purpose system.
- 2.2 The council commissioned a health check from a third-party supplier with experience in deploying Mosaic solutions to local authorities to set out the activities and effort required to get from the current point of implementation to the end-point of a fit for purpose case management system, as defined by the programme's critical success factors. Following completion of the health check, the council and Capita have been in discussions to determine the most effective way to deliver a fit for purpose system and have agreed the principle that the council should engage with an alternative provider to undertake the rest of the required implementation work.
- 2.3 The proposed approach is to undertake a procurement exercise, using the Crown Commercial Service G-Cloud Framework, to contract with a new provider to deliver the work required to get to a fit for purpose system.
- 2.4 To enable a procurement exercise to be undertaken, authority must be granted for the procurement, and a capital budget must be agreed. The resource and financial implications of this decision are set out in section 5.2 of this report.
- 2.5 Given that there have been various issues in respect of the implementation of the Mosaic system, the council's audit function had planned to undertake a lessons-learned exercise in relation to the implementation of the Mosaic programme. Now that there is a clear, recommended course of action for further implementation, an audit lessons-learned exercise will be undertaken and the findings will be reported to Audit Committee.

## **3. ALTERNATIVE OPTIONS CONSIDERED AND NOT RECOMMENDED**

- 3.1 The Committee could choose to not proceed with the recommended procurement and could choose to continue with the current delivery arrangements. To not proceed is not recommended. Due diligence has been undertaken which demonstrates that there are other suppliers in the market who have successfully stepped in to ensure that the Mosaic IT system can

deliver the requirements of local authorities from a similar starting point to Barnet's current position.

#### **4. POST DECISION IMPLEMENTATION**

4.1 If the Committee approves the recommendations in this paper, the following activity will be undertaken to implement the decision:

- A written agreement between Capita and the council will be drawn up to agree how the council and Capita will engage with a new third-party provider to successfully deliver the Mosaic system implementation, while the Capita team withdraw from the delivery of the programme;
- A specification will be finalised and a procurement will be undertaken to award a contract to a new provider; and
- The activity which will follow will be mobilisation of a new third-party provider and a period of handover between Capita and new third-party provider.

#### **5. IMPLICATIONS OF DECISION**

##### **5.1 Corporate Priorities and Performance**

5.1.1 The council's corporate plan (2018-19 addendum) sets out that the one of the council's core purposes is to work together to ensure quality services. The corporate plan also includes a focus on ensuring services are delivered efficiently to get value for money for the taxpayer. The recommendations are the most effective option to deliver a fully functioning Mosaic system to support high quality service delivery to residents.

##### **5.2 Resources (Finance & Value for Money, Procurement, Staffing, IT, Property, Sustainability)**

5.2.1 There are negotiations in progress between the council and Capita's commercial teams about the funding of the additional work required. There are differences in views on who should pay for the £4.2m costs.

5.2.2 While commercial discussions are progressing, the approval of a capital budget of up to £4.2m is required to enable the council to undertake a procurement for a new provider, award a contract for the delivery of this work, and meet the internal resourcing requirements needed to deliver the additional work.

5.2.3 The exact split of costs for LBB resourcing and third-party costs will be determined by the procurement outcome but it is anticipated that there will be up to £1.2m of council resourcing costs and up to £3m of third party costs. Full details of how the capital budget will be utilised will be included in the Delegated Powers Report which will formalise the award of contract following the procurement exercise. This is a significant investment by the council and as such every effort will need to be taken to ensure good value for money and the scrutiny of spend. The Adults and Communities Investing in IT Programme

Board will be responsible for overseeing the delivery of this work and ensuring value for money is achieved. The Programme Board will request the input of the commercial team and corporate finance to support this where required.

### **5.3 Social Value**

5.3.1 The Public Services (Social Value) Act 2012 requires people who commission public services to think about how they can also secure wider social, economic and environmental benefits. Before commencing a procurement process, commissioners should think about whether the services they are going to buy, or the way they are going to buy them, could secure these benefits for their area or stakeholders. Requirements for a contractor to deliver activities in line with Social Value will be monitored through the council's contract management framework.

### **5.4 Legal and Constitutional References**

5.4.1 Article 7 of the constitution sets out that, among other responsibilities, Policy and Resources Committee is responsible for:

- Strategic policy, finance and corporate risk management including Capital and Revenue Budget
- Finance including:
  - Corporate procurement; and
  - Effective use of resources
- Procurement Forward Plan

The content of this report is in line with these Constitutional responsibilities.

5.4.2 Following agreement to the capital budget and procurement, oversight of delivery would be a matter in the remit of the Adults and Safeguarding Committee which is responsible for all matters relating to adult social care.

### **5.5 Risk Management**

5.5.1 The council's Risk Management Framework is used to identify and respond to risks across all the council's services. Risks relating to the implementation of the Mosaic IT system have been identified and managed in line with this Risk Management Framework and have been reported to relevant Committees in line with this framework. The recommendation to procure a new provider to complete the Mosaic implementation is a key mitigation in managing identified risks.

### **5.6 Equalities and Diversity**

5.6.1 Pursuant to the Equality Act 2010, the council and all other organisations exercising public functions on its behalf must have due regard to the need to eliminate discrimination, harassment, victimisation and any other conduct that is prohibited by or under the Act; advance equality of opportunity between those with a protected characteristic and those without; promote good relations between those with a protected characteristic and those without. The

relevant protected characteristics are age, disability, gender reassignment, pregnancy and maternity, race, religion or belief, sex, sexual orientation. It also covers marriage and civil partnership with regard to eliminating discrimination.

## **5.7 Corporate Parenting**

5.7.1 In line with Children and Social Work Act 2017, the council has a duty to consider Corporate Parenting Principles in decision making across the Council. A fit for purpose Mosaic system supports care leaving young people aged 18-25 who go on to receive support from Adults Services. The successful implementation of the system will better support this cohort of young people.

## **5.8 Consultation and Engagement**

5.8.1 Adults and Communities staff, service users and third-party care providers will benefit from the successful implementation of the Mosaic system. The views of those using, and impacted by, the system are being sought through the programme implementation.


## **5.9 Insight**

5.9.1 The successful implementation of the Mosaic system will provide Adults and Communities with better reporting abilities which can be used to inform intelligent commissioning.

## **6. BACKGROUND PAPERS**

6.1 None



	AGENDA ITEM 10 <b>Policy and Resources Committee</b> <b>19 July 2018</b>															
	<table border="1"> <tr> <td style="text-align: right;"><b>Title</b></td> <td><b>Saracens Loan Agreement</b></td> </tr> <tr> <td style="text-align: right;"><b>Report of</b></td> <td>The Leader</td> </tr> <tr> <td style="text-align: right;"><b>Wards</b></td> <td>Mill Hill</td> </tr> <tr> <td style="text-align: right;"><b>Status</b></td> <td>Public with a separate exempt report</td> </tr> <tr> <td style="text-align: right;"><b>Urgent</b></td> <td>Yes</td> </tr> <tr> <td style="text-align: right;"><b>Key</b></td> <td>Yes</td> </tr> <tr> <td style="text-align: right;"><b>Enclosures</b></td> <td>Appendix A –</td> </tr> <tr> <td style="text-align: right;"><b>Officer Contact Details</b></td> <td>Cath Shaw, Deputy Chief Executive, 020 8359 4716, <a href="mailto:cath.shaw@barnet.gov.uk">cath.shaw@barnet.gov.uk</a></td> </tr> </table>	<b>Title</b>	<b>Saracens Loan Agreement</b>	<b>Report of</b>	The Leader	<b>Wards</b>	Mill Hill	<b>Status</b>	Public with a separate exempt report	<b>Urgent</b>	Yes	<b>Key</b>	Yes	<b>Enclosures</b>	Appendix A –	<b>Officer Contact Details</b>
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<b>Officer Contact Details</b>	Cath Shaw, Deputy Chief Executive, 020 8359 4716, <a href="mailto:cath.shaw@barnet.gov.uk">cath.shaw@barnet.gov.uk</a>															

<h3>Summary</h3>
<p>The report seeks agreement in principle to make a loan of £22.9 million to Saracens at a commercial rate for a period of 30 years to enable the construction of a new West Stand as part of their Allianz Park stadium at Cophall. It outlines the benefits of the project for the council and the wider Barnet community, and summarises the findings of a preliminary due diligence exercise. The report sets out the further due diligence and assurances required in order for the council to satisfy itself that it is prudent to make the loan. It seeks authority for the Deputy Chief Executive to oversee this work and subject to its satisfactory conclusion to enter, in consultation with Members, into a loan agreement with Saracens Ltd.</p>

## **Officer Recommendations**

**That the Committee:**

- 1. Delegate authority to the Deputy Chief Executive to undertake due diligence (at Saracens' cost) and seek further assurances in accordance with the recommendations of the accompanying exempt report and finalise appropriate securities to ensure the council is meeting its prudential obligations.**
- 2. Delegate authority to the Deputy Chief Executive to take all reasonable steps to prepare to enter into a loan agreement with Saracens Limited for the provision of a new West Stand as part of their Allianz Park stadium at Copthall, in accordance with the exempt report.**
- 3. Subject to satisfactory progress with the work outlined in recommendations 1 and 2, delegate authority to the S151 officer to propose a revision to the Treasury Management Strategy Statement (TMSS) to Council, that allows the loan to progress, for consideration and approval.**
- 4. Subject to satisfactory completion of the work outlined in recommendations 1 and 2, and approval of a revised TMSS, to delegate authority to the Deputy Chief Executive in consultation with the Leader, The Deputy Leader and the Leader of the Opposition to complete the loan agreement, lending £22.9m to Saracens for the construction of a replacement west stand as part of their Allianz Park stadium at Copthall.**
- 5. Subject to 1-4 above, delegates authority to the s151 officer to add the loan to the capital programme.**

### **1. WHY THIS REPORT IS NEEDED**

- 1.1 Saracens have approached the council seeking support, in the form of a £22.9m loan at a commercial rate, to facilitate the construction of a replacement West Stand at Copthall.

### **2. REASONS FOR RECOMMENDATIONS**

- 2.1 Saracens' contribution to Barnet was recently recognised by Council in its decision to award the freedom of the borough to the club. As well as being a highly successful locally based sporting team, Saracens have transformed Allianz Park (formerly Copthall Stadium) into a thriving community sports and education facility, providing approximately 40 hours per week of community access across a wide range of activities. Allianz Park plays host to many school and inter-school sports competitions and events each year, including over 30 School Sports Days, inter-school rugby tournaments and a series of borough athletics competitions that help identify Barnet's emerging athletics talent. The Saracens Sports Foundation has developed a specialist series of sports programmes that provide young people with learning disabilities opportunities to participate and be part of a

club.

- 2.2 Through the Saracens Multi-Academy Trust, Saracens is opening the Saracens High School in September 2018, serving the community of Grahame Park and Colindale. With the opening of the Saracens Primary School in September 2020, and collaboration with the Goldstar Federation, the Multi-Academy Trust will consist of three primary schools and one secondary school and will support the educational attainment of circa 3,500 children and young people in Colindale when full.
- 2.3 Saracens are seeking to build a new west stand to replace the existing, inadequate stand dating from the 1960s, bringing it up to the standard of the more modern east stand. The new stand has already received planning consent and will make a material improvement to the visual amenity of the area.
- 2.4 Planning consent for the new stand also includes the development of a community garden. As well as further enhancing the biodiversity of the site, the garden will provide a platform from which to support some of the community's most vulnerable groups, including adults with learning disabilities, adults with poor mental health and older people.
- 2.5 The West Stand will incorporate a new state-of-the-art media centre to be used as a 'Learning Zone' outside of match days. The Saracens Sport Foundation will work with Barnet Council and other partners to identify gaps in the local educational sector and look to create bespoke educational offerings that help fill these gaps. Focus is likely to be on those young people who are currently failing through mainstream education. Building on current health and wellbeing projects, the Saracens Sport Foundation will gain the capacity to offer GP referral programmes supporting the improved health of local people with more chronic health issues.
- 2.6 Furthermore, Saracens have entered into agreement with Middlesex University, another important partner organisation in the borough, to lease the space created within the curtilage of the building. This will allow the university to locate its London Sports Institute and Health Department at the stadium.
- 2.7 London Borough of Barnet owns the Copthall site, leasing it to Saracens on a 99 year lease (96 years remaining).
- 2.8 Saracens sought bank funding to construct the West Stand, but were unable to raise sufficient investment at an appropriate price. Consequently, Saracens approached the council as an alternative funder.
- 2.9 The council is keen to work with Saracens because of the wider benefits to the borough from the delivery of the West Stand scheme. However, the recommendation is that the terms of the loan should be justifiable on a purely commercial basis, so that the council receives a proper return and there is not State Aid to the club, and subject to appropriate security. Accordingly, the council commissioned a preliminary due diligence report, which is attached as an appendix to the exempt report.
- 2.10 The key findings of the report are:
  - Saracens made an operating loss of £2.73m in 2016/17.
  - The loss has been declining over recent years, and the club has a clear

business plan to move to a profit position. The assumptions in the business plan are reasonable.

- At the time of writing the due diligence report, the club had total net liabilities of £45.1m in the form of intercompany loans. The club has since confirmed that these were restructured as at 30 June 2018 to leave the club in a position of having net positive assets. This will be verified during the next stage of due diligence.
  - The security offered is independent of the success of the club but the council should test further its robustness through due diligence, and should consider asking for additional security.
- 2.11 A preliminary discussion with the principal shareholder suggests that there are options for providing additional security which will be explored as part of the next phase of due diligence.
- 2.12 Saracens propose to draw down the loan in Autumn 2018, to meet their project timescales.
- 2.13 At the June meeting of Policy and Resources Committee, the Leader undertook that this report would consider the experiences of Coventry City Council and Northampton Borough Council in supporting development of facilities at, respectively, the Ricoh Area and the Sixfields stadium. A summary of these two cases is attached at Appendix A. It should be noted that in the case of the Ricoh Arena, Coventry City Council's loan was repaid early by Wasps Rugby Club in 2014; and that all legal challenges were found in favour of the council. In the case of Northampton, criminal investigations are ongoing, however it appears that the full loan sum was paid up front, and then not spent on the intended purpose. This risk would be mitigated in this proposal by providing that loan is drawn down quarterly upon evidence of progress.

### **3. ALTERNATIVE OPTIONS CONSIDERED AND NOT RECOMMENDED**

- 3.1 The council could choose not to make the loan to Saracens. This would put in doubt the delivery of the West Stand, causing a delay to – and potentially the loss of – the community benefits of the West Stand. The council would also lose an income stream from the loan repayments. However, should further due diligence and work with the club not result in adequate assurances for the council to rely on, officers would recommend not proceeding with the loan.

### **4. POST DECISION IMPLEMENTATION**

- 4.1 The Deputy Chief Executive will commission due diligence from independent professional advisors, at Saracens' cost, and will instruct lawyers to draw up appropriate legal documentation.
- 4.2 In accordance with the recommendations in the first stage due diligence report, this will focus on the need for greater security as well as more detail on, and stress testing of, the Business Plan and. Standard legal due diligence will also be undertaken in relation to the company's ownership, assets and liabilities.

- 4.3 The current Treasury Management Strategy Statement (TMSS) requires revision to the investment strategy to be fully compliant with regulations to allow progression to making the loan. The s151 officer will, therefore, propose to Council appropriate revisions to the TMSS to facilitate the council's approach to such loans.
- 4.4 Subject to successful completion of these activities, the Deputy Chief Executive will consult Members of the Urgency Committee prior to entering into the loan agreement.

## **5. IMPLICATIONS OF DECISION**

### **5.1 Corporate Priorities and Performance**

- 5.1.1 The granting of this loan helps to meet Corporate Plan 2015-20 strategic objectives in ensuring that Barnet is a place:
- Of opportunity, where people can further their quality of life: Copthall will provide a major centre of sport and recreational activities for residents and visitors to the Borough. It will provide a combination of public and competition based sports facilities for active users and spectators. By the promotion of sport – active or as a spectator – the council is seeking to encourage a more active lifestyle and sport take up. This in turn will help with the long-term sustainability of sports local clubs and the long-term investment in facilities.
  - Where people are helped to help themselves: recognising that prevention is better than cure, Copthall as part of wider Sports and Physical Activity strategy as well as the Open Space Strategy, will assist local residents to enjoy the benefits of sport and recreation. Improved access, way finding and the range of formal and informal activities in one location, and as part of a borough wide network, ensures that the needs and capabilities of all residents are met, breaking down some of the barriers to participation.

### **5.2 Resources (Finance & Value for Money, Procurement, Staffing, IT, Property, Sustainability)**

- 5.2.1 The council anticipates borrowing the sum of money from the Public Works Loan Board, and on-lending it to Saracens. This is in accordance with the Statutory Guidance from MHCLG on Local Government Investments (3<sup>rd</sup> Edition) which came into effect on 1<sup>st</sup> April 2018.
- 5.2.2 Projected revenue income from loan repayments would be expected to commence during the 2019/20 financial year, but for reasons of prudence has not yet been factored into the MTFS.
- 5.2.3 The loan will only be entered into if due diligence confirms that the council's borrowing costs will be fully met with an appropriate margin for risk management and appropriate security.
- 5.2.4 Due diligence will be at Saracens' cost.

### **5.3 Comments of the Chief Financial (s151) Officer**

5.3.1 The Chief Financial Officer (CFO) has been involved in the discussions with Saracens since December 2017 and commissioned the due diligence report by the independent consultants.

5.3.2 The CFO is content that the council moves to the next stage of due diligence but will not recommend agreement to the loan unless the key assurances referred to in the accompanying exempt report have been met in full, but specifically, and not limited to, that guarantees are in place to ensure the repayments are made in full and thus that council's capital is secure.

### **5.4 Social Value**

5.4.1 Social benefits will be secured through opportunity to increase participation in sport and physical activity in the Borough. This includes the health benefits, but also to benefits of participation.

5.4.2 Economic benefits will be delivered through the promotion of Barnet as a place for sport in North London. Businesses are attracted to locate to and stay in areas which offer staff a good range of sport and social activities. The continued presence of national teams such as Saracens Rugby Union Club and Barnet and Shaftesbury Harriers Athletics Club in the Borough is a major promotional tool for attracting business investment.

5.4.3 Environmental benefits will be delivered through enhancing the parkland setting of Cophall, which links to the Parks and Open Spaces Strategy.

### **5.5 Legal and Constitutional References**

5.5.1 The land upon which the stadium is to be built is held under a lease dated 3 July 2015 for 99 years granted to Saracens Cophall LLP from Barnet Council. Article 7 of the council's constitution sets out the functions of Policy and Resources Committee. This includes:

- Strategic policy and finance including recommending capital and revenue budget, Medium-Term Financial Strategy and Corporate Plan to Full Council.
- Finance including: treasury management; local taxation; insurance; corporate procurement; grants; writing off debt; virements; and effective use of resources.
- If any report appears to come within the remit of more than one committee, to avoid the report being discussed at several committees, the report will be presented and determined at the most appropriate committee. If this is not clear, then the report will be discussed and determined by the Policy and Resources Committee.

5.5.2 A key decision is defined as one which:

- will result in the council incurring expenditure which is, or the making of savings which are, significant having regard to the council's budget for the service or function to which the decision relates; or

- is significant in terms of its effects on communities living or working in an area comprising two or more wards.

5.5.3 This decision is considered urgent for the reasons set out in paragraph 2.12.

5.5.4 The council have the power to invest under s12 of the Local Government Act 2003 and any loan would need to be in accordance with the council's investment strategy. It would also have to comply with the rules on State Aid.

## **5.6 Risk Management**

5.6.1 Stage 1 due diligence has identified key risks in relation to Saracens and its ongoing ability to make loan repayments over a thirty year period. Other risks to be addressed at the next stage include:

- The loan must be offered at an appropriate commercial rate so that the Council does not fall foul of EU regulations around State Aid.
- The loan to Saracens will be at a fixed rate. The Council will therefore need to manage interest rate risk. The initial view is that this is relatively easy to do through effective Treasury Management, however this will be further tested during due diligence.
- If the club's corporate strategy changes, for example through a change in ownership, there could be fewer community benefits from the loan and/or a less collaborative approach to resolving any future challenges.
- The experience of Northampton Borough Council suggests that it is important to have arrangements in place to ensure that the loan is spent for the intended purpose. This risk will be managed by making the loan available to draw down quarterly on evidence that works have been delivered as anticipated.

## **5.7 Equalities and Diversity**

5.7.1 Decision makers should have due regard to the public sector equality duty in making their decisions. The equalities duties are continuing duties they are not duties to secure a particular outcome. Consideration of the duties should precede the decision. It is important that Policy and Resources has regard to the statutory grounds in the light of all available material such as consultation responses. The statutory grounds of the public sector equality duty are found at section 149 of the Equality Act 2010 and are as follows:

5.7.2 A public authority must, in the exercise of its functions, have due regard to the need to:

- eliminate discrimination, harassment, victimisation and any other conduct that is prohibited by or under this Act;
- advance equality of opportunity between persons who share a relevant protected characteristic and persons who do not share it;
- Foster good relations between persons who share a relevant protected characteristic and persons who do not share it.

5.7.3 Having due regard to the need to advance equality of opportunity between persons who share a relevant protected characteristic and persons who do not share it involves having due regard, in particular, to the need to:

- Remove or minimise disadvantages suffered by persons who share a relevant protected characteristic that are connected to that characteristic;
- Take steps to meet the needs of persons who share a relevant protected characteristic that are different from the needs of persons who do not share it;
- Encourage persons who share a relevant protected characteristic to participate in public life or in any other activity in which participation by such persons is disproportionately low.

5.7.4 The steps involved in meeting the needs of disabled persons that are different from the needs of persons who are not disabled include, in particular, steps to take account of disabled persons' disabilities.

5.7.5 Having due regard to the need to foster good relations between persons who share a relevant protected characteristic and persons who do not share it involves having due regard, in particular, to the need to:

- Tackle prejudice, and
- Promote understanding.

5.7.6 Compliance with the duties in this section may involve treating some persons more favourably than others; but that is not to be taken as permitting conduct that would otherwise be prohibited by or under this Act. The relevant protected characteristics are:

- Age
- Disability
- Gender reassignment
- Pregnancy and maternity
- Race,
- Religion or belief
- Sex
- Sexual orientation
- Marriage and Civil partnership

5.7.7 The aim of Copthall is to create a fully inclusive location for sport and recreation within the Borough. The range of sport possible on the site means that all people, including those with disabilities, can use the facilities, or and visit the area as part of the Borough's extensive green spaces network.

## **5.8 Consultation and Engagement**

5.8.1 No public consultation or engagement has taken place in respect of this proposal.



## **5.9 Corporate Parenting**

5.9.1 No specific implications. We are working with Saracens on a number of initiatives to benefit children in care and care leavers.

## **6 BACKGROUND PAPERS**

6.1 [Cophall – Planning Brief](#) September 2016

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## Appendix A – Coventry City Council and Northampton Borough Council Experience in Supporting Development of Facilities

### The Ricoh Arena, Coventry

1. The development of the Ricoh Arena and associated exhibition, hotel and leisure facilities was undertaken by Arena Coventry Ltd (ACL). ACL was initially a 50/50 joint venture between Coventry City Council (CCC) and Coventry City Football Club (CCFC). In 2003, following CCFC's relegation from the Premier League, CCFC sold its share in ACL to the Alan Edward Higgs Charity. It has been claimed that it was always the intention that CCFC should buy these shares back in due course.
2. The stadium was opened in August 2005 as the home of CCFC. It cost £118m to construct. Funding sources are set out in table 1.

Table 1: sources of funding for construction of the Ricoh Arena

<b>Funding source</b>	<b>Amount /£m</b>
Receipts from the sale of land to Tesco	59
CCC equity	10
CCC meeting overspends	3
CCC Prudential borrowing (see paragraph 4 below)	21
European Regional Development Fund	4
Advantage West Midlands	5
Isle of Capri	6
CCFC	2
Other sources (interest, residual land sales)	8
<b>Total</b>	<b>118</b>

3. In December 2012, SISU Capital – owners of CCFC since 2008 – became embroiled in a rent dispute with ACL. ACL called in the unpaid rent, leading to CCFC putting itself into administration in 2013. CCFC left the Ricoh Arena and played their 2103/14 home games at Northampton Town's Sixfields Stadium.
4. The £21m of CCC Prudential Borrowing listed in Table 1 above was repaid by ACL in 2006 on completion of the stadium lease. The repayment was funded through a loan from Yorkshire Bank. In January 2013, in light of ACL's financial difficulties arising from the rent dispute, CCC bought out ACL's remaining £14.4m debt to Yorkshire Bank. This decision was unsuccessfully judicially reviewed by SISU who alleged that it constituted State Aid. The decision in favour of CCC was eventually upheld by the Court of Appeal in May 2016.
5. In 2014 CCFC returned to playing at the Ricoh. Also in that year Wasps Rugby Club purchased all of the shares in ACL, becoming outright owners of the stadium and also playing their matches there. At the same time, Wasps repaid CCC the remaining outstanding ACL debt. SISU launched a second Judicial Review, this time against the decisions by CCC and the Higgs Charity to sell ACL to Wasps. Again, the court found in favour of CCC. SISU's appeal was heard in June 2018, and at the time of writing a judgment is awaited.

## Northampton Town

6. In 2013 Northampton Borough Council (NBC) agreed to loan up to £12m to Northampton Town Football Club (NTFC) for the redevelopment of the Sixfields stadium.
7. The owners of NTFC, Chairman David Cardoza and his father Anthony, formed a joint venture with developer the County Group to oversee the redevelopment. The Joint venture, County Developments (Northampton) Ltd (CDNL), contracted with another County Group subsidiary, 1<sup>st</sup> Land Ltd, to deliver the stadium.
8. In 2014 work on the East stand was stopped due to a contractual dispute between 1<sup>st</sup> Land Ltd and a sub-contractor.
9. In September 2015 NBC demanded repayment of the £10.25m loan as the club had missed two repayments. This repayment was not forthcoming. In October 2015 HMRC issued NTFC with a winding up order, and CDNL was forced into liquidation following its failure to pay contractors.
10. By the end of 2015 NTFC had been sold to Kelvin Thomas, and NBC had agreed a deal in principle with the new owner to receive land around the stadium in lieu of the outstanding loan repayment.
11. Criminal investigations were launched into the use of the funds by CDNL and 1<sup>st</sup> Land Ltd, and the relationship between the owners, the developers and the local MP.
12. In June 2017 Kelvin Thomas sold 60% of shares in the club to Guangzhou-based 5USport, but these shares were sold back in March 2018. In May 2018 the club was put up for sale, with Thomas reportedly citing the ongoing dispute with NBC as the reason.
13. At the time of writing, NBC has not recovered its money, and has spent in excess of £1m pursuing various individuals for the outstanding sum.

	<h2>Policy and Resources Committee</h2> <h3>19 July 2018</h3>
<b>Title</b>	<h3>Award of Contract to Community Sector Development Partner</h3>
<b>Report of</b>	Leader of the Council
<b>Wards</b>	All
<b>Status</b>	Public (with separate exempt report)
<b>Enclosures</b>	None
<b>Officer Contact Details</b>	<p>Sara Elias-Bassett, Community Participation, Engagement and Strategy Lead (<a href="mailto:sara.elias-bassett@barnet.gov.uk">sara.elias-bassett@barnet.gov.uk</a>)</p> <p>Katie Mayers, Assistant Director Strategy and Communications (<a href="mailto:katie.mayers@barnet.gov.uk">katie.mayers@barnet.gov.uk</a>)</p>

### Summary

This report seeks authorisation to award the Community Sector Development Partner to the following organisations:

- Lot 1 (voluntary sector support and development) to Organisation A
- Lot 2 (volunteer brokerage service) to Organisation B
- Lot 3 (Barnet community directory administration and outreach) to Organisation B

### Officer Recommendations

1. **Authorisation to award Lot 1 of the Community Sector Development partner contract to Organisation A. The contract will be for two years, with the option to extend for a further two years in one-year increments, subject to budget and performance.**
2. **Authorisation to award Lot 2 and 3 of the Community Sector Development partner contract to Organisation B. The contract will be for two years with the option to extend for a further two years in one-year increments, subject to**

**budget and performance.**

**3. Note that following this decision, a mobilisation plan will begin with the intention of the contract to commence in in early September 2018.**

## **1. WHY THIS REPORT IS NEEDED**

1.1 Barnet council is committed to working in partnership with the voluntary, community and faith sector to build resilient communities. Barnet council tendered for a voluntary sector development partner contract in 2015 to support the key role that the voluntary, community and faith sector play in the delivery of the vision for the borough, as outlined in the corporate plan. The current voluntary sector development partner contract is now in its third, last year and suppliers have delivered good outcomes. As the council looks further ahead and develops a new corporate plan beyond 2020, Barnet council is again seeking to involve the voluntary, community and faith sector in Barnet and to ensure the sector's continued sustainability and resilience in Barnet. As a result, the council is now looking to procure a new voluntary sector support service, that has been shaped in partnership with the local voluntary, community and faith sector. The new service will be split into three lots as follows:-

Lot 1 - voluntary sector support and development

Lot 2 - volunteer brokerage service

Lot 3 - Barnet community directory administration and outreach

1.2 The procurement process, in line with the Public Contracts Regulation 2015 and under the OJEU open procedure has been undertaken and this report records the outcome of the exercise. The bidding organisations have been anonymised, in line with the requirements of the standstill period.

## **2. REASONS FOR RECOMMENDATION**

2.1 For Lot 1, Organisation A submitted the winning bid on both quality and price. Following evaluation of submissions, Organisation A proposed a detailed, partnership led approach to the delivery of the voluntary sector support and development contract. More detail can be found in Section 3.

2.2 On both quality and price, Organisation B submitted the winning bid for Lot 2. Following evaluation of submissions, Organisation B demonstrated their ability to deliver a high impact service that draws on national good practice. More detail can be found in Section 3.

2.3 For Lot 3, Organisation B submitted the winning bid. Following evaluation of submissions, Organisation B demonstrated their knowledge and expertise in database management and a partnership approach to stakeholder engagement

which will increase membership of the Barnet Community Directory. More information can be found in Section 3.

### 3. ALTERNATIVE OPTIONS CONSIDERED AND REJECTED

3.1 Evaluation was undertaken in accordance with Most Economically Advantageous Tender principles which were published in the tender documents, which set the price / quality split as 40/60. Price was scored relative to the average price submitted (weighted averages). Quality was split into categories (for example, Experience and Implementation Plan). These each had a weighting applied according to their importance.

3.2 In total there were three bidding organisations, with two organisations bidding for each Lot within the contract.

3.3 The table below summarises the outcome of the evaluation for each lot.

<b>Lot 1: voluntary sector support and development</b>	<b>Organisation C</b>	<b>Organisation A</b>
<b>Question</b>	<b>Weighted Score</b>	
Experience	16.00%	12.00%
Implementation Plan	15.00%	20.00%
Resourcing	9.00%	9.00%
Marketing	12.00%	12.00%
Stakeholder Relationships	3.00%	4.00%
Conflict of Interest	3.00%	3.00%
Developments & Industry Trends	4.00%	4.00%
Social Value	1.00%	3.00%
Quality Score (60%)	37.80%	40.20%
Price Score (40%)	38.91%	40.00%
<b>Total Score</b>	<b>76.71%</b>	<b>80.20%</b>

<b>Lot 2: volunteer brokerage service</b>	<b>Organisation C</b>	<b>Organisation B</b>
<b>Question</b>	<b>Weighted Score</b>	
Experience	12.00%	20.00%
Implementation Plan	15.00%	20.00%
Resourcing	9.00%	12.00%
Marketing	12.00%	16.00%
Stakeholder Relationships	3.00%	4.00%
Conflict of Interest	3.00%	3.00%
Developments & Industry Trends	4.00%	5.00%
Social Value	2.00%	4.00%

Quality Score (60%)	36.00%	50.40%
Price Score (40%)	38.84%	40.00%
<b>Total Score</b>	<b>74.84%</b>	<b>90.40%</b>

<b>Lot 3: Barnet community directory administration and outreach</b>	<b>Organisation C</b>	<b>Organisation B</b>
	<b>Weighted Score</b>	
<b>Question</b>		
Database Experience	6.00%	8.00%
Experience	8.00%	8.00%
Implementation Plan	15.00%	20.00%
Resourcing	9.00%	12.00%
Marketing	12.00%	16.00%
Stakeholder Relationships	3.00%	4.00%
Conflict of Interest	3.00%	3.00%
Developments & Industry Trends	3.00%	3.00%
Social Value	2.00%	4.00%
Quality Score (60%)	36.60%	46.80%
Price Score (40%)	40.00%	39.97%
<b>Total Score</b>	<b>76.60%</b>	<b>86.77%</b>

#### **4. POST DECISION IMPLEMENTATION**

- 4.1 Letters will be released to all the bidders to confirm the council's decision; then following a statutory ten-day standstill period, the contract will be formally awarded.
- 4.2 Following this a transition meeting will take place and a mobilisation plan will be formulated and agreed between all parties.

#### **5. IMPLICATIONS OF DECISION**

##### **5.1 Corporate Priorities and Performance**

- 5.1.1 This project directly contributes to the corporate priority of more involved and resilient communities through provision of a contract to support the structure and efficacy of the voluntary sector.

##### **5.2 Resources (Finance & Value for Money, Procurement, Staffing, IT, Property, Sustainability)**

- 5.2.1 The Policy & Resources Committee in December 2017 approved, via the Procurement Forward Plan, the procurement of a VCS Development Partner up to a value of £900K.
- 5.2.2 The contract duration is 2+1+1 years, as per forward plan. The value of the contract for Lot 1 will be £60,000 per annum, with a two-year contract value of



£120,000 plus extension option value (1+1 years) up to £120,000. The value of the contract for Lot 2 and Lot 3 combined will be £80,000 per annum, with a 2-year contract value of £160,000 plus extension option value (1+1 years) up to £160,000. The total contract value (with extensions) is £560,000. The contract will be funded through the Strategy Unit budget. Support for contract monitoring will come from the Strategy Unit.

- 5.2.3 Transfer of Undertakings (Protection of Employment) Regulations 2006 (TUPE) may apply to some of the Lots, however during the life of the contract, the employees under the current contract were not Barnet Council employees and this will be a secondary workforce transfer from the existing provider to the successful Bidder. The Council won't be able to determine for certain if TUPE does apply until we begin mobilisation, as the process is a negotiation between the incumbent and new provider.
- 5.2.4 In case TUPE does apply, the current contract and the contract with the new providers, includes appropriate obligations in respect of their responsibilities under TUPE. The Council's role is to facilitate and oversee the supply of appropriate information during the procurement process and following contract award.

### **5.3 Legal and Constitutional References**

- 5.3.1 Legal are satisfied that a competitive procedure has been carried out in accordance with Contract Procedure Rules and the Public Contract Regulations 2015.
- 5.3.2 Council Constitution, Article 10 (Decision Making) states that for contracts with a value of £500K and above, authorisation is via the Procurement Forward Plan and acceptance is, if within budget, via a Chief Officer in consultation with Committee Chairman Delegated Powers Report. Article 9 (b) (i) provides that chief officers can refer matters that are within their delegated authority to Members for decision if they consider that it is significant or sensitive. The Council has a commitment to maintaining a strong relationship with the Voluntary and Community Sector. As we continue to plan for our financial future the role of the community in making Barnet a great place will continue to be important. As such, the Assistant Chief Executive, following consultation with the Leader, has referred the award of this contract to the Policy & Resources Committee for decision.
- 5.3.3 Council Constitution, Article 7 (Committees Sub-Committees Area Committees and Forums and the Local Strategic Partnership) – the terms of reference of the Policy & Resources Committee includes strategic partnerships. The contract provides cross cutting support for the whole of the Voluntary and Community Sector which in turns supports the Council as a whole by helping to manage demand on council services and encouraging community participation. Due to the cross-cutting nature of this contract, it is relevant to the functions of multiple committees and is therefore considered to be within the terms of reference of the Policy & Resources Committee.

## **5.4 Risk Management**

5.4.1 If there is a change of service provider, there is a risk of delay to the commencement of the contract, due to the TUPE negotiations to be undertaken by the incumbent and new provider; this may lead to a gap in service provision. The tight timelines for this procurement means that this is likely but that the impact is low due to the nature of the contract, for example the contract does not provide daily support. The council will work to mitigate this risk by working closely with the incumbent and new provider to facilitate discussions and to develop transition plans. An eight week contract extension has already been agreed to ensure that the current contract, which was due to end on 30 June 2018, is in place until the outcome of the current procurement process has been finalised.

## **5.5 Equalities and Diversity**

5.5.1 Barnet is proud of the rich diversity of our residents and a key objective of this contract is to ensure that all communities in the borough are supported to become resilient. No equalities impact are expected as a result of awarding this contract.

## **5.6 Consultation and Engagement**

5.6.1 Workshops have been held with internal council staff and external community organisations to understand the type of support which is required by the sector. Workshops were held throughout 2017 and were used to inform the specification.

5.6.2 In addition to this, a Market Day for potential bidders was held as part of the procurement process in March 2018.

## **6. BACKGROUND PAPERS**

6.1 Policy and Resources Committee, 5 December 2017, Agenda Item 11, Procurement Forward Plan:  
<http://barnet.moderngov.co.uk/ieListDocuments.aspx?CIId=692&MID=8739#AI23766>

**London Borough of Barnet  
Policy and Resources  
Committee Work Programme**

**2018/19**

Contact: Maria Lugangira, [maria.lugangira@barnet.gov.uk](mailto:maria.lugangira@barnet.gov.uk), 020 8359 2761

Title of Report	Overview of decision	Report Of ( <i>officer</i> )	Issue Type (Non key/Key/Urgent)
<b>3 October 2018 (Note: Date may be subject to change)</b>			
Annual Equalities Report	To present the annual equalities report for approval	Assistant Chief Executive	Non-key
Monitoring the Impact of Brexit on Barnet	To present an annual update	Assistant Chief Executive	Non-key
Update on Extra Care Procurement	To update the committee on the progress of the procurement following the report to the committee on 13 February 2018.	Strategic Director for Adults & Health	Non-key
Local Development Scheme	To approve the three year project plan, the Local Development Scheme (LDS), setting out the programme for preparing the Local Plan.	Deputy Chief Executive	Key
<b>26 November 2018 (Note: Date may be subject to change)</b>			
Business Planning	To approve the Business Planning report prior to a period of public consultation	Director of Finance (Section 151 Officer and Chief Finance Officer)	Key
Procurement Forward Plan 2019/20	To approve the forward plan	Director of Finance (Section 151 Officer and Chief Finance Officer) / Commercial Director	Key

Title of Report	Overview of decision	Report Of ( <i>officer</i> )	Issue Type (Non key/Key/Urgent)
Brownfield Land Register – Updates	The Council is required to update the Brownfield Land Register annually	Deputy Chief Executive	Key
<b>12 March 2018 (Note: Date may be subject to change)</b>			
Business Planning	To approve and recommend the Budget and Medium Term Financial Strategy to Full Council on 6 March 2019	Director of Finance (Section 151 Officer and Chief Finance Officer)	Key
<b>Items to be Allocated</b>			
Draft Affordable Housing Supplementary Planning Document	To approve the draft Supplementary Planning Document for Affordable Housing for consultation.	Deputy Chief Executive	Non-key
North London Waste Plan (Reg 19 stage)	To approve the North London Waste Plan (NLWP) for public consultation.	Deputy Chief Executive	Non-key
Affordable Housing Supplementary Planning Document – Adoption	To adopt the Supplementary Planning Document for Affordable Housing.	Deputy Chief Executive	Key

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By virtue of paragraph(s) 3 of Part 1 of Schedule 12A  
of the Local Government Act 1972.

## AGENDA ITEM 15

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## AGENDA ITEM 16

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